



TECHNICAL ASSISTANCE (TA) WORK PLAN

[NAME OF RECIPIENT] (RECIPIENT)

AND

CALIFORNIA STATE WATER RESOURCES CONTROL BOARD

[NAME OF PROJECT] (PROJECT)

AGREEMENT NUMBER (NO.) [XXX-XXXXX]

TA WORK PLAN NO. [XXXX-A]

TA START DATE: [REPLACE WITH DATE OF TA ASSIGNMENT]

AMOUNT: \$ [REPLACE WITH WORK PLAN TOTAL COSTS]

[Use for Prop 1 (keep Prop 1 logo and State Water Board logo)] Whereas through the passage of Proposition 1 in November 2014, the State Water Resources Control Board (State Water Board) is authorized to make available certain general obligation bond proceeds (GO Bond Proceeds) for projects meeting certain criteria; and

[Use for SADW (keep CCI logo and State Water Board logo)] Whereas through the passage of Senate Bill 200 in July 2019, the State Water Resources Control Board (State Water Board) is authorized to make Safe and Affordable Drinking Water Funds (SADW Funds) available for projects meeting certain criteria; and

[Use for General Funds (keep State Water Board logo)] Whereas through the passage of Senate Bill 170 in September 2021 the State Water Resources Control Board (State Water Board) is authorized to make General Fund monies available for projects meeting certain criteria; and

Whereas the State Water Board has determined that this Project is eligible for **[certain GO Bond Proceeds]** [and] [certain **SADW funds**] **[certain General Fund monies]**;

Therefore, the parties hereby amend the Agreement, originally executed on [Replace with date of execution], and incorporated herein, to add:

TA WORK PLAN NO. [XXXX-A] ([X] pages attached) **

** Entire Exhibit Added

All other terms and conditions shall remain the same.

RECIPIENT:

By: _____

Name: [Replace with name of Authorized Representative]

Title: [Replace with Authorized Representative's title]

Date: _____

STATE WATER RESOURCES CONTROL BOARD:

By: _____

Name: Joe Karkoski

Title: Deputy Director, Division of Financial Assistance

Date: _____

Technical Assistance (TA) Work Plan

TA Type: ☐ Drinking Water ☐ Wastewater ☐ Storm Water ☐ Groundwater
Grant Agreement No.: [Replace with Agreement No. (XXX-XXXXX)]
TA Start Date: [Replace with date of TA assignment (MM/DD/YYYY)]
TA Recipient(s): [Replace with most commonly used community and/or system name(s) Public Water System Identification (PWSID) No(s)]
Community/System Information: Population Served:
 Number of Connections:
 Median Household Income (MHI):
 MHI Source:
Community/System Contact: [Replace with name of community/system contact name, title, affiliation, and phone and/or email]
Additional Community/System Contact: [Replace with similar information as above, for an additional Contact, if applicable]
Work Plan No.: [Replace with Work Plan No. (XXXX-A)]
Work Plan Title: [Replace with title; example: Drinking Water State Revolving Fund (DWSRF) Construction Financing Application Assistance]
Work Plan Submittal Date: [Replace with date final version emailed to Project Manager (MM/DD/YYYY)]

A. Technical Assistance DetailsWater or Wastewater System Description:

In a paragraph or two, please provide a description of the TA recipient(s)' water/wastewater systems and other water/wastewater systems involved in this TA work plan. The following information must be a part of the description.

- *For drinking water systems:*
 - *For information on state-regulated systems, refer to the Drinking Water Watch website: <https://sdwis.waterboards.ca.gov/PDWW/>*
 - *Provide the location (with map if available) of the community(ies) served*
 - *Include: Source information (surface water or groundwater); maximum daily demand (if available); number and condition of wells; type of storage; treatment system description; distribution system description, if applicable; metered or non-metered connections; etc.*
 - *Indicate if there is no Public Water System (i.e. private domestic wells)*
 - *For water systems applying to planning or construction funding, discuss opportunities for potential consolidation*

- *For wastewater systems:*
 - *For information on state-regulated systems, refer to the California Integrated Water Quality System (CIWQS) website: https://www.waterboards.ca.gov/water_issues/programs/ciwqs/publicreports.html*
 - *Identify the public agency responsible for the wastewater system and location (with map if available) of the community(ies) served*
 - *Include: description of the collection system (gravity fed, lift stations, etc.); daily influent volume (if available); treatment system; discharge location(s) (surface water and/or land application); etc. and reference the Waste Discharge Requirements (WDR) order and/or the National Pollutant Discharge Elimination System (NPDES) permit number, etc.*
 - *Indicate if the community is unsewered (i.e. private septic systems)*
 - *For wastewater systems applying to planning or construction funding, discuss opportunities for potential consolidation*

Current and Past Compliance Issues:

In a paragraph or two, please summarize the challenges(s) that the water/wastewater system(s) is/are currently experiencing. The following checklist can be used to describe such challenges.

- *Reference any active enforcement action(s), including active compliance order(s)*
 - *Include enforcement action number, date the enforcement action was issued, and the compliance deadline.*
 - *Provide information on other violation and resolved enforcement actions if applicable to the TA project*
- *For drinking water projects, typically funded by DWSRF, include:*
 - *Violations of primary and/or secondary maximum contaminant levels (MCLs) – indicate reported values (with units), date of measurement, and the applicable MCL for comparison*
 - *Surface water or Groundwater Under the Direct Influence (GWUDI) source that is untreated, unfiltered, or have other filtration treatment deficiencies*
 - *Insufficient source and/or storage capacity to meet maximum day demand (MDD)*
 - *Inability to comply with SB 552 requirements*
- *For wastewater projects, typically funded by Clean Water State Revolving Fund (CWSRF), include:*
 - *Violation of WDR or NPDES permit*
 - *Change in waste discharge location*
 - *Collection system deficiencies (e.g., inflow and infiltration ((I&I), limited capacity, known leaks/breakages, etc.)*
 - *Wastewater treatment deficiencies (for both centralized and onsite treatment)*

Need for Technical Assistance:

State the purpose of the TA project(s).

- *Describe TA needs*
 - *What public health/water quality issue(s) will be addressed?*

- Describe the goal and scope of TA
- Is this a consolidation or septic-to-sewer project?
- Reference any previous or current DWSRF, CWSRF, or other financing agreement(s) related to the issue(s) being addressed
 - Indicate current status of any funding agreement, including description of work completed to date
 - Describe any gaps that need to be addressed by TA, e.g., environmental requirements, legal assistance, application assistance, etc.

Other TA Providers:

If applicable, state which other TA provider(s) are working with the TA Recipient(s) and include a short description of their TA scope of work.

B. Summary of Proposed Deliverables and Activities

Provide a breakdown of the deliverables and related activities. A sample breakdown for various example TA tasks is given below. These examples are meant to serve as guidance. Actual description of TA tasks should be tailored to specific project(s) assigned to TA provider(s).

No.	Task	Notes and Details Regarding Related Activities	Lead TA Provider staff/consultant(s)	Deliverable & Due Date ¹	Budget ²
1	Perform Needs Assessment and Prepare Work Plan	<ul style="list-style-type: none"> • Identify the TA work plan stakeholders. • Conduct a kickoff meeting with all stakeholders; distribute meeting agenda and notes. • Identify the scope of TA, deliverables, schedule, and budget. • Prepare a draft work plan and distribute to all project stakeholders for review and comments. • Prepare a final work plan incorporating stakeholders' comments and submit to the State Water Board Project Manager for the Division of Financial Assistance's (Division) approval. 	Jane Doe	TA Work Plan - Complete (Submit via email to the State Water Board Project Manager)	\$\$\$\$

No.	Task	Notes and Details Regarding Related Activities	Lead TA Provider staff/consultant(s)	Deliverable & Due Date ¹	Budget ²
2	Conduct Income Survey	<ul style="list-style-type: none"> Conduct Income Survey in accordance with the Multi-agency Income Survey Guidelines. Prepare Income Survey Final Report and submit to the State Water Board Project Manager for approval. 	Jane Doe with X, Y, Z Consulting	Approved Final Income Survey Report - MM/DD/YYYY	\$\$\$\$
3	Conduct Community Outreach and Education Services	<ul style="list-style-type: none"> Develop fact sheet and FAQ for the selected construction project and distribute to customers via mailers. Materials shall be submitted to the Division's Project Manager for approval prior to circulation. Conduct mailer and door-to-door outreach to households within the community to determine interest in consolidation. Conduct one or two community meetings to provide project status updates and answer questions from the community. Presentation material and meeting time and location shall be submitted to the Division's Project Manager at least five (5) business days prior. Meeting notes shall be submitted afterwards. Meet with board members to provide project updates and assist them in reviewing plans and specifications and other project related documents 	Jane Doe	<p>Copies of Outreach Materials - Submit as outreach is conducted</p> <p>Summary of Outcome - MM/DD/YYYY</p>	\$\$\$\$

No.	Task	Notes and Details Regarding Related Activities	Lead TA Provider staff/consultant(s)	Deliverable & Due Date ¹	Budget ²
4	Prepare Rate Study	<ul style="list-style-type: none"> Examine operating revenues, operation and maintenance (O&M) expenses, debt service (principal and interest payments) on borrowed funds, and reserve requirements. Calculate the minimum revenues necessary to maintain a viable and self-sustaining enterprise. Include the selected construction project in this calculation. Prepare the Analysis/Report and send to the community and the State Water Board 	Jane Doe	Draft Report - MM/DD/YYYY Final Report - MM/DD/YYYY	\$\$\$\$
5	Facilitate Prop 218 Process	Assist with the Proposition 218 process for adoption of proposed water rates.	Jane Doe	Summary of Efforts and Adopted Rates - MM/DD/YYYY	\$\$\$\$
6	Prepare DWSRF/CWSRF General Package ⁴	<ul style="list-style-type: none"> Identify the construction funding applicant. Start an application for the construction project on the Financial Assistance Application Submittal Tool (FAAST) with the construction funding applicant as the Applicant Organization. Prepare a draft General Package Form for the DWSRF/CWSRF Construction Financing Application with preliminary construction project information and submit via the FAAST PIN for the construction project. Complete the final General Package for DWSRF/CWSRF Construction Financing Application with all required attachments. 	Jane Doe	Draft General Package Form- MM/DD/YYYY Complete General Package - MM/DD/YYYY	\$\$\$\$

No.	Task	Notes and Details Regarding Related Activities	Lead TA Provider staff/consultant(s)	Deliverable & Due Date ¹	Budget ²
7	Prepare Engineering Report	<ul style="list-style-type: none"> Recommend the preferred construction alternative. Provide a description of project components. Prepare a Class 3 construction cost estimate. Prepare an estimate of operation and maintenance (O&M) costs. [For DW] Prepare the draft and final Engineering Report in accordance with the Engineering Report Guidelines provided in the Technical Package of the DWSRF construction financing application. [For WW] Prepare draft and final Project Report in accordance with the Project Report Guidelines provided in the Technical Package of the CWSRF construction financing application. 	X, Y, Z Engineering	Draft Engineering Report - MM/DD/YYYY Final Engineering Report - MM/DD/YYYY	\$\$\$\$
8	Develop 90% Plans and Specifications	Prepare 90% Plans and Specifications for the selected project.	Jane Doe with X, Y, Z Engineering	60% level - MM/DD/YYYY 90% level - MM/DD/YYYY	\$\$\$\$
9	Prepare Technical, Managerial, and Financial (TMF) Assessment	<ul style="list-style-type: none"> Prepare TMF Assessment in accordance with the requirements of the Technical Package of the DWSRF construction financing application. 	Jane Doe with X, Y, Z Engineering	Completed TMF Assessment MM/DD/YYYY	\$\$\$\$
10	Prepare DWSRF Technical Package ⁴	<ul style="list-style-type: none"> Prepare preliminary and final contract documents. Prepare a Class 1 construction cost estimate. Complete Technical Package (Construction) with all attachments. 	X, Y, Z Engineering	Completed Technical Package - MM/DD/YYYY	\$\$\$\$

No.	Task	Notes and Details Regarding Related Activities	Lead TA Provider staff/consultant(s)	Deliverable & Due Date ¹	Budget ²
11	Prepare California Environmental Quality Act (CEQA) Documentation ³	<p>Prepare and submit all final CEQA documents and notices for the Selected Construction Project in accordance with the Work Plan Environmental Conditions.</p> <p><i>For projects where the State Water Board is the CEQA lead agency (written consent required), the following shall be included as part of the CEQA task:</i></p> <ul style="list-style-type: none"> The CEQA documents and notices shall be prepared to meet the Web Content Accessibility Guidelines in accordance with the Work Plan Environmental Conditions. Budget shall include applicable filing fee. 	P, Q, R Environmental Consultants	<p>NOE - MM/DD/YYYY or Draft IS/MND - MM/DD/YYYY</p> <p>Final IS/MND - MM/DD/YYYY</p>	<p>\$\$\$\$ (include applicable filing fees)</p>
12	Prepare Biological Assessment (BA) Report ³	<ul style="list-style-type: none"> Perform biological resources literature review and conduct reconnaissance-level review of project site for BA Report. Prepare and submit BA Report in accordance with the Work Plan Environmental Conditions. 	P, Q, R Environmental Consultants	<p>Draft BA Report - MM/DD/YYYY</p> <p>Final BA Report - MM/DD/YYYY</p>	<p>\$\$\$\$</p>
13	Prepare Historic Properties Identification Report (HPIR) ³	<ul style="list-style-type: none"> Prepare HPIR in accordance with the Work Plan Environmental Conditions. Submit HPIR to the State Water Board's Cultural Resources Officer. 	A, B, C Environmental Consulting	<p>Draft HPIR - MM/DD/YYYY</p> <p>Final HPIR - MM/DD/YYYY (Submit both Draft and Final HPIR via email to the Cultural Resources Officer only)</p>	<p>\$\$\$\$</p>

No.	Task	Notes and Details Regarding Related Activities	Lead TA Provider staff/consultant(s)	Deliverable & Due Date ¹	Budget ²
14	Prepare an Analysis of Environmental Alternatives ³	Submit an analysis of environmental alternatives in accordance with the Work Plan Environmental Conditions for projects that are not exempt from CEQA.	A, B, C Environmental Consulting	Analysis of Environmental Alternatives - MM/DD/YYYY	\$\$\$\$
15	Prepare DWSRF/CWSRF Environmental Package ^{3,4}	Complete the Environmental Package (Construction) with all attachments	A, B, C Environmental Consulting	Completed Environmental Package - MM/DD/YYYY	\$\$\$\$
16	Prepare DWSRF/CWSRF Financial Security Package ⁴	Complete the Financial Security Package with all attachments	Jane Doe	Completed Financial Package - MM/DD/YYYY	\$\$\$\$
17	Prepare and Submit CWSRF Planning Application	<ul style="list-style-type: none"> Develop a Plan of Study following CWSRF application requirements. Complete the application with all attachments. Identify the construction funding applicant. Create an application for the planning project on the FAAST with the planning funding applicant as the Applicant Organization. 	X, Y, Z Engineering	Plan of Study - MM/DD/YYYY Completed Application Packages - MM/DD/YYYY	\$\$\$\$
18	Provide Post-Application Support	Assist with any follow up items on the application after submission, as requested by the State Water Board Project Manager, including assistance with construction financing agreement.	X, Y, Z Engineering	Deliverable to be Determined - MM/DD/YYYY <i>[Typically 9 months after application submittal]</i>	\$\$\$\$

No.	Task	Notes and Details Regarding Related Activities	Lead TA Provider staff/consultant(s)	Deliverable & Due Date ¹	Budget ²
19	Project Management	<ul style="list-style-type: none"> Coordinate with project stakeholders. Upload work plan deliverables to the FFAST. Conduct project meetings; distribute agenda and meeting notes for each meeting. Coordinate with the State Water Board Project Manager on work plan execution and to provide response to questions. Monitor work plan scope, schedule, and budget. Provide additional project management services as needed to ensure the implementation of the Work Plan. Prepare AR close out summary upon completion or cancellation of the TA work plan. 	Jane Doe	AR Close Out Summary - MM/DD/YYYY	\$\$\$\$

¹ Deliverables shall be uploaded to the Financial Assistance Application Submittal Tool unless otherwise specified, Final deliverables associated with a funding application shall be uploaded to the FFAST proposal identification number (PIN) for the application. All other deliverables shall be uploaded to the FFAST PIN associated with this Project.

² Budget may be shifted between tasks upon written approval from the State Water Board Project Manager.

³ Recipient shall not commence environmental tasks prior to selection of a construction project. Upon selection of a construction project and prior to preparation of any environmental documents, the Recipient shall consult with and obtain concurrence from the Division of Financial Assistance on the selection of specific environmental document types.

⁴ This task assumes the submittal of a complete Drinking Water State Revolving Fund (DWSRF) construction financing application. The Division's Project Manager may direct the recipient to complete an Expedited Drinking Water Grant application instead of the DWSRF application. [Remove for CWSRF Construction Applications]

C. Total Budget (direct costs, including fringe) ¹

Budget Category	Total Amount Requested
Personnel	
Expenses and Supplies	
Equipment (>\$5,000)	

Travel	
Professional and Consultant Services	
Markup on Professional Contracted Services (XX%) <i>[Use if included in Provider's funding agreement]</i>	
Total Costs	\$

¹ Costs may be shifted between line items upon written approval from the State Water Board Project Manager. Any costs exceeding the total amount requested will require an amendment to this work plan.

Budget Assumptions:

List any assumptions made in the budget estimate (permits fees, utility certificate fees, etc.), including explanations for amount requested under Expense and Supplies, Equipment, or Travel.

D. California Environmental Quality Act (CEQA) Certification

Please indicate if all the work you will implement in connection with this work plan is consistent with one of the following CEQA exemptions:

- ☐ Feasibility and planning studies with no ground disturbing activities (California Code Regulations., Title 14, § 15262)
- ☐ Includes information collection via pilot studies, test wells, boreholes, etc. (California Code Regulations., Title 14, § 15306)

If proposed work includes ground disturbing activities in an area(s) with a potential for environmental impacts, including riparian habitat, wetland, endangered species habitat or sensitive cultural resources areas, you must notify your State Water Board Project Manager of the nature and scope of such work and receive approval prior to commencing ground disturbing activities.

E. Environmental Conditions

If this work plan includes the development of environmental documents required by the CEQA or by the environmental application package of a funding application for a construction project, the Recipient agrees to the following conditions:

- The Recipient shall not identify the State Water Board as the CEQA Lead Agency for the construction project without prior coordination with and written consent from the State Water Board, Division of Financial Assistance (Division), Environmental Section. The State Water Board generally will not consent to be the CEQA Lead Agency if the TA recipient is a public entity.
- The Recipient shall inform the Division if a CEQA Lead Agency (such as the city or county) has not been identified for the construction project. The Division will coordinate with the Recipient and local public agencies where the construction project is located, as applicable, to identify the CEQA Lead Agency for the construction project.

- If an agency other than the State Water Board is identified as the CEQA Lead Agency for the construction project, the Recipient shall coordinate with the CEQA Lead Agency to determine the appropriate CEQA documents to be prepared for the construction project and to submit all final CEQA documents and notices for the construction project to the Governor's Office of Planning and Research, State Clearinghouse. The Recipient shall be responsible for the California Department of Fish and Wildlife (CDFW), CEQA Environmental Document Filing Fees. A copy of all such CEQA documents and notices shall be submitted to the Division via the Financial Assistance Application Submittal Tool (FAAST).
- If the State Water Board consents to be the CEQA Lead Agency for the construction project, the Recipient shall coordinate with the Division to determine the appropriate CEQA documents to be prepared for the construction project, and the following conditions shall apply:
 - The State Water Board is solely responsible for carrying out consultations with Native American tribes for compliance with Assembly Bill (AB) 52. The Recipient and/or the environmental consultant is not authorized and shall not initiate any such consultations. For further guidance on AB 52 requirements contact Division's Environmental Review Staff and/or the Project Manager.
 - The Recipient shall coordinate with the Division and provide all technical studies needed to support CEQA findings such as, California Emissions Estimator Model (CalEEMod) outputs, a biological report, a cultural resources report, a wetland delineation report and a geotechnical report.
 - The Recipient shall prepare and submit all CEQA document(s), appendices to the CEQA document, public comments received (including response to comments), and notices agreed upon after consultation with the Division for the construction project for review and written approval by the Division.
 - The CEQA documents and notices shall be prepared to meet the Web Content Accessibility Guidelines 2.1 Level AA Standards in addition to the requirements of Section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794d).
 - The Recipient shall be responsible for the CDFW, CEQA Environmental Document Filing Fees due to the Governor's Office of Planning and Research, State Clearinghouse upon the Division's adoption of the CEQA document and approval of the construction project. The Recipient shall coordinate with the Division prior to paying the CDFW filing fees.
- The Recipient shall submit to the Division a Biological Assessment Report or an updated previously prepared Biological Assessment Report for the construction project that meets the requirements of Section 7 of the Endangered Species Act (ESA) for the purposes of initiating consultation with the United States Fish and Wildlife Service and/or the National Marine Fisheries Service. This condition applies to (1) all projects that receive Clean Water State Revolving Fund funding, (2) all projects that receive Drinking Water State Revolving Fund funding that are subject to Tier I environmental review, and (3) other projects, at the discretion of the Division. For applicability of this condition and further guidance on Section 7, ESA requirements contact Division's Environmental Review Staff and/or the Project Manager.
- The Recipient shall submit to the Division a Historic Properties Identification Report (HPIR) or an updated previously prepared HPIR for the construction project, authored by a qualified archaeologist that meets the requirements of Section 106 of the National Historic Preservation Act (NHPA) for the purposes of initiating consultation with the Office of Historic Preservation. This condition applies to

(1) all projects that receive Clean Water State Revolving Fund funding, (2) all projects that receive Drinking Water State Revolving Fund funding that are subject to Tier I environmental review, and (3) other projects, at the discretion of the Division. For applicability of this condition and further guidance on Section 106, NHPA requirements contact Division's Environmental Review Staff and/or the Project Manager.

- During the term of this planning Agreement, the Recipient shall request approval of any change(s) to the Scope of Work of the construction project before making those changes. Thereafter, the Division shall notify the Recipient whether additional environmental review is necessary as a result of the change(s).
- The Recipient shall not initiate any ground disturbing/construction activities unless and until the environmental review process is complete and all applicable notices are filed by the CEQA Lead Agency.

F. Additional Work Plan Conditions

[Keep for drinking water work plans]

- This work plan is subject to cancellation if two or more deliverable due dates are missed, or if work and work products are not adequate. In implementing this work plan, the Recipient agrees to advance the mission of the Safe and Affordable Funding for Equity and Resilience (SAFER) Program, and to provide consistent, accurate messaging, as agreed upon working in cooperation with State Water Board staff and other relevant stakeholders.
- This work plan is also subject to cancellation if the Recipient fails to work cooperatively with the State Water Board in advancing the goals of the SAFER program, including messaging at public meetings, communication with assistance recipients, and solution proposals. Tasks conducted under this work plan shall not be disruptive to the implementation of solutions within a community, as determined by the Division.
- Any access or right-of-entry agreements developed pursuant to this workplan must ensure that the State Water Board, the State Auditor, or any authorized representative of the foregoing, will have safe and suitable access to the project site at all reasonable times through the useful life of the project.

[Keep for non-drinking water work plans]

- This work plan is subject to cancellation if two or more deliverable due dates are missed, or if work and work products are not adequate.
- Any access or right-of-entry agreements developed pursuant to this workplan must ensure that the State Water Board, the State Auditor, or any authorized representative of the foregoing, will have safe and suitable access to the project site at all reasonable times through the useful life of the project.