

2011 Drinking Water Infrastructure Needs Survey and Assessment

How to Use 2007 Assessment Data for the 2011 Assessment

What is the 2007 Assessment Data?

The Safe Drinking Water Act (SDWA) directs the U.S. EPA to conduct the Drinking Water Infrastructure Needs Survey and Assessment (DWINSA or Assessment) every four years. EPA conducted the previous Assessment in 2007 and your water system was one of the approximately 3,250 public water systems that responded. To help you complete the 2011 Assessment, we have included a list of the projects that were submitted for your water system from the 2007 effort.

This list of projects may vary from what was originally submitted by your system in 2007. The state coordinator may have added projects to ensure needs allowable for the Assessment were included, deleted projects that did not meet the Assessment criteria, or edited the codes and other project information based on the Assessment policies. 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 2007 Assessment policies and was not included as a need at that time.

How Can I Use this 2007 Data to Complete My 2011 Survey?

The 2007 Assessment data can be reviewed and updated to serve as the 2011 Assessment project list. In general, this means projects that are still valid (i.e., the project did not begin construction as of January 1, 2011, the scope of work has not changed, and the project is still needed) can be re-submitted and projects that are no longer valid would be deleted.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 electronic format to be included in the 2011 Assessment – see the text box below for information on how to obtain the 2007 data and 2011 forms in an electronic format.

The following steps are a suggested approach to using the 2007 data for 2011:

1. Review the 2007 Assessment project list and the 2011 Assessment *Instructions*.
 - Read through the list of projects to become familiar with what was submitted in 2007. Note the projects that were included as well as those that were deleted (have no information to the right of the “Reason for Need” column). Also, read through the *Instructions* (yellow sheets) and the *Lists of Codes* (green booklet) which describe the 2011 Assessment project criteria, documentation requirements, and project coding.
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. Do not include these projects on the 2011 questionnaire.
3. Identify projects that were accepted in 2007 and that are still valid.
 - If a project is still valid for the 2011 Assessment, 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.
 - If project parameters (e.g., capacity or number needed) are not modified and no additional information is needed other than the validation statement, refer to the 2007 project name and number and any documentation of need or cost that may have been submitted for the 2007 Assessment – those documents will not need to be resubmitted. Use code documentation 20, *Project Relies on 2007 Assessment Documentation*, from List 4 of the *Lists of Codes* as the documentation code in the last column of the questionnaire.

- 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 documentation should be used to review the project.
4. Address projects that were deleted from your 2007 questionnaire.
- If a project does not have any information in the columns to the right of the “Reason for Need” column then the project was not allowable based on 2007 Assessment policies and was not included. If the project does not meet the 2011 Assessment criteria, do not include it on your questionnaire. If the project is valid for 2011, please include it on the 2011 questionnaire and provide documentation to address the need and either a documented cost estimate or appropriate modeling parameters so that EPA can model a cost. The project may have been excluded from the 2007 Assessment due to a lack of adequate documentation of need.
5. Add any new projects that are necessary.
- In the four years since the last Assessment, many changes may have occurred in your system. Please add new projects that have been identified during this period of time. Also, as described in the *Instructions*, make sure you’ve considered your system’s complete infrastructure and have added any projects that may not have been addressed in the 2007 Assessment. You must provide documentation of need for each new project and either a documented cost estimate or appropriate modeling parameters so that EPA can assign a cost.
6. Finalize the questionnaire and submit it and the applicable documentation to the state.
- For projects discussed in Steps 4 and 5 above, provide documentation of need to describe the project and how the project addresses a current or future water quality and/or quantity deficiency facing existing customers. Also include any additional documentation for projects discussed in Step 3. Whenever possible, please use existing documentation such as a Capital Improvements Plan (CIP), Master Plan, or a sanitary survey report. Also, ensure every project has either a documented cost estimate or appropriate modeling parameters so that EPA can assign a cost. When you’re finished, send your completed questionnaire along with the documentation to your state coordinator at the address on the last page of the 2011 questionnaire.

An electronic version of the 2007 data table is available. Projects from the 2007 data table can be copied into either the Microsoft Excel or Word versions of the 2011 questionnaire.

If you would like an electronic version of the project data or have any questions regarding this survey, please contact your state coordinator. Their contact information is provided on the last page of the blank questionnaire.