DWINSA

Needs Survey Training

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Training – Day 2

- Revisit Issues from Day 1
- 2015 Survey Instrument
  - Workshop - Updating 2011 Projects
- EPA/Contractor Technical Assistance and Survey Review
  - Allotting Contractor Hours
- Efficient and Effective State Efforts
- State Survey Submittal Review
- Assessment Timeline
  - OMB Approval
  - 1/3, 1/3, 1/3 submittals
- Website
- Next Steps and Wrap-Up

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2015 Survey Instrument

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2015 Survey Instrument

- Each state will receive an Excel file for each system with the following tabs:
  - Front page completed on left side
  - Project table
    - Pre-populated with final 2011 data for systems that participated in 2011
    - Blank for systems that did not participate in 2011
  - Inventory tables
    - Blank for all systems
  - Back page
  - Documentation template
- Formatted to print on 8 ½ x 11 paper, ***but*** to be submitted to EPA as the Excel file

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2015 Drinking Water Infrastructure Needs Survey And Assessment

U.S. Environmental Protection Agency
Washington, DC 20460

OMB No.:
Approval Expires:
Federal PWSID No.: XX1234567

Please verify or correct the following information:

		Check if Correct as Printed	Corrected Information *(Fill in only if preprinted information is missing or incorrect)*
Name of System (Community):	City of Middletown	☑	
Name of Contact: Street Address: City, State, and Zip:	Carl Smith 2783 Broadway Middletown, Anywhere 55555	☑	
Population Served (if wholesaler, include consecutive population as appropriate):	156,922	☐	157,258
Number of Connections (not including consecutive systems):	53,657	☐	53,825
Total System Design Capacity (in MGD):	63 MGD	☑	
Total Length of Pipe in System (in Feet):	475,200	☐	475,600
Source Water Type (Ground, Surface/GWUDI, etc.): SURFACE		Check All That Apply:	☑ Ground ☑ Surface/GWUDI ☐ Purchased Ground ☐ Purchased Surface/GWUDI
Ownership Type: PUBLIC		Check All That Apply:	☑ Public ☐ Investor-Owned or Private Non-Profit ☐ Federal Government

Public reporting burden for this collection of information is estimated to average 5.53 hours per response. This estimate includes time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the information collected. Burden means the total time, effort, or financial resources expended by person(s) to generate, maintain, retain, or disclose or provide information to or for a Federal Agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information; adjust the existing ways to comply with any previously applicable instructions; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control numbers for EPA's regulations are listed in 40 CFR Part 9 and 48 CFR Chapter 15.

Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, OPPI, Regulatory Information Division, U.S. Environmental Protection Agency (1804A), Ariel Rios Building, 1200 Pennsylvania Ave., NW, Washington, DC 20460; and Office of Information and Regulatory Affairs, Office of Management and Budget, 725 17th Street, N.W., Washington, DC 20503.

State Use Only
State Reviewer: _____ **Telephone Number:** _____

Project Table

NEW COLUMNS!

Project Table Federal PWSID No.: 0

Project Number	Project Name	Type of Need	Reason for Need	N,E,R,H	C or F	Regula-tion	Design Capacity	Diameter	Length	Number Needed	Cost Estimate	Cost Date	Documen-tation	Remove Modify or Validate	Comment Codes

2015 Survey Instrument for Panel Systems

- States will be sent project table with final 2011 project data
  - Contains data used to estimate 2011 needs
- Applies only to systems that participated in the 2011 DWINSA
  - Not available for any prior DWINSAs
  - ~75% of medium systems will have final 2011 table
  - All 2011 large systems will have final 2011 table
- Updating the 2011 survey strongly encouraged but still optional
  - Depends on system's current project list and whether 2011 data looks like a good place to start

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Example Project Table with 2011 Data

Project Number	Project Name	Type of Need	Reason for Need	N,E,R,H	C or F	Regula-tion	Design Capacity	Diameter	Length	Number Needed	Cost Estimate	Cost Date	Documen-tation	Remove Modify or Validate		Comment Codes
1000	New Conventional Treatment Plant	T10	A1, A6	N	C	1A	63			1	$67,900,000	7/2010	1, 10	*		100
1001	South Street GW Plant	T22	A1	H	C	4A	10			1			1, 10			100
1002	Rehab Well 7 at South Street Well Field	R1	A1	H	C	4A	2			1			2, 10	*		100
1003	Rehab 37th and Fairlawn BPS	P2	A1	H	F	4A	3			1			10			100
1004	Replace Meriden BPS	P2	A4	R	C	4A				1	$406,000	7/2010	1,10	*		100
1005	Rehab 29th & California Elevated Tank	S1	A1	H	F	4A	0.25			1			10			100
1006	Rehab Quincy, Croco, Sherwood, Montara, 46th St. Storage Tanks	S1	A1	H	F	4A	0.5			5			10			100
1007	Replace South Hills Storage	S1	A1	H	F	4A	0.75			1			10			328, 218
2000	Replace Deteriorated Water Lines	M1	A1	R	F	4A		8	47,520				10			100
2001	Water Main Extension	M1	A4	N	C	4A		8	4,000		$500,000	7/2010	1, 4, 10	*		100
2002	Replace Service Lines	M3	A1													180
3000	Replace Meters	M8	A1	R	F	4A		0.625		53657			10			100

Documentation Template

	Summary of Survey-Generated and Independent Documentation for Each Project			Federal PWSID No.:	XX1234567
Project Number	*Project Name*	*Documen-tation Code(s)*	*State/System Survey-Generated Statement*	*Independent Document Name*	*Independent Documentation Page Number(s)*

Example Completed Documentation Template

Project Number	Project Name	Documen-tation Code(s)	State/System Survey-Generated Statement	Independent Document Name	Independent Documentation Page Number(s)
1000	Rehab Conventional Treatment Plant	10	We completed this WTP project in 2013. It will need some rehabilitation within the next 20 years.		
1001	South Street GW Plant	10	Needed within next 20 years and scope is the same.		
1002	Pump Replacement	10	This well was rehabbed in 2012 and will not need to be rehabilitated again within 20 years. However, the pump will need to be replaced within 20 years so we have changed the project to a well pump replacement.		
1003	Rehab 37th and Fairlawn BPS	10	Needed within next 20 years and scope is the same.		
1004	Replace Meriden BPS	21,10, 1	This pump station replacement project did not get completed due to budget constraints. We still need to complete this project as the issues with inadequte pressures noted in our CIP still persist. The scope is still the same and the cost is still valid.	2011 CIP	page 6.8
1005	Rehab 29th & California Elevated Tank	10	Needed within next 20 years and scope is the same.	2011 CIP	page 4.3
1006	Rehab Quincy, Croco, Sherwood, Montara, 46th St. Storage Tanks	10	Rehab of each of these five tanks will be needed within next 20 years, and scope is the same.		
1007	Replace South Hills Storage	10, 8	This storage tank was submitted as a replacement project in 2011 but was changed to a rehab. This tank is 40 years old and is beyond its useful life. It is past the point of rehabilitation. We need to replace it. See the attached inspection report from 2012.	2012 Inspection Report	Section 4
2000	Replace Deteriorated Water Lines	10	We have updated the amount of water main replacement needed based on 10% of the new total length of pipe in the system.		
			Project 2001 from the 2011 Survey: These water mains were completed, therefore this project was removed. The new pipe is now added to the total length of pipe in the system.		
2002	Replace Service Lines	7,10	This project was mis-coded in 2011. They are lead service lines that are the responsibility of the system. These lines still need replacement.	lead and copper monitoring results summary	
3000	Replace Meters	10	These meters will need to be replaced within the next 20 years. We've updated the number based on new connections since 2011.		
3001	Generator at Meriden Pump Station	10	The Meriden Pump Station is critical infrastructure for the upper pressure zone of our system. In the case of a power outage, we need an emergency power generator at this site.		

Updating 2011 Project Data

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Updating 2011 Project Data

Every project will have some level of EPA/contractor review

No projects will be accepted without EPA/contractor review

True for all projects listed on a survey

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Updating 2011 Project Data – Best Practices

- Panel approach will save more time on some surveys than others
  - "Inventory approach" are easiest to update
  - Time savings also dependent on completeness of 2011 effort
- Communication and organization are key
  - Explaining why changes are made is never a bad idea!

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Updating 2011 Project Data – Best Practices

- The 2011 project information will serve as a starting place for 2015 surveys
  - Easy projects (all forms of documentation accepted – "green ink") are still low effort
  - Documentation requirements are the same
    - Validation statements are important
    - Most current documentation welcome for all projects, but particularly for asterisk projects

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What to Look for in the Table

- Projects are as they appeared at the <u>end</u> of 2011 DWINSA
  - Projects adjusted by EPA/contractor
    - Comment codes provided
    - Compare to your records to see exact changes (if desired)
  - Deleted projects
    - First four columns completed, others are blank
- New columns at far right
  - Asterisked (*) projects need specific action

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Projects with no Asterisk

- Generally needed each 20-year survey period
  - Most "Green Ink" projects
    - Exceptions are off-stream raw water storage and new covers on finished water reservoirs
- Still require basic review by state
  - Is capacity still correct?
  - No duplication of need
    - Added projects or changes to one project might impact another

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Projects with no Asterisk

- Project accepted in 2011 and *not* changed for 2015
  - Simple statement of need is adequate as "validation statement"
    - Ex. *"Needed within the next 20 years and the scope is the same."*
  - Same statement can be used more than once
  - Text not required to be project specific

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Data Changes - Projects with No Asterisk

- Project accepted in 2011 but *has* changed for 2015
  - Critical Changes: design parameters, N/E/R/H, type of need, or cost
  - Any changes will trigger EPA/contractor review
  - Documentation must meet whatever is required under existing policies for the amended project
  - May trigger review of other associated projects

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Data Changes – Need Types with No Asterisk

- Example:
  - The number of connections has increased from 1,849 in 2011 to 2,400 in 2015. The system's meter replacement need requires adjustment.

Project Table

Project Number	Project Name	Type of Need	Reason for Need	N.E.R.H	C or F	Regula-tion	Design Capacity	Diameter	Length	Number Needed
3000	Replace Water Meters	M8	A1	R	C	4A		0.625		1849
	Replace Lead Service									

- Include a brief description of the change in the survey documentation: *"The number of meters needed has been increased to match the number of system connections."*
- Change number needed

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Projects with an Asterisk (*)

- Must be removed, modified, or validated
  - Not assumed to be needed every 20 years
  - If no action taken, project will be deleted
- Remove
  - Project is no longer needed
- Modify
  - Explain changes in documentation
- Validate
  - *Project-specific* validation statement needed
  - Only applicable if project is the same in scope and still needed

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Remove Project

- Project completed or no longer needed
  - Remove from survey
    - Recommended
      - Keep project number, replace name with "deleted"
      - Delete row
    - <u>Do not reuse project numbers of deleted projects</u>
    - No explanation needed for deleted projects
  - Examples:
    - Well rehab project in 2011
      - Well is now abandoned, project no longer needed
    - Water main extension project completed
      - Delete the 2011 DWINSA project for new pipe
      - Consider including the pipe length in the total pipe inventory and adjusting other projects for the 10% pipe policy

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Modify Project

- Project completed but changed to a related need
  - Change project coding
  - Provide documentation/explanation
- Example: 2011 DWINSA project for a new treatment plant
  - The plant was built in 2013 and it will need a rehab within 20 years
  - Change project data:
    - from "N" to "H" and "C" to "F"
    - Update documentation codes and remove cost

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Project-Specific Validations

- Project with asterisk still needed and unchanged
  - Project-specific statement indicating:
    - The project has not started
    - Is still needed
    - The scope is the same as shown in 2011 data
  - Details of the validation indicate:
    - Due diligence
    - Evidence that the project was researched
  - EPA will use best professional judgment to determine adequacy

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Example: Project-Specific Validation

- Four projects include an asterisk
- State plans to validate all four projects

Project Number	Project Name	Type of Need	Reason for Need	N,E,R,H	C or F	Regula-tion	Design Capacity	Diameter	Length	Number Needed	Cost Estimate	Cost Date	Documen-tation	Remove Modify or Validate
1000	Rehab intake	R7	A1	H	C		1						6, 10	*
1001	Upgrade treatment plant with UV disinfection	T10	A1	E	C		1				$3,400,000		1	*
1002	Rehab Pump Station #1	P2	A1	H	C		0.5						10	
2000	Pipe replacement program	M1	A1	R	C						$15,000,000		1	*
3000	Valve replacement program	M5	A1	R	C						$2,000,000		1	*

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Example of Inadequate Project-Specific Validation

Certification of 2011 Assessment Projects

The following projects are included in the 2015 Assessment denoted with an asterisk:

- **Project #1000: Rehab Intake**
- **Project #1001: Upgrade treatment plant with UV disinfection**
- **Project #2000: Pipe Replacement Program**
- **Project #3000: Valve Replacement Program**

These projects have not begun construction as of January 1, 2015, are of the same scope, and are still needed.

Signed:

Joe Smith **April 15, 2015**
State of Anywhere

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Example of Inadequate Project-Specific Validation

Validation Statement
2015 DWINSA

I certify that projects listed from the 2011 DWINSA have yet to be constructed, are of the same scope, and are still needed. This determination has been made in conjunction with conversations and data review with the public water system. The projects are listed as follows:

- **Project #1000: Rehab Intake**
- **Project #1001: Upgrade treatment plant with UV disinfection**
- **Project #2000: Pipe Replacement Program**
- **Project #3000: Valve Replacement Program**

Signed:

Joe Smith **April 15, 2015**
State of Anywhere

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Example of Adequate Project-Specific Validation

Certification Statement
2015 DWINSA

I spoke with the system on April 13, 2015 and they informed me of the status of the following projects:

Projects 1000 and 1001: Due to funding issues neither of these projects has begun. They said they are still needed and the scope has not changed.

Project 2000: This is an ongoing program. The program started in 2000 and is expected to continue through 2035 at the same rate of replacement per year which is approximately 1% per year.

Project 3000: As indicated in the 2011 DWINSA, these valves are in addition to valves in Project 2000 and are included as their own line item in the CIP. This program also began in 2000 but is ending in 2025 so I reduced the cost from $4 M to $2 M to account for this.

Signed:

Joe Smith **April 15, 2015**
State of Anywhere

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Pipe

- All pipe projects will receive an asterisk
- It is expected that changes in pipe inventory will require a review of rehab and replacement pipe projects

If the rehab/replacement project data is not changed from 2011, and that data represents 10% of the pipe inventory or less, the project will be kept as-is.

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Added Projects and Reinstated Projects

- Will undergo complete QA and allowability review
- May trigger review of other project(s) to ensure no overlap or double-counting
- Example: Project added for new tank
  - Is this tank replacing an existing tank?
  - If so, remove 2011 rehab project from project table

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Adding Projects

- Add rows to project table
- Use new project number for added projects
  - 1000's: source, treatment, storage, and pumping
  - 2000's: transmission and distribution
  - 3000's: meters, service lines, backflow prevention, valves
- Meet allowability and documentation requirements for the type of need and type of project (N/H/R/E)
  - Refer to Documentation Summary Table

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Adding Projects vs. Modifying 2011 Projects

- Use most logical approach, no black and white rules
- Example: New well project in 2011 was completed
  - Remove project and add new project for pump replacement OR
  - Change type of need to well pump and N/E/R/H codes to R, and delete cost if applicable
- Things to consider:
  - Are you changing the project name significantly?
  - Do the projects address the same infrastructure?
  - Is this confusing for reviewer?

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Reinstating Projects Deleted or Adjusted by EPA in 2011

- Projects deleted by EPA are treated as new projects
- To reinstate project:
  - Amend project table
  - Provide updated documentation
    - Must meet requirements for the type of need and type of project
    - Must resubmit if relies on 2007 documentation
    - Address issues identified by the comment codes
- Does this affect other projects?
  - If so, amend accordingly

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Updating 2011 Survey Workshop

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Updating 2011 Workshop

- Workshop contains the following:
  - 2015 Front Page pre-populated with 2011 system info
  - Project table pre-populated with 2011 project data
  - 2015 documentation from the system
  - Blank documentation template
- Update the project table info as if you were completing a 2015 survey
  - Change project table codes and make other edits
  - Fill in documentation template
- We will compare updates to the suggested "answer" sheets

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Comparing 2011 to 2015 Data

- What do reviewers see?
  - Comparison of 2015 submittal to 2011 survey
  - Highlights changes to the survey
- Indicates whether 2-stage review is needed for 2015 data
- States can use this macro to QA surveys if desired
  - Due to time constraints, Cadmus can't offer assistance for macro use

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Compare File

Project Number	Project Name	Type of Need	Reason for Need	N.E.R.H	C or F	Reg or Secondary Purpose	Design Capacity	Diameter or Size	Length	Number Needed	Cost Estimate	Cost Date	Documen-tation	Remove Modify or Validate	Brows
1000	New Conventional Treatment Plant	T10	A1	N | H	F	4A	63			1	7925025 |	7/2010 |	1, 10	*	Data Changed
1001	South Street GW Plant	T22	A1	H	C	4A	10			1			1, 10		
~~1002~~	~~Rehab Well 7 at South Street Well Field~~	~~R1~~	~~A1~~	~~H~~	~~C~~	~~4A~~	~~2~~			~~1~~			~~2, 10~~	*	Deleted project
1003	Rehab 37th and Fairlawn BPS	P2	A1	H	F	4A	3			1			10		
1004	Rehab Kirklawn BPS	P2	A1	H	F	4A	5.7			1			10		
1005	Rehab 5th and Norwood BPS	P2	A1	H	F	4A	5			1			10		
1006	Rehab Green Hills BPS	P2	A1	H	F	4A	2.9			1			10		
1007	Replace Meriden BPS	P2	A1	R	C	4A				1	$406,000	7/2010	1,10	*	
1008	Rehab 29th & California	S1	A1	H	F	4A	0.25			1			10		
1009	Rehab Quncy, Croco, Sherwood, Montara, 46th St. Storage	S1	A1	H	F	4A	0.5			5			10		
1010	Replace Indian Hills Storage	S1	A1	H | R	F	4A	0.75			1			10 | 10, 8		Data Changed
1011	Rehab Kirklawn Storage	S1	A1	H	F	4A	3			1			10		
1012	Rehab Burnett Mound Storage	S2	A1	H	F	4A	5			2			10		
2000	Replace Deteriorated Water Lines	M1	A1	R	F	4A		8	475200 | 475600				10		Data Changed
~~2001~~	~~Water Main Extension~~	~~M1~~	~~A4~~	~~N~~	~~C~~	~~4A~~		~~8~~	~~4,000~~		~~$500,000~~	~~7/2010~~	~~1, 4, 10~~	*	Deleted project
2002	Replace Service Lines	M3 | M2	A1 | A6	| R	| C	| 1D				| 40			| 7,8,10		Data Changed
3000	Replace Meters	M8	A1	R	F	4A		0.625		53657 | 53825			10		Data Changed
3001	*Replace Generator at Meriden Pump Station*	*W4*	*A1*	*R*	*C*	*4A*	*100*						*10*		Added project

Compare File – Many Changes

Run Compare

Project Table (Compare 2011 to 2015)

Federal PWSID No.: 0

Project Number	Project Name	Type of Need	Reason for Need	N.E.R.H (New Expand Replace ReHab)	C or F (Current Future)	Regulation	Design Capacity (MG, MGD, or kW)	Diameter (inches)	Length (feet)	Number Needed	Cost Estimate	Cost Date (mm/yyyy)	Documentation	Remove Modify or Validate	
1007	Replace Meriden BPS | Rehab Green Hills BPS	P2	A1	R | H	C | F	4A	| 2.9			1	$406,000 |	7/2010 |	1,10 | 10	* |	Data Changed
1008	Rehab 29th & California | Replace Meriden BPS	S1 | P2	A1	H | R	F | C	4A	0.25 |			1	| $406,000	| 7/2010	10 | 1,10	| *	Data Changed
1009	Rehab Quincy, Croco, Sherwood, Montara, 46th St. Storage | Rehab 29th & California	S1	A1	H	F	4A	0.5 | 0.25			5 | 1			10		Data Changed
1010	Replace Green Hills Storage | Rehab Quincy, Croco, Sherwood, Montara, 46th St. Storage	S1	A1	H	F	4A	0.75 | 0.5			1 | 5			10		Data Changed
1011	Rehab Kirklawn Storage | Replace Green Hills Storage	S1	A1	H | R	F	4A	3 | 0.75			1			10 | 10, 8		Data Changed
1012	Rehab Burnett Mound Storage | Rehab Kirklawn Storage	S2 | S1	A1	H	F	4A	5 | 3			2 | 1			10		Data Changed
1013	*Rehab Burnett Mound Storage*	*S2*	*A1*	*H*	*F*	*4A*	*5*			*2*			*10*		*Additional project*
2000	Replace Deteriorated Water Lines	M1	A1	R	F	4A		8	475,200 | 475,600				10		Data Changed
~~2001~~	~~Water Main Extension~~	~~M1~~	~~A4~~	~~N~~	~~C~~	~~4A~~		~~8~~	~~4,000~~		~~$500,000~~	~~7/2010~~	~~1, 4, 10~~	~~*~~	~~Deleted project~~
2002	Replace Service Lines	M3 | M2	A1 | A6	| R	| C	| 1D				| 40			| 7,10		Data Changed
3000	Replace Meters	M8	A1	R	F	4A		0.625		53657 | 53825			10		Data Changed
3001	*Generator at Meriden Pump Station*	*W4*	*A1*	*R*	*C*	*4A*	*100*						*10*		*Additional project*

DWINSA

Questions?

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EPA/Contractor Technical Assistance and Survey Review

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Technical Assistance

- Goals:
  - Understanding policies, submitting complete surveys, applying efficient and effective approach
- Methods:
  - First few reviews
    - In-depth review of first few submittals with descriptions of suggested changes and policy clarifications
    - Follow-up call with state staff to ensure understanding
  - On-going coordinator support
    - Answer questions and explain policies
    - Survey and project-specific or general

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Purpose of EPA/Contractor Review

- Ensures the DWINSA maintains credibility when reporting findings to Congress
- Ensures fairness between states for DWSRF Allocations
- Ensures correct project coding

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EPA/Contractor Two-Stage Survey Review Process

- First level review
  - Assess documentation
  - Determine if projects meets criteria
  - Edit project tables
- Senior-level review
  - Ensure policies met and ensure consistency
  - Investigate marginal documentation
  - Correct coding on project table
- Modifications
  - Review additional documentation submitted after system's survey is fully reviewed and posted to DWNeeds.com
  - Edit projects as appropriate

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Review of 2011 DWINSA Projects for 2015

- 2-stage review still applies
  - Assumes 2011 project review is 1st level for 2015 review
  - Assumes to take ~1/3 the time for panel approach surveys
- Any survey can be bumped to full 2-stage review for 2015 if too many changes or complications.

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Allotting Contractor Time

- Contractor time for survey review and technical assistance must be reduced by ~ ½ of the 2011 budget
- Technical assistance assumptions:
  - 4 hours for partially-participating states
  - 40 hours for fully-participating states
- Survey Review assumptions:
  - Based on state sample by population served

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Review Hours Allotments

Population Served	Review hours per System	Average Review minutes per project
3,301-10,000	1.5	6
10,001-50,000	2.5	6
50,001-100,000	4.5	7
100,001-1,000,000	5.5*	5.8
>1,000,000	11.7*	4.6

***Represents increases of:**
- ~18 minutes per survey for systems serving 100,001-1,000,000 people
- ~ 27 minutes per survey for systems serving more than 1,000,000

over the estimates presented at the May 2014 workgroup meeting.

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Additional Cadmus Training

- EPA is working with states to help access additional training
- Option of using EPA's contract with Cadmus and moving funds to EPA HQ
- Training options:
  - 2-day training on policies, procedures, and the process
  - In-depth training on first-few reviews
- Contact Bob Barles for more information

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DWINSA

Questions?

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Efficient and Effective State Efforts

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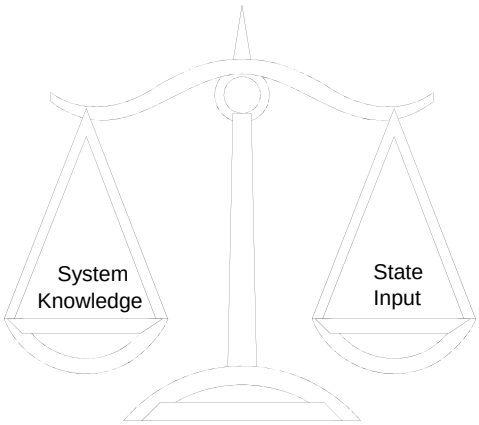
Strike a Balance



Mission Statement:
"To assess the capital improvement needs…based on sound drinking water engineering practices."

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Common Reasons for Project Deletion

- *Included elsewhere/Duplication*
- WOE not met/Inadequate doc. of need
- Growth
- Outside 20-year timeframe
- O&M
- Not responsibility of system
- Pipe over 10% without independent doc.

2011 DWINSA:

85% of projects accepted

90% of projects "adjusted accepted"

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Suggested Approach for Completing Surveys

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Suggested Approach for Completing Surveys

- EPA does not provide surveys to individual systems
- State decision and state responsibility if systems to receive the survey
  - Refer to packet provided in binder
    - Tailor packet contents as needed (state contact info, return address, instructions, state cover letter)
    - Do not alter questionnaire format or EPA cover letter

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Suggested Approach for Completing Surveys

1. Inventory approach
   - List all infrastructure expected to require rehab/replacement in 20 years that can be documented with survey-generated documentation
   - Obtain list of inventory from sanitary surveys, discussion with system, etc.

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Suggested Approach for Completing Surveys

2. Independently documented projects
   - List infrastructure projects for which you have independent documentation and the reason for need is clear and allowable, and which does not duplicate the projects identified in Step 1

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Suggested Approach for Completing Surveys

3. Effort-intensive projects
   - List projects in feasibility study-phase, those with marginal documentation, etc. *only* after completing Steps 1 and 2 and if you have time to thoroughly investigate allowability and need

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Systems Often Don't Include Long-term Needs

- Operator knowledge focused on what they need right now
- Many systems have planning documents
  - 5-10 year time frame common; 20-year time frame rare
- Difficult to get them to project-out 20 years without focusing on growth
  - Budget priorities and constraints
- But… projected needs may also not be allowable needs

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Planning Documents

- EPA reviewer does not have time to read entire document
  - But must have enough information to evaluate necessity, feasibility, and commitment
- Mark-up as you review
  - Sticky notes
  - Dog-ear pages
  - Highlight
  - Write in margins
    - Project numbers and comments

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Under-Utilized Documentation Types

- Sanitary survey reports
- Comprehensive Performance Evaluation (CPE)
- State enforcement action
- Engineer's estimates
- Bid tabulation

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Avoid Procrastination

- States that submit all questionnaires late in the process don't fare as well
  - State can't learn from their mistakes and adjust their approach
  - Backlog will delay reviews and shorten available time for modifications

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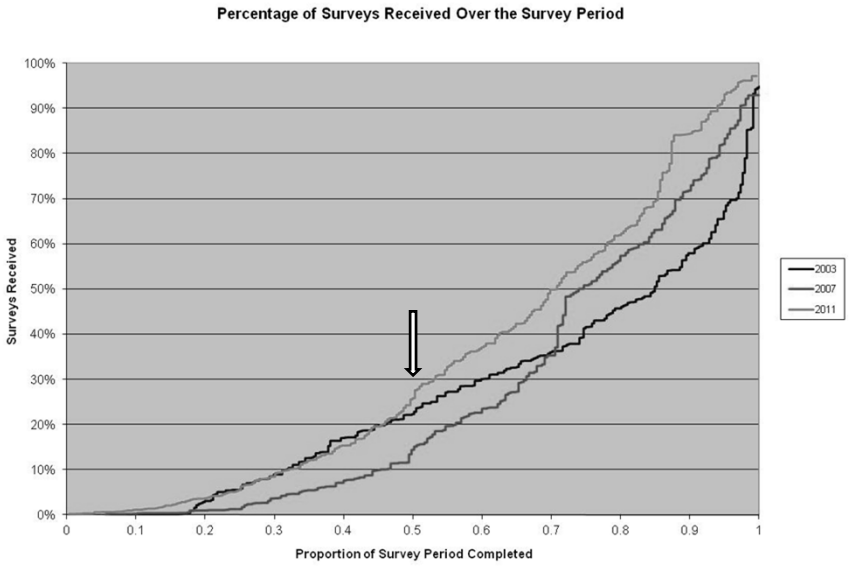
Survey Submittal Rates



Survey Response

2011 Response Rates

- Target response rate
  - 90 % per State
  - High precision
- Actual response rate
  - Nationally: 97%
  - Most states at 100%
  - *But*, one state with only 58% response
    (*also fell below 1% allotment threshold*)

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Reasons for non-response

- Voluntary effort
- Benefit to system not obvious
- Systems not using DWSRF monies
- Not the only survey on the block

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Improving Survey Response

- Help from Associations
  - AWWA, NAWC, AMWA, etc.
- State is best source
  - Site visit
  - Phone interview
- EPA willing to encourage participation

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Advantages to the State

- State participation leads to more accurate estimates of need
  - Encourages systems to participate
  - Identifies missing projects
  - Supplements documentation
- Increases knowledge of the system

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Advantages to the System

- Helps systems think more long-term and support planning efforts
- Helps the state program
  - SRF funding and set-sides for other programs
- Even if system does not use SRF, may be an attractive option in future
- Contributes to a credible report to let Congress know the true drinking water need

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State Data Collection Tools

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Site Visits

States Performing Site Visits at Medium and Large PWSs

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Preparation

- Schedule visits
  - Make appointment with the system
  - Discuss purpose of visit
  - Let system know what documentation to have on hand

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Preparation

- Review state files
  - Sanitary surveys
  - CIPs or Master Plans
  - Chemical analyses / violations
  - CPEs/CTAs

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Site Visit Procedures

- Interview system representative(s)
  - Follow *Needs Evaluation Guide*
  - Review maps, plans, engineering reports, etc.
- Evaluate infrastructure
  - Age, condition, problems needing correction
  - Not just inventory

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Site Visit Procedures

- Discuss full 20-year need
  - Identify all current and future needs
- Obtain and/or prepare documentation
- Complete questionnaire

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Needs Evaluation Guide

Refer to binder for example

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Survey Submittal Review: State Role

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State Review

- Is survey complete?
  - Consider all inventory
  - Contact system to assess whether additional projects should be added
- Are projects allowable?
- Is coding accurate?
- Is each project documented?
- Can each project be assigned a cost?

Applies to 2011 panel systems and new submittals

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State Review

- Are projects allowable?
  - If project does not meet allowability criteria – delete
    - No project information will be included in the database
    - Won't count as a deleted project
  - If allowable need, supplement documentation to clarify project

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State Review

- Is coding accurate?
  - Correct coding
  - Identify associated documentation
  - Ensure projects to have costs modeled have only one type of need code

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State Review

- Is each project documented?
  - Meet policies for type of documentation
    - Refer to Documentation Summary Table
  - Provide additional or supplemental documentation to clarify scope or reason for need
  - Validation required?
    - Simple statement for projects with no asterisk
    - Project-specific for projects with asterisk and any added project with documentation over 4 years old

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State Review

- Can each project be assigned a cost?
  - If no cost, include modeling parameters
  - Cost greater than 10 years old
    - Delete and provide modeling parameters
  - Try to capture as much cost information as possible
    - Both cost and modeling parameter
    - Rebuilding models requires data

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Survey Submittal Review: EPA Role

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EPA/Contractor Role

- Allowability
- Rigorous documentation
  - Validation adequacy
- Accurate coding
- All changes and deletions coded
- Final questionnaire on web page
  - Problems flagged using comment codes

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"Lumping" Projects

- Combining >1 project into a single project
  - Avoid duplication of need
    - Example: well rehab and well pump projects overlap
    - Pick best project based on documentation provided
  - Projects with multiple components
    - Example: multiple treatment plant components
    - Combine to plant rehab if reliant on cost models

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"Unlumping" Projects

- Separate into one type of need per project
  - If no cost is provided
    - Allow cost modeling of separate project components
    - Example: tank project and pump station project
  - If cost and parameters are provided
    - Use costs to build models

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Website will indicate status of project

- Accepted: Project accepted and cost or modeling parameter unchanged
- Accepted with Modified Cost: Project accepted but change made that may impact cost
- Accepted with No Cost: Project accepted but either no cost or no modeling parameter
- Deleted: Project deleted (usually an allowability or documentation of need issue)

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Comment Codes

- Posted to web site to identify project status
  - Details all changes made
  - Identifies problems that require attention
    - No modeling parameters
    - Missing information
    - Documentation issues
  - Provides specific reason for deletion

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Assessment Timeline

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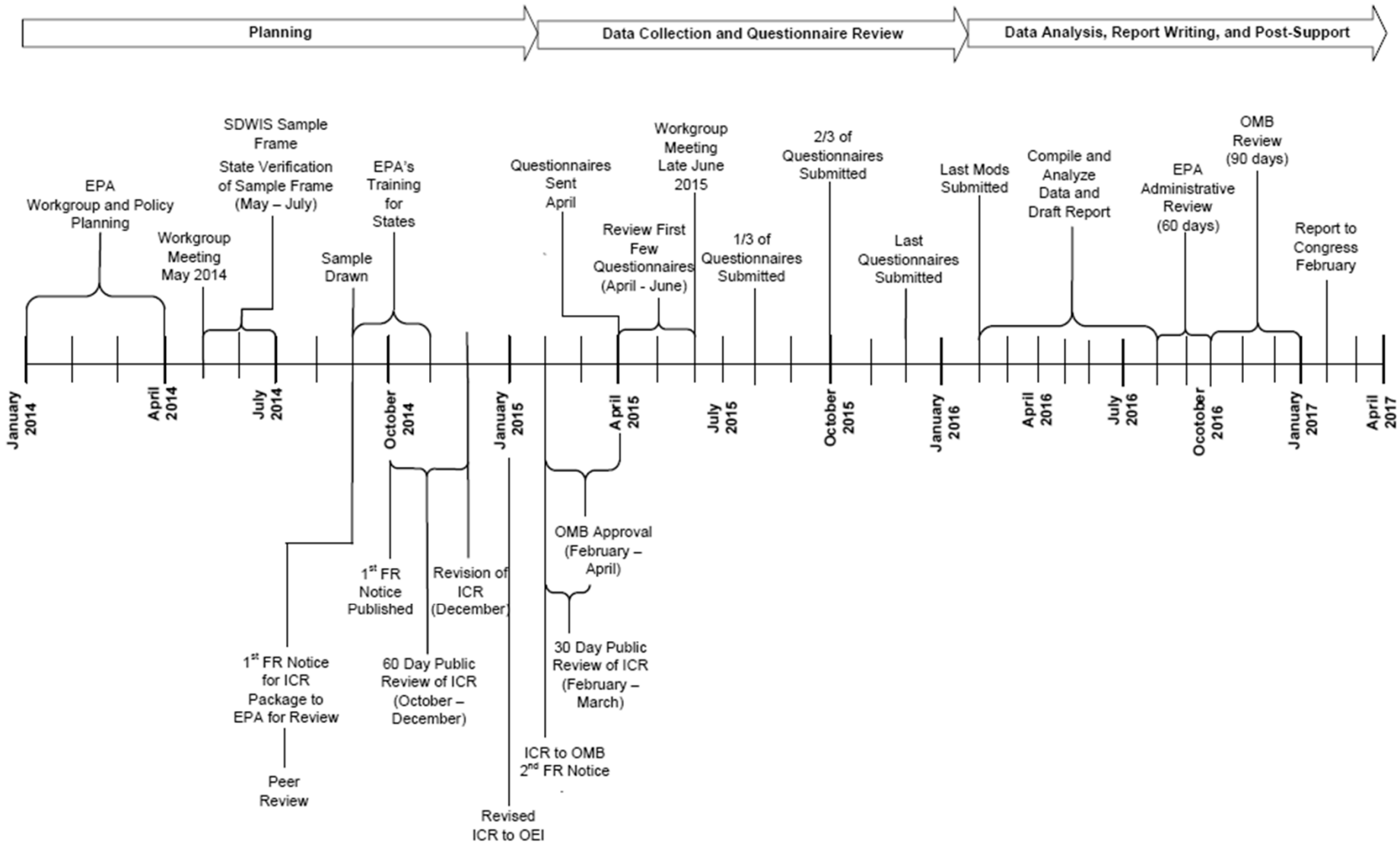
Final Report

- Report to Congress due in February 2017
  - Allow for:
    - 6 months data crunching and report draft
    - 3 months EPA Management
    - 3 months OMB review

2015 Drinking Water Infrastructure Needs Survey and Assessment Time Line



Data Collection Schedule*

[*subject to OMB approval]

• States send questionnaires to systems	April 2015
• States return first few questionnaires to EPA for review and comment	April – Early June 2015
• Workgroup meeting to discuss progress	Late June 2015
• 1/3 of all questionnaires returned to EPA	August 2015
• 2/3 of all questionnaires returned to EPA	October 2015
• All questionnaires submitted	December 2015
• Last modifications to questionnaires	February 2016

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Contact Information

- Contractor
  - E-mail submittals to needssurveysubmittals@cadmusgroup.com
  - Send hard copy documentation to:

    The Cadmus Group
    2620 Colonial Drive
    Suite A
    Helena, MT 59601
    Attention: Linda Hills
    (406) 443-9194

- Web site
  - Address: www.dwneeds.com
  - Questions regarding web access
    - Login and password
    - Excel upload issues

  E-mail: webmaster@dwneeds.com

DWINSA

Questions?

10

1

Website

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2