



## **CDBG Planning Grant Program Minimum Planning Requirements**

**Effective date:** July 16<sup>th</sup>, 2020

**Plan Type:** Utility Plan

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### **Description**

The following are the minimum technical specifications for a Water Infrastructure Plan as part of an OCRA CDBG Planning grant. This plan type requires that applicants complete a two utility plan for the water utilities present in their communities. However, if all utilities exist within a community, than the applicant must study all three. Once the initial draft is completed, a digital copy should be submitted to OCRA for review. Once OCRA has approved the draft plan, it must be submitted to and approved by the local governing body. Once approved by the local governing body, a final digital and paper copy that includes the approval by the local governing body must be submitted to OCRA in order to close-out the grant.

### **Minimum Planning Requirements**

All aspects of the plan must be in compliance with the [USDA Rural Utilities Service Bulletin 1780-2](#).

The plan must include or address all of the following items and relevant content:

#### **Required Items**

- Cover Page
- Table of Contents
- Executive Summary (2-4 pages)
- High-quality, colored and captioned maps, photographs, and/or drawings that illustrate the critical elements of the plan
- Concise narratives with minimal use of professional jargon
- Citation of all sources used in both the footnote and the reference page
- Plans must be in color, have page numbers, and be free from unusual formatting.

**Required Contents** (Plan must be organized in this order and with these headings)

#### A. Executive Summary

1. Purpose of the plan
  2. Scope of the plan
  3. Plan summary in 2-4 pages
  4. Outline of key goals, strategies and desired outcomes
- NOTE: Include page references

#### B. General Background

Provide a brief overview of the demographic, economic and educational profile of the target area (city/town, county, or region), including but not limited to:

1. Economic base (major employers, main industrial activity, etc.)
  2. Key anchor institutions in the community/county (such as public library, hospitals/clinics, community centers, museums, public schools, higher education institutions, etc.)
- C. Water Infrastructure Planning Committee (WIPC)
- Provide a summary of the WIPC. This should include:
1. List of the members of the committee and the entity they represent
    - This committee should be diverse in terms of representation (such as local government, economic development organizations, business/industry, education, health, nonprofit, faith-based, as well as other appropriate organizations/agencies and demographic groups)
  2. Outline of the committee's work in developing the plan including a listing of meetings, summaries of public hearing, and a discussion of how consensus was reached for the plan
  3. Describe role of the WIPC which includes, but is not limited to:
    - Serving as liaison between the area, OCRA, partners, funders
    - Engaging in studying key data indicators related to water infrastructure
    - Actively involved in developing, with active public input, the Water Infrastructure Plan for the targeted area
- D. Existing Facilities
1. Project Planning Area (Item 1 from RUS Bulletin 1780-2)
    - Location (maps, photographs, sketches)
    - Environmental resources present
    - Growth areas and population trends (such as age structure, population change, educational attainment, etc.)
    - Community Engagement (public input via hearings, surveys, etc.)
  2. Existing Facilities/Conditions (Item 2 from RUS Bulletin 1780-2)
    - Location map
    - History
    - Condition of facilities
      - a. Collection/Treatment/Storage/Disposal
    - Financial status of existing facilities
      - a. Current rate schedules, O&M, capital improvements, debt reserve
  3. Vision of the future state and use of the facility. The vision must:
    - Be future focused (5 to 10 years) and take into consideration foreseeable needs of the community
    - Address any service gaps and needs
  4. Key goals, along with measurable strategies linked to each goal, that will help sustain the infrastructure and expand access/outreach of the infrastructure
- E. Need for Project (Item 3 from RUS Bulletin 1780-2)
1. Health, sanitation, security
  2. Aging infrastructure

3. System operations/maintenance
  4. Reasonable growth
- F. Alternatives Considered (Minimum of three (3) alternatives, a “No Action” alternative can be one (1) of the three (3)) (Item 4 from RUS Bulletin 1780)
1. Description/Design Criteria
  2. Maps
  3. Environmental Impacts
  4. Land requirements
  5. Construction considerations
  6. General cost estimates (construction, non-construction, O&M)
  7. Advantages/disadvantages of each alternative
  8. Sustainability considerations (as applicable)
    - Water and energy efficiency
    - Green infrastructure
    - Other
- G. Selection of an Alternative (Item 5 from RUS Bulletin 1780-2)
1. Present worth (life cycle) cost analysis
  2. Matrix rating system
  3. Prioritization schedule of alternatives
  4. Non-monetary factors should be considered if present worth values are small
- H. Recommended Alternative
1. Project Design (at least two must be studied, and all three must be studied if all are present)
    - Drinking Water
      - a. Water Supply
      - b. Treatment
      - c. Storage
      - d. Pumping Stations
      - e. Distribution Layout
    - Wastewater/Reuse
      - a. Collection system/Reclaimed water system layout
      - b. Pumping stations
      - c. Treatment
      - d. Storage
    - Stormwater
      - a. Collection system layout
      - b. Pumping stations
      - c. Treatment
      - d. Storage
      - e. Disposal
      - f. Green infrastructure
  2. Total Project Cost Estimate

3. Annual Operating Budget
    - Income
    - O&M
    - Debt repayments
    - Reserves
  4. Detailed timetable for implementation
  5. Legal tools (ordinance, enforcement policies)
  6. Workforce (groups and organizations that can help with implementation)
  7. Permit requirements
  8. Sustainability considerations (as applicable)
  9. Key goals, along with measurable strategies linked to each goal, that will help sustain the infrastructure and expand access/outreach of the infrastructure
- I. Action Items
- The purpose of this section is to immediately begin to take action as dictated in the plan. The plan should therefore conclude with a summary of action items that will be taken upon OCRA approval of the plan. The following are recommended action items for this type of plan:
1. Operationalizes the recommended alternative
  2. Obtain and earmark funding for the project via appropriation, additional grant application submissions, debt financing, etc.
  3. Conclusion/Recommendations
- J. Appendices
1. Survey information
  2. Specifications on materials or products
  3. Details of any elements of the plan

For further guidance on how to create a Water Infrastructure Plan, see the following resources:

Interagency Report Template – USDA, EPA, HUD, HHS, SCWIE

[Storm Drainage Design and Technical Criteria Manual](#) – City of Brookings, SD

Wastewater Management Plan Template for Counties – State of New Jersey

[Preparing Wastewater Planning Documents and Environmental Reports for Public Utilities](#) – USDA

[Planning for Sustainability: A Handbook for Water and Wastewater Utilities](#) – EPA

[Sewer System Management Plan \(SSMP\) Development Guide](#) – San Francisco Bay Regional Water Quality Control Board

A Guide for Developing and Updating of Sewer System Management Plans (SSMPs) – Orange



County Sanitation District

[Developing Your Stormwater Pollution Prevention Plan: A Guide for Construction Sites](#) – EPA

[Community Solutions for Voluntary Long-Term Stormwater Planning](#) – EPA

Sample Municipal Stormwater Management Plan – State of New Jersey

[Developing a Water Management Plan](#) – DOE Office of Energy Efficiency and Renewable Energy

**Effective Date**

This minimum planning requirements are effective as of July 16<sup>th</sup>, 2020 and will remain in effect until amended, superseded, or rescinded.