Funding Recipients' FAQ for Preparing Scopes of Work
for
Asset Inventory and Assessment (AIA) Grants
from
The Division of Water Infrastructure (DWI)

What is a Scope of Work for an AIA project?

- The Division of Water Infrastructure (Division) requires an approved Scope of Work (Scope) prior to transmitting the formal Grant Offer to recipients of approved AIA grants.
- Scopes for AIA projects provide the Division with an overview of the project tasks, costs, timeline, and deliverables/recommendations which are used to direct disbursements.
- The Scope should look and feel similar to the description of services to be provided in the application and an engineering contract.

How do I submit my AIA Scope?

- Scopes should be submitted by the recipient (not the consultant) to the appropriate DWI project manager, as identified in the Letter of Intent to Fund (LOIF) for the AIA project, by the date indicated in the LOIF.
- The recipient (not the consultant) may submit a request for a modest extension of the submittal date via an email or letter on appropriate letterhead sent to the DWI project manager. The request must include a justification for the delay and propose a new date for submitting the scope.
- Contact your Division project manager regarding any anticipated changes to the project as described in the application prior to submitting your Scope.

What does DWI require in an AIA Scope?

- Scopes must be consistent with the project described in the approved funding application, especially the budget and challenges described in the application narrative.
- Scopes must contain the following:
  - A concise narrative describing how each project activity addresses the challenges in the approved AIA application,
  - Anticipated activities to be performed during the AIA project,
  - The cost for each project activity,
  - A schedule for completing the project within 24 months of the anticipated Grant Offer, and
  - The deliverables to be produced for the project, including GIS shape files as applicable to the project.

What are eligible AIA project activities?

- Project activities should adhere to the Division's "Water and Wastewater Utility Evaluation Guidance Document: Asset Inventory and Assessment, Capital Cost, and Operating Cost

Analyses" document which primarily is to help guide engineers and consultants during an AIA project. The latest version is posted to the DWI website ([here](#)).

- The total eligible project cost must not exceed the total awarded amount shown in the LOIF.
  - Justification must be provided if either the project as described in the application or the costs in the application budget change in the Scope.
- If equipment is an integral part of your project, contact your Division project manager prior to submitting the scope.
  - Eligible equipment costs (tablets, computers, and asset management equipment) must be no more than 10% of the grant AND justified in the scope.

What is required for the Scope narrative?

- The Scope narrative should consist of a discussion of each task and how the tasks relate to the challenges and benefits described in the approved application for funding.
- Reference any applicable historic asset management work and describe how the proposed project Scope builds upon those past asset management efforts.
- Specify that any GIS data delivered to the recipient will be provided in a format they can easily and readily update with current resources, and clearly identify who will own the data.
- Remember, the application was funded based on the specific needs of the system and proposed benefits of the AIA project.

What is required of the project schedule?

- The project schedule must show the anticipated start and end dates for each project activity.
- The final project completion date must be within 24 months of the date the Grant Offer is sent to the applicant (this language is in the Grant Offer Transmittal letter). Typically, the Grant Offer will be issued within one month of scope approval.
- Specify that DWI will be copied on draft and final deliverables, including GIS data layers.
- Provide regular (no less frequent than every other month unless otherwise directed by the Division) updates, preferably with the submittal of reimbursement requests.

What makes up the Deliverable?

- The deliverable consists of the documents, plans, and/or recommendations as a result of the project, including GIS data layers if applicable.
- Scopes must specify that both the draft and final deliverables will be submitted to the Division for review and approval prior to processing the final reimbursement request.

What if my Local Government Unit (Unit) has been designated Distressed?

- Distressed Units are required to complete the activities established in NCGS §159G-45(b), and an AIA grant provides funding to fulfill some of those requirements.
- Distressed Units are required to complete short-term and long-term plans for infrastructure repair, maintenance, and management of which a complete AMP and 10-year CIP are integral parts. AIA projects for distressed recipients must either:
  - Result in a complete Asset Management Plan (AMP) including at least a 10-year Capital Improvement Plan (CIP), or
  - Establish the basis of an AMP and a timeline for fulfilling all the activities required of distressed units.

- In general, a complete AMP consists of:
  - List of assets/asset registry;
  - Spatial database/GIS map;
  - A risk-based condition assessment of all water and/or wastewater assets;
  - Minimum 10-year Capital Improvement Plan;
  - Recommended schedule and plan for Operation, Maintenance and Rehab/Replacement, including time/cost estimates for annual budgeting;
  - Staffing plan to implement AMP/CIP, as needed; and
  - Rate study (minimum 5-year rate programming to address CIP).
- As stated in the LOIF for this project, contact your Division project manager prior to creating the Scope to discuss how this project helps your Unit fulfill the statutory requirements for Distressed Units.

Suggested Scope Format (Adobe PDF or other non-editable format)

Section 1 – Reference: Contact information, points of contact, project name, funding cycle, etc.

Section 2 – Narrative: A concise narrative description of the Scope referencing any applicable historic asset management efforts, describing how the proposed Scope builds on past efforts, and connecting the challenges described in the application with the main project activities.

Section 3 – Itemized Tasks: A description, cost, and schedule/timeline of each main project activity, enough so the Division can determine what tasks will be accomplished during the project and what is eligible for reimbursement.

Section 4 – Deliverables: A summary of the anticipated documents and plans to be created during the project with milestones including a timeline for the Division to approve the draft and final deliverables, enough so the Division can determine that the recipient will meet the funding requirements.