

Appendix E

Readiness to Proceed Criteria

**Revised Readiness to Proceed Criteria for the Florida Keys Water Quality
Improvements Program**
2/23/03

This document was developed by the Program Delivery Team (PDT) for the Florida Keys Water Quality Improvements Program.

To qualify for federal funding, the following conditions must be met: All planning (including the selection of sites, wastewater/stormwater systems to be implemented, reclaimed water evaluation, and financial planning must be complete; sites must be established as available for the intended purposes, public participation must be documented; and a (design/build/operate), (design/build) or a construction contract bid or proposal would have to be received and either executed or authorized for execution by the project sponsor's governing body within six (6) months of availability of federal funds.

1.0 SITES.

- a) **Sites Identified.** Legal descriptions of the properties, including boundary surveys, shall be complete for all required project sites. When all work will be in existing easements or rights of way or on property otherwise owned by the project sponsor, only the identification of the sites (s) will be necessary.
- b) **Sites Determined to be Environmentally and Technically Suitable.** Environmental Assessments underway. Initial geo-technical evaluations of sites, as necessary to assure feasibility of construction shall be completed. When all work will be in existing easements or rights of way or on property otherwise owned by the project sponsor and properly zoned, the foregoing determination will be unnecessary.
- c) **Site Availability.** Sufficient interest must be held, by the local government, in the sites to enable uninterrupted construction. Sufficient interest means ownership, easement, right-of-way, formal agreement enabling construction, contract for purchase, formal option for purchase/lease with willing seller, or initiation of condemnation process.
- d) **Site Zoning.** Sites shall have the appropriate legal zoning designations(s).

2.0 ENGINEERING FOR WASTEWATER MANAGEMENT PROJECTS.

- a) **Treatment Capacity.** Identification of treatment plant capacity, and treatment level.
- b) **Transmission System Technology.** Identification of collection and transmission system technology and preliminary layout.

- c) **Physical Plant Layout.** Physical overlay of treatment plant process units and disposal facilities on plant site location survey.

3.0 ENGINEERING FOR STORMWATER MANAGEMENT PROJECTS.

- a) **Treatment and Disposal Facilities.** Identification of treatment and disposal facilities or methods.
- b) **Conveyance and Storage Facilities.** Identification of conveyance and storage capacities.

4.0 PLANNING DOCUMENTATION.

- a) **Planning Documents.** All wastewater/stormwater planning must be complete and the recommendations, including those for reuse of reclaimed water, contained in the planning documents must be adopted by the local government. The recommendations are to be reflected in the procurement or contract documents.
- b) **Financial Plan.** The financial plan identifying the method of collecting rates, fees, and charges associated with providing wastewater/stormwater management services. Information on customer base, location and level of services shall be reflected in the procurement of contract documents for wastewater management services. The plan shall address all capital costs (including financing) operation and maintenance costs.
 - b.1) The financial plan shall identify the amount(s) and source(s) of the non-federal share (State Revolving Loan Program, commercial lending, bonds, dedicated local revenues, etc.) of the project costs.
 - b.2) The financial plan shall identify the nature and amount of all estimated costs, both for the project sponsor's wastewater/stormwater management system and for additional work, if any, associated with the system for which individual property owners will be directly responsible.
 - b.3) A commitment from a financing entity to make available the non-federal share of the project costs must be documented.

5.0 LEGAL.

- a) Connection ordinance for wastewater management systems. The connection ordinance shall describe all existing wastewater conditions subject to mandatory connection.
- b) Pretreatment ordinance for wastewater systems. The pretreatment ordinances shall describe the conditions under which wastes may be discharged to the system.
- c) User charge or fee provisions for wastewater/stormwater management systems. Draft ordinance/resolution provisions shall describe the structure of rates, fees, and charges. It shall describe the conditions and process under which the schedule of rates, fees, and charges will be changed.

6.0 PUBLIC PARTICIPATION. Public participation shall be complete for the following activities:

- a) Selection of project sites to be acquired for the project.
- b) Establishment of ordinances/resolutions.
- c) Adoption of recommendations for wastewater/stormwater management options and reuse.
- d) Financial planning.

7.0 FUNDING LEVEL. The acceptance of any federal funds shall not be contingent upon the receipt of additional federal/state funds in subsequent appropriations.