



TECHNICAL ASSISTANCE (TA) WORK PLAN

UNIVERSITY ENTERPRISES, INC. (UEI RECIPIENT)
AND

CALIFORNIA STATE WATER RESOURCES CONTROL BOARD

SAFE AND AFFORDABLE FUNDING FOR EQUITY AND RESILIENCE (SAFER
DRINKING WATER PROGRAM TECHNICAL ASSISTANCE (PROJECT)

AGREEMENT NUMBER NO. D19-17008

AMENDED TA WORK PLAN NO. 6869-AB
TA START DATE: JANUARY 23, 2023

AMOUNT: \$ 906,802

~~Whereas through the passage of various bond acts, including Proposition 1 in November 2014 and Senate Bill 200 in July 2019, the State Water Resources Control Board (State Water Board) is authorized to make available certain general obligation bond proceeds (GO Bond Proceeds) and Safe and Affordable Drinking Water Funds (SADW Funds) for projects meeting certain criteria; and~~

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

Whereas the State Water Board has determined that this Project is eligible for certain ~~GO Bond Proceeds and/or~~ SADW Funds;

Therefore, the parties hereby amend the Agreement, originally executed on April 14, 2021, and incorporated herein, to add:

AMENDED TA WORK PLAN NO. 6869-AB (912 pages attached) **

**** Entire Exhibit Added added to replace TA Work Plan No. 6869-A (executed December 04, 2023).**

All other terms and conditions shall remain the same.

RECIPIENT:

By: Monica F. Kauppinen

Name: Monica F. Kauppinen

Title: Director, Sponsored Programs Administration

Date: 05/28/2025

STATE WATER RESOURCES CONTROL BOARD:

By: *Dat Tran* **Dat Tran** for

Name: Joe Karkoski

Title: Deputy Director, Division of Financial Assistance

Date: 05/29/2025

TA Type:

Grant Agreement No.:

TA Start Date:

TA Recipient(s):

Community/System Information:

Community/System Contact:

**Additional Community/
System Contact:**

Amended Work Plan No.:

Work Plan Title:

**Amended Work Plan Submittal
Date:**

Technical Assistance (TA) Work Plan

☒ Drinking Water ☐ Wastewater ☐ Storm Water ☐ Groundwater
D19-17008

January 23, 2023

Clearlake Oaks County Water District

Public Water System Identification (PWSID) No. 1710001

Population Served: 2551

Number of Connections: 2112

Median Household Income (MHI): \$48,780

MHI Source: 2016-2020 American Community Survey

Dianna Mann, General Manager, Clearlake Oaks CWD, d.mann@clocwd.org

707-998-3322, 707-350-3292

N/A

6869-AB

Clearlake Oaks County Water District Master Plan Update and DWSRF Application for Water
System Improvements

November 07, 2023 April 25, 2025

A. Technical Assistance Details

Water System Description:

Clearlake Oaks County Water District (District) serves the community of Clearlake in Lake County, California. It is located on the northeast area of Clearlake, along Highway 20, and 8 miles northwest of the town of Clearlake. The District has approximately 2112 service connections and 2551 residents. The source of water for the District is surface water from Clear Lake. From the 2017 Clearlake Oaks CWD Water Master Plan (WMP), the District owns and operates the water treatment plant, storage facilities, booster stations, and water distribution system. The water treatment plant is located on the northeast shoreline of Clear Lake. Water is pre-treated with ozone and sodium hypochlorite. Coagulant is added and flocculation occurs in two circular up-flow clarifiers. Water is then filtered via sand and anthracite pressure filters. It is then processed through a granular activated carbon system and disinfected with a solution of sodium hypochlorite. Water is stored in five storage tanks in the distribution system.

From the WMP, in 2015 the District produced and supplied 183.96 million gallons of water. The 2022 Average Daily Demand and Maximum Daily Demand (MDD) were 645,000 GPD and 967,500 GPD, respectively.

Current and Past Compliance Issues:

There are numerous system-wide water facilities that are in poor condition and require replacement through the design and construction of necessary infrastructure improvements. Problems meeting the summer peak water demands coupled with system-wide water losses, in excess of 30%, have made it difficult to provide dependable and safe drinking water to the District's customers. Following is a list of water system needs that should be re-evaluated with updates to the 2017 WMP, followed by design of the highest priority projects.

- **Water Distribution System** - The distribution system has water losses in excess of over 30% as a result of old and deteriorated water mains (50-60 years in age). The water distribution consists of over 40 miles of a combination of asbestos concrete, polyvinyl chloride, and galvanized pipes ranging in size from 2-12-inches in diameter. Since 2018, there have been a total of 19 boil water notices sent to District customers resulting from leaking and broken water mains. The WMP provided a water system condition matrix identifying sections of the distribution system that require immediate replacement. A second issue is the inability of the District to provide adequate MDD and fire flows to customers west of the Shady Lane Storage Tank and customers within sections of the "Keys" area.
- **Storage Facilities and Booster Pump Stations** - There is insufficient storage of treated water for both peak and fire flows. Additionally, the internal and exterior surface coatings of the existing water storage tanks need to be recoated. The Shady Lane and High Valley booster pump stations and associated systems need to be upgraded and/or replaced.
- **Water Treatment Processes** – The Water Treatment Plant (WTP) improvements include installation of permanent backwash flow equalization tank(s), implementation of settlement for the high concentrations of algae, development of adequate record drawings, improvements to the filter control valves, and improvements to other critical operations related facilities as described in the Work Plan.

Need for Technical Assistance:

1. Provide updated system-wide distribution system modeling, mapping, update the 2017 Water Master Plan project list and costs, and complete the source capacity study.
2. Update, if required, the environmental documents that evaluate and provide mitigation for construction and operational related impacts for the projects identified as part of the 2017 WMP update.
3. Provide 90% level plans and specifications for recommended projects in the 2017 WMP and the WMP update to address water shortage problems.
4. Prepare and submit Drinking Water State Revolving Fund (DWSRF) design/construction application to request funding for construction related costs for those facilities designed under this TA work plan.

Other TA Providers:

There are no other TA providers currently assisting Clearlake Oaks County Water District. However, the planning work under this work plan is in support of Planning Application 1710001-007P, submitted by the District.

Reasons for Work Plan Amendment B:

This amendment is for a time extension only. Additional time is required to complete Tasks 3-10. However, deliverable dates for Tasks 4 through 10 are constrained by the UEI SAFER Agreement D1917008 work completion date of 02/28/2026. Reasons for the delay include:

- The original work plan dates were established prior to execution of the work plan. Subcontract negotiations and execution between MC Engineering and UEI took longer than expected.
- The time needed for stakeholders to investigate current system issues extended beyond the original assumptions. More recently, Clearlake Oaks County Water District staff have been shorthanded and have had limited time to respond to requests for information and requests for assistance, including reviewing the draft report and recommendations, providing operating records, and in the case of the pipeline design component, potholing for existing utilities.
- Delays were incurred for mobilizing the subcontractor responsible for analyzing the interior of the water tanks and generating subsequent recommendations for either re-coating or replacing the tanks.
- Hydraulic modeling of the distribution system proved to be much more involved due to the discovery of bottlenecks in the system and considerable efforts were spent analyzing various fire flow scenarios early in the planning process.
- Several data discrepancies were discovered in the DMA (district metered area) analysis used to identify problem areas. Subsequent tank draw down tests were required to confirm areas with high water loss.
- Considerable time was needed to include the large number of past leaks and boil water notices in the Water Master Plan. After doing so a map was created to document the importance of the past repairs and assist in prioritizing pipeline replacement projects.

B. Summary of Proposed Deliverables and Activities

No.	Task	Notes and Details Regarding Related Activities	Lead TA Provider staff/consultant(s)	Deliverable & Due Date ¹	Budget ²
1	Needs Assessment and Prepare Work Plan	- Hold kickoff meeting and prepare meeting notes. - Identify scope, deliverables, schedule and budget; solicit and review proposals from team members. - Prepare work plan.	Sacramento State, Office of Water Programs (OWP) - Randy Marx	Needs assessment complete. Draft WP distributed	\$6,372
2	Update 2017 Water Master Plan	- Review last 5 years of records related to the WTP and distribution system operations - Conduct additional water loss and non-revenue water analysis. - Update system-wide distribution system modeling - Analyze Update the 2017 Water Master Plan, pipeline, water treatment and storage facilities project list and costs. - Update current system-wide GIS mapping. - Water Treatment Facility Needs Assessment	MC Engineering, Inc. – Mark Carey	WMP Addendum 70% Draft - 03/22/2024 <u>Complete (03/12/2025)</u> Final - 04/22/2024 <u>05/07/2025</u>	\$145,586
3	Develop 90% Plans and Specifications ⁴	- Prepare 90% Plans and Specifications for select projects as previously planned and analyzed in the 2017 WMP to address water shortage problems (backwash tank, High Valley tank and booster station, Shady Lane booster station, Konocti, Shady, and Pluth tank rehab, Hwy 20 pipeline, WTP record drawings). Include supplemental topo and a geotechnical report for the designed improvements. - Develop all above documents in accordance with the Water Board's DWSRF construction financing application guidance. - Submit draft and final Engineering Report (ER) that consists of an addendum to the 2017 WMP,	MC Engineering, Inc. – Mark Carey	Plans & Specs. 70% Draft - 04/15/2024 <u>09/20/2025</u> 90% Draft - 05/16/2024, <u>10/29/2025</u> Final - 06/17/2024 <u>10/29/2025</u>	\$624,628

No.	Task	Notes and Details Regarding Related Activities	Lead TA Provider staff/consultant(s)	Deliverable & Due Date ¹	Budget ²
		including 90% Plans and Specifications for select projects, per DFA guidelines.			
4	Update Environmental Documents ³	▪ Update environmental documents for projects in updated WMP to evaluate and provide mitigation for construction and operational related impacts. ▪ Prepare NEPA/CEQA documentation as appropriate. ▪ Perform biological and cultural resources literature review and conduct reconnaissance-level review of project site. ▪ File NEPA/CEQA documents with the State Clearinghouse and County Clerk's Office. ▪ Complete Environmental Package.	MC Engineering, Inc. /Acorn Environmental – Mark Carey	Environmental Documents - 08/12/2024 02/28/2026	\$75,738
5	DWSRF Construction General Package ^{3,4}	• Prepare General Application	MC Engineering, Inc. – Mark Carey	Submit Application Package to FASST - 08/12/2024 02/28/2026	\$3,103
6	DWSRF Construction Technical Package ^{3,4}	• Prepare Technical Application	MC Engineering, Inc. – Mark Carey	Submit Application Package to FASST - 08/12/2024 02/28/2026	\$4,000
7	DWSRF Construction Financial Package ^{3,4}	• Prepare Financial Application	MC Engineering, Inc. – Mark Carey	Submit Application Package to FASST - 08/12/2024 02/28/2026	\$4,000

No.	Task	Notes and Details Regarding Related Activities	Lead TA Provider staff/consultant(s)	Deliverable & Due Date ¹	Budget ²
8	DWSRF Construction Environmental Package ^{3,4}	Prepare Environmental Application	MC Engineering, Inc. – Mark Carey	Submit Application Package to FASST - 08/12/2024 02/28/2026	\$4,000
9	DWSRF Post Application Support	- Coordinate with DFA Project Manager on a monthly basis after submittal of Financial Assistance Application Submittal Tool (FAAST) Application - Respond to various comments and minor requests for information as needed to assist DFA in processing and approving the anticipated design/construction grant. - Assist with any follow up items on the application after submission, including assistance with construction financing agreement	MC Engineering, Inc./ – Mark Carey OWP: Randy Marx	Deliverable to be Determined - 04/27/2025 02/28/2026	\$17,460
10	Project Management	- Provide project management services - Oversight of TA team - Coordinate conference calls and meetings - Ensure quality of deliverables - Upload materials to FASST as needed - Execute Work Plan - Serve as primary point of contact - Monitor project scope, schedule, & budget - Prepare AR close out summary upon completion or cancellation of the TA work plan.	OWP: Randy Marx	Project Coordination- Ongoing Completed Deliverables Uploaded to FASST- 03/31/2025 02/28/2026	\$21,915

¹ Deliverables shall be uploaded to the Financial Assistance Application Submittal Tool **FAAST** unless otherwise specified, Final deliverables associated with a funding application shall be uploaded to the FASST proposal identification number (PIN) for the application. All other deliverables shall be uploaded to the FASST 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 DFA Project Manager may direct the recipient to complete an Expedited Drinking Water Grant application instead of the DWSRF application.

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

Budget Category	Total Amount Requested
Personnel	\$31,799
Expenses and Supplies	\$0
Equipment (>\$5,000)	\$0
Travel	\$0
Professional and Consultant Services	\$875,003
Total Costs	\$906,802

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:

N/A

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 1 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 these 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.

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

- 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.