

## Appendix G. Designated Document Types

Table G-1 provides the full list of document types, designations, and definitions. See Section 3.5.1 for guidance on how to use certain document numbers. Note that alternate documents, with the exception of document type 5 (Cost of Previous Comparable Construction), may only be used to document projects and require additional documentation to support costs.

Document No.	Document Type	Designation	Description
<b>Preapproved Documents</b>			
1	CWSRF IUP/ Project Priority List	Primary	States prepare an annual IUP as part of their capitalization grant application process. This plan identifies the intended uses of the funds and how they support the goals of the CWSRF, including specific activities the state intends to support. It includes a list of projects—the Project Priority List—that may receive CWSRF assistance. The plan also includes NPS and estuary protection activities that the state expects to fund. A state’s IUP, which is prepared annually, uses state-assigned criteria to identify which projects (for Section 212 projects) or which project categories (for Section 319 or 320 projects) the state intends to fund with CWSRF money.
2	Non-CWSRF Governmental Loan and Grant Application	Primary	A grant or loan application for another federal and state program. Examples include ARPA grants, EPA’s WIFIA loans, USDA’s Rural Development Grant and Loan Program, EPA’s 319 NPS Grants, Housing and Urban Development’s Community Development Block Grant, USDA Rural Utilities Service funding and Federal Emergency Management Agency Hazard Mitigation Grants (including Flood Mitigation Assistance and Building Resilient Infrastructure and Communities Grants), the Sewer Overflow and Stormwater Reuse Municipal Grant Program, and the Virginia Department of Environmental Quality’s Water Quality Improvement Fund.
3	CWSRF Loan Pre- application/Final Application	Primary	An application for a CWSRF loan.
4	Non-governmental Grant Application	Alternate	A grant application written to a non-governmental organization, such as the Chesapeake Bay Trust.
5	Cost of Previous Comparable Construction	Alternate	This document type is used to estimate costs for projects that do not have documented costs based on similar projects within the same geographic region.

Document No.	Document Type	Designation	Description
6	State-Approved Area-Wide or Regional Basin Plan	Alternate	A CWA Section 208 Area-Wide Plan or 309 Basin Plan is a broad-based water quality management plan written primarily to identify future planning for areas within a state. These reports study large areas such as basins or counties and usually recommend general solutions to current or anticipated wastewater needs within the planning area.
7	State-Approved Local Comprehensive Water and Sewer Plan	Alternate	This document type is similar to a State-Approved Area-Wide Basin Plan (document type 6) but is not required under the CWA.
8	TMDL	Alternate	A TMDL is an estimation of the maximum amount of a pollutant that an impaired waterbody—listed on a state’s 303(d) list—can receive and still meet water quality standards. It includes an allocation of the allowable pollutant discharge amount from different point and nonpoint sources and a plan for complying that includes specific projects and an implementation schedule.
9	NEP Comprehensive Conservation and Management Plan	Alternate	A Comprehensive Conservation and Management Plan is a management plan developed for an estuary that has been nominated for the CWA Section 320 NEP. The plan summarizes findings, determines environmental quality goals and objectives, identifies and establishes priorities for addressing problems, identifies action plans and compliance schedules for pollution control and resource management, and ensures that designated uses of the estuary are protected for each of the 28 estuaries (in 18 states and Puerto Rico) in the NEP.
12a	Completed State Needs Surveys and other state forms (approved as primary)	Primary	This document type allows states to submit state-specific forms that are used to collect project and cost information for the CWNS or other state uses. This document type is used to provide CWNS ID-specific information using the form approved under document type 100.
12b	Completed State Needs Surveys and other state forms (approved as alternate)	Alternate	This document type allows states to submit state-specific forms that are used to collect project data for the CWNS or other state uses. This document type is used to provide CWNS ID-specific information using the form approved under document type 100.

Document No.	Document Type	Designation	Description
13	Wastewater/ Stormwater User Rate Study	Alternate	<p>A User Rate Study analyzes the adequacy of a utility's wastewater rates. It typically has three components:</p> <ul style="list-style-type: none"> <li>• Overall revenue requirements and financial plan</li> <li>• Cost-of-service for each customer class</li> <li>• Rate structure design</li> </ul>
14	Climate Resilience Evaluation and Awareness Tool Report	Alternate	The Climate Resilience Evaluation and Awareness Tool (CREAT) Plan Report is a summary of the risk reduction possible that can be compared with the cost of implementing the adaptation plan. The report includes the results of the risk assessment for a specific adaptation plan selected by the user and can be used as decision support to inform adaptation planning or to determine if there is a need for further assessment.
15	Regional Water Plan	Alternate	A Regional Water Plan describes current and projected water resource needs of the region and summarizes water management strategies to meet needs. Although these plans typically describe drinking water resources, they may include stormwater and wastewater as water supply sources and describe projects to reuse or manage these sources.
16	Hazard Mitigation Plan	Alternate	A Hazard Mitigation Plan reviews the current and possible risks and the community capabilities for a geographic area, then assigns long-term mitigation strategies to address vulnerabilities.
17	Integrated Stormwater and Wastewater Plan	Alternate	An Integrated Stormwater and Wastewater Plan identifies efficiencies from separate wastewater and stormwater programs to best prioritize capital investments and achieve human health and water quality objectives per EPA's Integrated Stormwater and Wastewater Management Planning Framework.
20	CIP or Master Plan	Primary	<p>A CIP is a fiscal planning document used by local governments (e.g., authorities, cities, counties, districts) to anticipate and plan for capital improvement projects or equipment purchase and schedule them over a period of time. The planning period of CIPs can span from one to 20 or more years. Most CIPs contain project- and cost-specific information.</p> <p>A Master Plan is similar to a CIP but is typically a more comprehensive municipality-wide planning document. Most Master Plans also have project- and cost-specific information.</p>
21	Facility Plan or Preliminary Engineering Report	Primary	A Facility Plan or Preliminary Engineering Report addresses a specific problem (e.g., the need for a new treatment plant) and includes several alternatives to solve the problem along with an alternatives analysis and a recommended alternative (project).
22	Engineer's Study	Alternate	An Engineer's Study assesses the scope and feasibility of a project before more detailed planning occurs. This document type encompasses documents ranging from a memo to a formal engineer's estimate.

Document No.	Document Type	Designation	Description
23	Final Engineer's Estimate/Lowest Bid	Primary	An Engineer's Estimate contains a specific description of the project scope and a list of work to be done, along with detailed itemized costs. The Final Engineer's Estimate is typically submitted as a result of detailed facility design.
24	Sewer System Evaluation Document	Alternate	This document type includes I/I analyses, SSESs, and CSO studies. An I/I analysis is a document that identifies excessive flow problems due to infiltration or inflow into the sewerage. An SSES is a document that contains the results of a sewer system survey, manhole inspection, smoke testing, and flow monitoring. It is used to evaluate the physical condition of a sewer system and identifies areas of combined sewers, downspout connections, and locations where the sewer system is at capacity.
25	Diagnostic Evaluation	Alternate	A Diagnostic Evaluation is usually performed when a wastewater treatment facility cannot achieve effluent discharge permit limits or when it experiences design, operational, analytical, or financial problems that limit the performance of the facility.
26	Sanitary Survey	Alternate	A Sanitary Survey is a logical, investigative approach to gather information to evaluate the condition of existing decentralized wastewater treatment systems, such as on-site or clustered systems.
27	State-Approved Municipal Wasteload Allocation Plan	Alternate	A Municipal Wasteload Allocation Plan is a water quality analysis done to determine the level of treatment that a specific project needs to provide, which is ultimately translated into an effluent limit or BMP in the NPDES permit.
28	Recently Promulgated Municipal, State, or Federal Regulation	Alternate	This document type is only for approved municipal, state, or federal regulations, not future or proposed regulations.
30	Administrative Order, Court Order, or Consent Decree	Alternate	These official enforcement documents are usually issued as the result of continued violation of a NPDES permit or other pollution control requirements.
31	NPDES or State Permit Requirement (with Schedule)	Alternate	Every point source discharging to waters of the United States is required to have a NPDES permit establishing effluent limitations (and other permit conditions) designed to protect the designated uses of the receiving waterbody.

Document No.	Document Type	Designation	Description
32	Draft CSO LTCP	Alternate	EPA requires communities with combined sewer systems to comply with the CSO Control Policy. To achieve this, most communities are required to develop and implement LTCPs. Annual CSO Reports for facilities without approved LTCPs are considered to be of this document type.
33	Approved CSO LTCP/Annual Report	Primary	EPA requires communities with combined sewer systems to comply with the CSO Control Policy. To achieve this, most communities are required to develop and implement LTCPs. Annual CSO Reports for facilities with approved LTCPs are considered to be of this document type.
34	Signed Draft LTCP from CSO LTCP-EZ Template	Alternate	The CSO LTCP Template for Small Communities (termed the “LTCP-EZ Template”) is a planning tool for small communities—defined by the CSO program as communities of 75,000 or fewer—that must develop LTCPs to address CSOs. A state may submit an LTCP-EZ as long as it has been signed by a local official.
35	State-Approved LTCP from CSO LTCP-EZ Template	Primary	The CSO LTCP Template for Small Communities (termed the “LTCP-EZ Template”) is a planning tool for small communities—defined by the CSO program as communities of 75,000 or fewer—that must develop LTCPs to address CSOs. A state may submit a state- or EPA-approved LTCP developed using the CSO LTCP-EZ Template to document projects.
40	Watershed-Based Plan	Alternate	A watershed-based plan that has not received Section 319 grant funding or has not been reviewed by EPA is considered to be of this document type. A “319 Watershed-Based Plan” is a plan that meets all nine minimum elements prescribed in EPA’s <i>Supplemental Guidelines for the Award of Section 319 Nonpoint Source Grants to States and Territories in FY 2003</i> .
41	Section 319 Funded or EPA Reviewed Watershed-Based Plan	Primary	An approved 319 Watershed-Based Plan that has been funded with Section 319 grant money or is reviewed by EPA is considered to be of this document type.
42	Approved State Annual 319 Workplan	Alternate	This document type includes statewide NPS Management Program Workplans and project implementation plans approved for Section 319(h) funding. A State Annual 319(h) Workplan is essentially the 319(h) grant application that a state has approved to obtain money from EPA. A 319(h) Project Implementation Plan is a specific plan for each NPS project on which the state has proposed to spend money.
43	Approved State 319 Project Implementation Plan	Primary	

Document No.	Document Type	Designation	Description
44	NPS Management Program/ Assessment Report	Alternate	An NPS Management Program is a four-year plan developed by a state to address NPS pollution problems. Elements in the program include identification of the BMPs and measures to reduce pollutant loading, programs to achieve implementation, a schedule with annual milestones, costs and identification of specific projects, certification that the laws of the state will provide adequate authority to implement the plan, and sources of funding and assistance.
45	NPS Management Program/ Groundwater Protection Strategy Report	Alternate	The goals of this major federal initiative addressing groundwater protection are to strengthen state groundwater programs; deal with significant, poorly addressed groundwater problems; create a policy framework within EPA for the guidance of groundwater policy; and strengthen the groundwater organization within EPA. Included in such a strategy are programs established under the Safe Drinking Water Act such as regulation of the injection of wastes into deep wells, the Wellhead Protection Program, and the Sole Source Aquifer program. Provisions in the Resource Conservation and Recovery Act for leaking underground storage tanks; goals in the Comprehensive Environmental Response, Compensation, and Liability Act for contaminated groundwater sites; and state grant programs in the CWA for groundwater protection activities are covered by this strategy.
46	NPS Management Program/Wellhead Protection Program and Plan	Alternate	As part of its overall groundwater protection strategy, each state must delineate wellhead protection areas for wells or well fields used for public water supply. Contaminant sources within the wellhead protection area must be identified and a management plan developed to protect the water supply in that area from contamination. Contingency plans for each public water supply system must be developed to ensure an appropriate response in the event that contamination occurs, and standards must be established for locating new wells so as to minimize the potential for contamination of the water supply.
47	NPS Management Program/Delegated Underground Injection Control Program Plan	Alternate	This plan describes EPA and state underground injection control programs established to protect potential underground sources of drinking water from contamination by injection wells.

Document No.	Document Type	Designation	Description
48	Source Water Assessment/Source Water Protection Plan	Alternate	<p>This plan describes the areas that supply public tap water, inventories contaminants and assess water system susceptibility to contamination, and informs the public of the results. Once completed, these assessments can be used to focus prevention resources on drinking water protection. EPA strongly encourages linking them to implementation of source water protection programs.</p> <p>Source Water Assessments identify the major potential sources of contamination to drinking water supplies. This information is used to determine how susceptible the water system is to contamination and could be helpful in justifying CWNS projects.</p>
49	NRCS Conservation Plan or Farm Plan	Alternate	<p>NRCS Farm Plans and Conservation Plans are documents developed by NRCS (or Conservation Districts) and farmers or landowners. Each one is a series of actions developed to meet a farmer's goals while protecting water quality and the natural resources. Some of the things considered in a plan are farm size, soils type, slope of the land, proximity to streams or water bodies, type of livestock or crops, the farmer's goals, resources such as machinery or buildings, and finances available. Farm Plans and Conservation Plans recommend practices to improve farm productivity, reduce the impact on the natural resources, and address potential water quality concerns.</p>
50	eFOTG	Alternate	<p>eFOTGs are the primary scientific references for NRCS. They contain technical information about the conservation of soil, water, air, and related plant and animal resources. eFOTGs used in each field office are localized so that they apply specifically to the geographic area for which they are prepared. Section I of the eFOTGs contains conservation practice costs, which might include the unit cost of some agricultural BMPs.</p>
51	State/Federal Agricultural Cost-Share Program Cost Tables	Alternate	<p>Some state and federal programs address agriculture's contribution to the NPS water pollution problem by providing financial incentives to farmers to install BMPs on their property.</p> <p>The Agriculture Cost-Share Program is one of the most common financial incentives used. Participating farmers receive a percentage of predetermined average costs of installed BMPs with the remaining fraction paid by farmers directly or through in-kind contributions.</p>
52	Professional Appraisal	Alternate	<p>The purchase of land or easements—usage rights—can be used to protect water quality or human health by preserving a determined level of ecosystem functions.</p>
53	Census of Agriculture	Alternate	<p>The Census of Agriculture is a complete count of U.S. farms and ranches and the people who operate them. The Census is conducted once every five years and looks at land use and ownership, operator characteristics, production practices, income, and expenditures. For more information, visit <a href="https://www.nass.usda.gov/AgCensus/">https://www.nass.usda.gov/AgCensus/</a>.</p>



Document No.	Document Type	Designation	Description
54	CEAP-Cropland	Alternate	CEAP-Cropland is a sampling and modeling approach using data from representative crop fields, the National Resources Inventory, and farmer surveys to estimate impacts of conservation practices on the environment. Its goals are to 1) estimate the effects of conservation practices currently present on the landscape, 2) estimate the need for conservation practices and the potential benefits of additional conservation treatment, and 3) simulate alternative options for implementing conservation programs on cropland in the future. For more information, visit <a href="https://www.nrcs.usda.gov/wps/portal/nrcs/detail/national/technical/nra/ceap/na/?cid=nrcs143_014144">https://www.nrcs.usda.gov/wps/portal/nrcs/detail/national/technical/nra/ceap/na/?cid=nrcs143_014144</a> .
55	U.S. Forest Service Forest Inventory and Analysis Database	Alternate	The Forest Inventory and Analysis Program of the U.S. Forest Service provides the information needed to assess America's forests. The data provide critical status and trend information to resource managers, policy makers, investors, and the public through a system of annual resource inventory that covers both public and private forest lands across the United States. Forest Inventory and Analysis reports on status and trends in forest area and location; in the species, size, and health of trees; in total tree growth, mortality, and removals by harvest; in wood production and utilization rates by various products; and in forest land ownership. Find the database at <a href="https://apps.fs.usda.gov/fia/datamart/datamart.html">https://apps.fs.usda.gov/fia/datamart/datamart.html</a> .
56	National Association of State Foresters BMP Survey	Alternate	In order to provide a national-level evaluation of the effectiveness of BMPs, the National Association of State Foresters conducts periodic surveys of all state programs. The survey goals include identifying which silvicultural activities are covered by BMPs, cataloguing the approaches to BMP implementation adopted by each state and the agencies responsible, determining to what extent effectiveness monitoring is being carried out, summarizing BMP implementation rates, and determining the current level of budget and staffing dedicated to forest-related water quality protection. Find the survey at <a href="https://www.stateforesters.org/wp-content/uploads/2018/10/Protecting-Water-Quality-through-State-Forestry-BMPs-FINAL.pdf">https://www.stateforesters.org/wp-content/uploads/2018/10/Protecting-Water-Quality-through-State-Forestry-BMPs-FINAL.pdf</a> .
60	Municipal Storm Water Management Program Plan	Alternate	A Municipal Storm Water Management Program Plan is a plan submitted as part of a municipality's NPDES stormwater permit application or with a general permit notice of intent. It includes a description of the structural and source control measures to be implemented to reduce pollutants discharged in stormwater.
61	Stormwater Utility Feasibility Study	Alternate	A stormwater utility feasibility study assesses whether establishing a stormwater utility to pay for stormwater infrastructure costs would be beneficial to a community. The study could include anticipated capital projects and/or programmatic requirements, anticipated schedule and costs, and assessments of potential billing rates.



Document No.	Document Type	Designation	Description
71	Small Community Form	Primary	The DEP generates this document specifically to ask communities with 10,000 or fewer persons to provide states with information about their facilities and their clean watershed needs.
72	Information from an Assistance Provider	Alternate	For communities with populations of 10,000 or fewer, a statement of need from a technical assistance provider (e.g., state training center, health department, circuit rider) may be used to document projects. A health department report may also be included as supplemental documentation to demonstrate need. The technical assistance provider's signature must be included. If this document does not have cost, CETs can be used to estimate costs.
73	Asset Management Plan	Alternate	Asset management is the practice of managing infrastructure capital assets to minimize the total cost of owning and operating these assets while delivering the desired service levels. Many utilities use asset management to pursue and achieve sustainable infrastructure. A high-performing asset management program includes detailed asset inventories, O&M tasks, and long-range financial planning.
96	Excel Spreadsheet Annotations	n/a	This document type is used for spreadsheet templates developed by EPA, or similar state-generated templates, to annotate documents and show how costs are summed by category. Using one of the two EPA-developed templates, states can provide required and optional inputs for either 1) a single CWNS ID supported by multiple documents or 2) a single document to support multiple CWNS IDs.
101c	CWNS ID–Specific Output to State-Specific Approach (approved as primary)	Primary	This document type is used in conjunction with an EPA-approved state-specific approach for projects and costs to provide CWNS ID–specific information, if needed, to supplement information in the approach.
101d	CWNS ID–Specific Output to State-Specific Approach (approved as alternate)	Alternate	This document type is used in conjunction with an EPA-approved state-specific approach for projects or costs to provide CWNS ID–specific information, if needed, to supplement information in the approach.
<b>Requires EPA Prior Approval</b>			
99a	Other—Undesignated (submitted as primary)	Primary	A document that discusses a CWNS ID's projects and costs but is not listed as a preapproved document requires EPA headquarters approval before being used to support both projects and costs.

Document No.	Document Type	Designation	Description
99b	Other— Undesignated (submitted as alternate)	Alternate	A document that discusses a CWNS ID's projects or costs but is not listed as a preapproved document requires EPA headquarters approval before being used to support projects or costs.
100a	State Needs Surveys and other state forms (submitted as primary)	n/a	This document type allows states to submit state-specific forms that are used to collect project and cost information for the CWNS or other state uses. Document designation type is determined after EPA review; if approved, individual completed forms are submitted as document number 12a.
100b	State Needs Surveys and other state forms (submitted as alternate)	n/a	This document type allows states to submit state-specific forms that are used to collect project or cost information for the CWNS or other state uses. Document designation type is determined after EPA review; if approved, individual completed forms are submitted as document number 12b.
101a	State-Specific Approach (submitted as primary)	n/a	This document type allows states to propose approaches to assigning projects and costs that are specific to their state and not covered under a preapproved document. Document designation type is determined after EPA review.
101b	State-Specific Approach (submitted as alternate)	n/a	This document type allows states to propose approaches to assigning projects or costs that are specific to their state and not covered under a preapproved document. Document designation type is determined after EPA review.