



# Fact Sheet

## Preparing a Wastewater Plan for DEQ Review

### What is a wastewater plan?

A wastewater plan is a report that analyzes different alternatives to meet a community's wastewater needs. It can include wastewater treatment and wastewater collection system analyses. These plans provide recommendations for improvement based on cost and other factors. This plan is also referred to as wastewater "facility plan" or "facilities plan" by DEQ or a "preliminary engineering report" by the U.S. Department of Agriculture.

### When is a wastewater plan required?

A plan is required by the following agencies to obtain funding:

- DEQ's Clean Water State Revolving Fund Program;
- U.S. Dept. of Agriculture – Rural Development; and
- Business Oregon's Community Development Block Grant Water and Wastewater and Special Public Works funding programs.

DEQ may also require a plan as part of a compliance schedule in a DEQ permit or compliance order.

### When is DEQ review of a wastewater plan required?

DEQ must review a plan before a loan can be signed through the Clean Water State Revolving Fund Program. A review will also be completed if required in a DEQ permit or compliance order. This is to ensure that the community's plan to make improvements is consistent with Oregon's water quality regulations. For more detail see the table on page 2.

### Does DEQ's review of a wastewater plan expire?

Yes, DEQ review is needed at least every 5 years. When applying for funding, the Clean Water State Revolving Fund Program will need a DEQ plan approval letter that was issued within the last 5 years. DEQ also requires another plan review if any major changes are made to the plan (for example, the selected alternative has changed). Plans that are older than 5 years with no major changes can be amended to include updated flow and load projections as opposed to developing a new plan. These amended plans can then be submitted to DEQ for review and approval.

### How to get started on a wastewater plan (facility plan) for DEQ

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Prior to developing a plan, visit the [DEQ review of plans and specifications website](#) for regional plan review contacts. Email the regional plan review contact to set up a kick-off meeting. A kick-off meeting brings the applicant, applicant’s consultant, and DEQ together to talk about what needs to be in the plan.

**Existing guidelines for plan development**

For detail on developing a plan see [Preparing Wastewater Planning Documents and Environmental Reports for Public Utilities Financed by Business Oregon, Oregon Department of Environmental Quality, Rural Community Assistance Corporation, and United States Department of Agriculture](#). This guide is focused on communities of 10,000 people or less; however, DEQ recommends it for larger communities as well. The guide consolidates the requirements of all funding agencies to avoid the expense of preparing a separate plan for each funding agency. Accordingly, DEQ encourages all communities with populations less than 10,000 to follow Appendix C of the guide.

**What does a wastewater plan for DEQ Clean Water State Revolving Fund (CWSRF) Program funding need to include?**

At a minimum, a plan needs to include the following:

- Background information on the community and surrounding socio-economic and environmental conditions.
- Population forecasts based on [Portland State University numbers](#).
- Condition of the wastewater collection and treatment system.
- Identification of reasons that a wastewater project is needed, such as new regulations, aging infrastructure, and growth.
- Evaluation of different alternatives to address these needs.
- Selection of and explanation for the favored alternative.

**DEQ review requirements for the wastewater plan depending on different funding alternatives**

	<b>CWSRF</b>	<b>USDA</b>	<b>No funding needed for &gt;5 years</b>	<b>Business OR funds for wastewater plan</b>
<b>Is DEQ review required?</b>	Yes	Yes	No	Yes
<b>When is the review required?</b>	Before construction loan is signed.	After USDA approval and prior to CWSRF interim loan.	DEQ does not review facility plans that won't be used to apply for funding.	After plan is completed as part of Business Oregon contract.
<b>What content should the plan have?</b>	All categories from Appendix C of the guide.	USDA requires Appendix C of the Guide for populations of 10,000 or less.	All categories from Appendix C of the guide.	Generally, all categories from Appendix C of the guide. However, this varies on the Business Oregon contract.

## What is DEQ’s wastewater plan review process?

For a community of 10,000 in population or less that will be applying for funding within five years, DEQ will initially review the plan to determine if it aligns with the outline in Appendix C of the guide. If the plan does not meet the outline, DEQ will check with the community to ensure it does not need funding from USDA or Business Oregon prior to proceeding with a full review for CWSRF Program funding. This ensures that the small community will not incur additional costs to prepare separate plans for Business Oregon or USDA.

For a community of greater than 10,000, DEQ proceeds with the full review for CWSRF funding, as funding from USDA and Business Oregon only applies to small and rural communities with a population of less than 10,000. DEQ provides written comments and questions on the plan and will complete its review once these have been addressed by the community.

## Terminology of wastewater plans or reports DEQ is asked to review for funding

Type of Plan	Description	Can this plan be used for CWSRF funding?
<b>Master Plan</b>	Comprehensive long-range plans intended to guide growth and development of the community or region. These plans include analyses, recommendations, and proposals for housing, transportation, community facilities, land use, stormwater, wastewater, drinking water and more.	Not typically used because these plans do not meet the Appendix C outline in the guide.
<b>Preliminary Engineering Report</b>	Report required by the USDA Rural Development for funding of communities with population of 10,000 or less. Defined in Rural Utilities Service Bulletin 1780-2 and includes the following: <ul style="list-style-type: none"> <li>• Outlines technical, environmental, financial, and social feasibility of proposed project.</li> <li>• Demonstrates that the proposed project is modest in design, size, cost, and can be constructed and operated in an environmentally responsible manner. The depth of analysis in a report is proportional to the size and complexity of the proposed project.</li> </ul>	Yes, DEQ defers to USDA provided Oregon requirements are being met to ensure that it does not complicate or jeopardize funding packages from USDA for small communities.
<b>Facilities Plan</b>	DEQ term for a comprehensive document that: <ol style="list-style-type: none"> <li>a) examines the entire existing wastewater collection, treatment, and disposal systems,</li> <li>b) identifies all operational and performance problems;</li> <li>c) projects future wastewater loads; and</li> <li>d) describes and evaluates viable alternatives for reliably meeting DEQ water quality permit requirements.</li> </ol>	Yes. See above for more detail on DEQ’s process.
<b>Pre-design Report</b>	A report that describes in detail and definite terms the recommended project using 10% preliminary design drawings and other supporting information including, but not limited to: basis of design, design criteria, site plan, process and instrumentation diagrams, hydraulic profile, major equipment list, and preliminary construction cost estimates.	Yes, as long as the plan aligns with the Appendix C planning guide outline. The scope of the report would need to be expanded to include the required information, including evaluation of alternatives.

## Questions?

For questions about this fact sheet, please contact:

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