

# *How to Use 2007 Assessment Data for the 2011 Assessment: Instructions for States*

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The 2007 Assessment data can be reviewed and updated to serve as the 2011 project list. In general, this means projects that are still valid (i.e., project did not begin construction as of January 1, 2011, the scope of work has not changed, and the project is still needed) and meet documentation requirements can be re-submitted and projects that are no longer valid would be deleted. New projects that are now planned for the 20-year period that ends on December 31, 2030 can be added to the project list. The projects must be submitted on a 2011 Assessment form in hard-copy or in electronic format to be included in the 2011 Assessment.

If you requested the 2007 data be provided to your systems, they would have received their 2007 Assessment project list along with a two-page document titled, “*How to Use 2007 Assessment Data for the 2011 Assessment.*” The instructions for the systems are similar to these instructions for states, but include less detail.

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## ***The following is a suggested approach to using the 2007 Assessment data for 2011:***

1. Review the 2007 Assessment project list.
  - ✓ Read through the list of projects for the system. Note the projects that were included and keep in mind the projects that were not included – such as major infrastructure components that are not represented by any projects. Remember, the projects on the 2007 list may vary from what was originally submitted. EPA may have deleted projects that did not meet the Assessment criteria (indicated by data in the first four columns only), amended project information based on Assessment policies, or lumped/unlumped projects for cost modeling.
  - ✓ Review the tables at the end of this summary that identify the types of projects for which the documentation of need requirements have changed. In all cases, if the documentation requirements changed they became more stringent – none of the changes reduced the information needed.
2. Delete projects that are not valid for the 2011 Assessment or are no longer appropriate.
  - ✓ If a project or current phase of a project started construction before January 1, 2011, or the project is no longer needed, that project or that phase cannot be included in the 2011 Assessment and should not be included on the questionnaire. Construction is considered to have started when the project begins work or ‘moves dirt.’
3. Identify projects that were accepted in 2007 for which documentation of need requirements have not changed (e.g., the project type required weight of evidence in 2007 and also requires it for 2011).
  - ✓ Projects can be included in the 2011 Assessment without resubmitting documentation of need or cost if they meet all of the following criteria:
    - The project or specified phases of the project did not begin construction as of January 1, 2011;
    - The scope of work has not changed;
    - The project is still needed;
    - The project was accepted in 2007; and,
    - Documentation of need requirements for the specific type of project (new, replacement, expansion/upgrade, or rehabilitation) are the same for the 2011 Assessment as they were for 2007.
  - ✓ If a project meets *all* of the criteria explained above, it is still valid for the 2011 Assessment and the documentation that was submitted for the project in 2007 does not need to be resubmitted. Simply provide a signed statement that the specific project has not begun construction before January 1, 2011, is of the same scope, and is still needed. Refer to the 2007 Assessment project name and number in your statement.

- ✓ If project parameters (e.g., capacity or number needed) are not modified and no additional information is needed other than the validation statement, list documentation code 20 from List 4 of the *List of Codes* in the documentation column on the questionnaire to indicate that documentation submitted for the 2007 Assessment is sufficient. Do not list any other documentation codes.
  - ✓ If the project parameters are modified and/or additional information is available (e.g., a more recent cost estimate) but the 2007 Assessment documentation is still pertinent, list documentation code 20 in the documentation column and include other applicable documentation codes to reflect the modification(s) to the project. For example, if a new treatment plant project that was submitted in 2007 is resubmitted in 2011 but there is a new cost estimate from a CIP, list documentation codes 20 and 1 on the questionnaire to indicate that the 2007 Assessment documentation as well as the new cost documentation should be used to review the project.
  - ✓ For project types where all forms of documentation are acceptable, it may be less time-consuming to provide new 2011 survey-generated documentation than to validate the 2007 project. However, it is anticipated that using the 2007 Assessment documentation will be a time-savings for projects that required weight of evidence in 2007 and the documentation requirements have not changed.
4. Identify projects that were accepted in 2007 for which documentation of need requirements have changed.
- ✓ If the documentation requirements for a project have changed for the 2011 Assessment, but the project is still valid, determine whether the documentation submitted in 2007 also meets the requirements for the 2011 Assessment. If it does, provide the signed statement described in Item 3 and list documentation code 20 in the documentation column. The documentation submitted for the 2007 Assessment will be reviewed for conformance to the 2011 Assessment policies.
  - ✓ If the documentation requirements for a project have changed, but the documentation submitted for the 2007 Assessment does not adequately address all of the requirements, refer to the 2007 documentation and provide additional documentation that will meet the new requirements. Use documentation code 20 and add documentation codes as appropriate for the new information. The new documentation and the 2007 documentation (if applicable) will be reviewed under the 2011 Assessment policies.
  - ✓ If the 2007 documentation is not adequate to meet the 2011 documentation policies, submit only new documentation. Use documentation codes that reflect the new documentation submitted; do not use documentation code 20.
5. Address projects that were deleted from the 2007 Assessment.
- ✓ If a project does not have any information in the columns to the right of the “Reason for Need” column, the project was not allowable based on the 2007 Assessment policies. If the project does not meet the 2011 Assessment criteria, do not include it on the questionnaire. However, if the project is valid and meets 2011 Assessment policies, you can include it on the 2011 questionnaire and provide appropriate documentation of need (and cost if available). The project may have been excluded in 2007 due to a lack of adequate documentation of need.
6. Add any new projects that are necessary.
- ✓ Add new projects that have been identified in the four years since the last Assessment. Also add in any projects for infrastructure that may not have been addressed in the 2007 Assessment to make sure the system has considered their full inventory of infrastructure. Provide appropriate documentation for each new project.
7. Finalize the questionnaire.
- ✓ For projects that require new documentation, ensure that the documentation describes the project and how it will address a current or future water quality and/or quantity deficiency facing existing customers. As you finalize the questionnaire, it is also important to review the projects to ensure that all infrastructure needs are addressed only once within the survey.

***Documentation of Need Requirements Have Not Changed From the 2007 Assessment***

**All forms of documentation are accepted:**

- Well pump or raw water pump (rehab or replace)
- Eliminate well pit or abandon well
- Off-stream raw water storage (rehab or replace)
- Destratification (new, rehab, or replace)
- Disinfection (rehab or replace)
- Treatment components (rehab or replace)
- Complete treatment plants (rehab)
- Finished water pumps (rehab or replace)
- Pump station (rehab)
- Pipe (rehab or replace within 10% limit)
- Lead service lines (replace)
- Backflow prevention (new or replace)
- Service lines (new or replace)
- Water meters (new or replace)
- Control valves (new, replace, or rehab)
- Elevated or ground level storage (rehab)
- Hydropneumatic storage (rehab or replace)
- Storage cover (new or replace)
- Laboratory capital needs (new or replace)
- SCADA (new or replace)
- Pump controls/telemetry (new or replace)
- Emergency power (replace)

**A weight of evidence review is required (independent documentation is required in some cases):**

- Wells and spring collectors (new, replace, or rehab)
- Surface water intake (new, replace, or rehab)
- Aquifer storage and recovery well (new, rehab, or replace)
- Complete treatment plant (new, expand/upgrade, or replace)
- Pipe (rehab or replace over 10% limit)
- Hydrants and valves (new or replace)
- Elevated and ground level storage (replace)
- Fencing or other security (new or replace)

***Documentation of Need Requirements Have Changed (Increased)  
from the 2007 Assessment***

*WOE = weight of evidence review*

*Indep. Doc. = WOE with Independent documentation of need*

- Well pump or raw water pump (new requires WOE)
- Well house (new, rehab, or replace require WOE)
- Off-stream raw water storage (new requires Indep. Doc.)
- Treatment components (new requires Indep. Doc.)
- Disinfection (new requires Indep. Doc.)
- Pump station (new requires Indep. Doc; replace requires WOE)
- Finished water pump (new requires WOE)
- Pipe (new requires Indep. Doc.)
- Elevated or ground level storage (new requires Indep. Doc.)
- Hydropneumatic storage (new requires WOE)
- Emergency power (new requires WOE)