



# INDIANA FINANCE AUTHORITY STATE REVOLVING FUND PROGRAMS

## CLEAN WATER PROGRAM

### PRELIMINARY ENGINEERING REPORT GUIDANCE

*Revised June 2023*

The Preliminary Engineering Report (PER) is a document providing information necessary for the State Revolving Fund (SRF) Loan Program to determine the technical, economic, and environmental adequacy of the proposed project in accordance with Indiana Code (IC) 5-1.2-3 and 5-1.2-10. Approval of a PER by the SRF Loan Program is for administrative purposes only and does not relieve the loan participant of its responsibility to properly design, build, operate, and maintain the collection system and/or treatment facilities.

#### **PER SUBMITTAL REQUIREMENTS**

1. All correspondence to the SRF Loan Program, including the PER, must be sent with a transmittal letter signed by the Authorized Signatory<sup>1</sup>.
2. PER and all correspondence must be dated.
3. Two hard copies and one electronic copy (searchable pdf) of the PER must be submitted.
4. Hard copy PERs must be 3-hole punched and in a binder.
5. A table of contents, list of graphics, list of tables, and list of appendices, if applicable, must be included.
6. Please submit electronic and hard copies of the PER to:  
SRF Program Manager  
State Revolving Fund Loan Program  
100 N. Senate Avenue, Rm. 1275  
Indianapolis, IN 46204  
PERSubmittal@ifa.in.gov

#### **PER GUIDANCE AND ATTACHMENTS**

Suggested PER Organization and Required Content  
Acronym List

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<sup>1</sup> The Authorized Signatory is an official of the community or wastewater system that is authorized to contractually obligate the applicant with respect to the proposed project.

## SUGGESTED PER ORGANIZATION AND REQUIRED CONTENT

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### TABLE OF CONTENTS

The following is a suggested table of contents for a PER. PERs submitted to SRF are not required to follow this format; however, all applicable information discussed in this guidance document should be included in the PER to facilitate scoring and review of the project.

Alternate planning documents (master plans, Office of Community and Rural Affairs (OCRA) and Rural Development (RD) PERs, etc.) may be submitted to the SRF to satisfy PER submittal requirements. If an alternative planning document is submitted, it is requested that a completed PER Content Checklist be included with the document (<https://www.in.gov/ifa/srf/applications-guidance-and-documents>).

Executive Summary

Chapter 1 – Current Conditions

Chapter 2 – Utility Needs

Chapter 3 – Evaluation of Alternatives

Chapter 4 – Proposed Project

Chapter 5 – Evaluation of Environmental Impacts

Chapter 6 – Public Participation and Legal, Financial, and Managerial Capability\*

*\*It is understood that this section may be incomplete at the time of initial PER submittal and will be updated as information becomes available.*

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### EXECUTIVE SUMMARY

A brief executive summary (2-4 pages) that discusses the project location and scope, outlines the primary project purpose and need, and summarizes any pertinent background is helpful and appreciated.

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### CHAPTER 1 – CURRENT CONDITIONS

1. Please describe the existing collection system and treatment facility in terms of age, condition, and date of most recent rehabilitation/replacement of facilities. The following are examples of items that should be discussed to establish the current system conditions and needs.
  - a. Collection System
    - i. Facilities at end of useful life
    - ii. Undersized capacity / surcharging
    - iii. Operational problems
    - iv. Excessive peak flows
    - v. Sanitary Sewer Overflow (SSO) discharges
    - vi. Combined Sewer Overflow (CSO) discharges
    - vii. Long Term Control Plan (LTCP) Compliance Plan
    - viii. Agreed Order / Consent Decree
    - ix. Sewer Connection Ban
    - x. New development / platted proposed development
    - xi. Tax Increment Financing (TIF) District

- b. Unserved Areas
  - i. Failing on-site treatment systems
  - ii. Private drinking water well contamination concerns
  - iii. Direct discharge
  - iv. Insufficient soil type, terrain, lot size
- c. Wastewater Treatment
  - i. Facilities at end of useful life
  - ii. Undersized capacity (hydraulic / organic overloading)
  - iii. Operational problems
  - iv. National Pollutant Discharge Elimination System (NPDES) permit violations
  - v. Unauthorized overflows / bypasses
  - vi. Agreed Order
  - vii. Emerging contaminants
- d. Sludge Handling and Disposal
  - i. Facilities at end of useful life
  - ii. Undersized capacity
  - iii. Operational problems
  - iv. Federal 40 CFR Part 503 sludge regulations
  - v. Land application permit requirements

Where applicable, please provide available supporting information to document needs. Examples of supporting documents may include:

- a. Indiana Department of Environmental Management (IDEM) violations
  - b. Connection ban / early warning
  - c. Agreed or administrative order
  - d. Compliance schedule for new NPDES requirements
  - e. Letter of support from the County Health Department
  - f. Inspection reports
  - g. Signed agreements with significant users
  - h. Inter-local agreements
2. If sewer studies have been performed to identify and address problem areas, please include a summary of that information (field studies/modeling completed, date of study, findings, recommendations, anticipated results of recommendations, etc.).
  3. Please identify the current population served by the system and provide a map of the existing service area. Identify if the entire service is within Town or City limits, if this applies.
  4. Please describe current significant dischargers, as applicable:
    - a. Commercial
    - b. Industrial
    - c. Institutional (schools, jails, hospitals, etc.)
  5. Please discuss existing flows and loadings, and NPDES permit compliance for the last 24 months, including:
    - a. Average flow
    - b. Peak flow (wet and dry weather)
    - c. Estimated inflow and infiltration (I/I)

- d. Waste load concentrations
  - e. A breakdown of domestic, commercial/institutional, and industrial flows and loadings, if applicable
  - f. Any monthly or seasonal variations in flows and loadings due to local tourism, industry production and cleaning schedules, institutional user fluctuations, etc., if applicable
  - g. Existing average and peak flows and loadings versus design capacities of the system
  - h. Quantity and frequency of residuals disposal
  - i. Effluent quality versus permit limits
6. Please include schematics, maps, graphs and/or tables as appropriate to assist the reviewer in understanding the existing system layout, conditions, and needs.

CHAPTER 2 – UTILITY NEEDS

- 1. Please identify the 20-year service area population and provide a map of the projected 20-year service area. The population projections should be supported by Census data and other local information as applicable. Growth in excess of that supported by historic population data should be supported with additional discussion and documentation such as master plans, zoning maps, building permit trends, platted developments, developer and industrial user commitment letters, and/or TIF district documentation.
- 2. Please summarize the projected 20-year capacity needs by including table(s) similar to the following:

Table: 20-year Needs versus Existing Capacity

Design Criteria	Current Influent Conditions	20-year Influent Conditions	Existing Infrastructure Capacity
Population*			
Daily Average Flow			
Peak Hourly Flow			
BOD Loading			
TSS Loading			
TKN Loading			
P Loading			
Other pollutants of concern			

*\* Please use population, or population equivalent, as appropriate.*

- 3. Based on the current system conditions and capacities, and the projected 20-year capacity needs, please discuss the overall needs of the system. This discussion should clearly support the purpose and need of the proposed project, including any phasing prioritization.
  - a. If the project needs are not related to capacity, please include a statement that the existing wastewater collection system and treatment facility has and will have during the 20-year study period based on knowledge known at the present time, adequate capacity to transport and treat all wastewater flows generated from the service area without surcharges, bypasses, basement backups, or other chronic operational problems (except for permitted CSOs).

- b. If the collection system and/or treatment facility will not have adequate capacity for the 20-year study period, and the proposed project will not fully address the identified capacity needs, please provide a justification for not prioritizing the capacity needs and/or discuss planned phasing of projects to address the needs.
4. If NPDES effluent limits are anticipated to change, and/or effluent violations are part of the project need, please document this information by including table(s) similar to the following.

Table: 20-year Needs versus Existing Treatment Quality

Pollutant	Current NPDES Limit	Future NPDES Limit*	Current Effluent Quality
BOD			
TSS			
NH <sub>3</sub> -N			
P			
E.coli			
pH			
Other pollutants of concern			

*\* Please include preliminary effluent limitations or other supporting IDEM documentation in an appendix to the PER.*

### CHAPTER 3 – EVALUATION of ALTERNATIVES

1. Please identify and discuss the evaluation of feasible alternatives to address the identified needs. Regardless of feasibility, a discussion of the “No Action” alternative and a “Regionalization” alternative must be included in the PER. Examples of additional appropriate alternatives may include, but are not limited to:
  - a. Optimum operation of existing facility
  - b. Rehabilitation versus replacement
  - c. Expansion / upgrade
  - d. Alternative routes / locations
  - e. Treatment alternatives
  - f. Sludge handling and disposal alternatives
  - g. Phasing
  - h. Relocation out of the floodplain<sup>2</sup>
2. A 20-year net present worth (NPW) analysis is required for all feasible alternatives identified. The PER should include a statement that “a cost and effectiveness analysis was completed and meets the minimum requirements of the Water Resources Reform and Development Act of 2014” and a completed Cost and Effectiveness Certificate (<https://www.in.gov/ifa/srf/applications-guidance-and-documents>) should be included in an appendix to the PER.

<sup>2</sup> Relocation out of the floodplain is a required alternative for projects with proposed above ground infrastructure that could be negatively impacted by 100-year or 500-year flood events, per Executive Order 14030. If relocation is not feasible or preferred, please document the mitigation measures or design modifications included in the preferred alternative to reduce operational issues during flood events. Additionally, please see the environmental section of the PER guidance for required floodplain language to be included in the PER.

The NPW analysis should convert costs to present day dollars using the below conventions:

- a. Discount rate used shall be the “real” discount rate taken from the latest available update of Appendix C of OMB circular A-94.
- b. Annual operation and maintenance (O&M) costs should be converted using a uniform series present worth (USPW) calculation.
- c. Salvage value should be estimated using the anticipated life expectancy of the construction items and a straight-line depreciation calculated at the end of the 20-year planning period.

Please include detailed NPW information in an appendix to the PER and summarize the NPW analysis in a Table similar to the following:

Table: 20-year Net Present Worth Analysis

	Selected Alternative	Alternative No. 2	Alternative No. 3
Capital Cost (C)	C		
Annual O&M Cost	O&M		
Annual O&M Present Worth Cost (USPW(O&M))	USPW(O&M)		
Salvage Value	S		
Salvage Value Present Worth (SPPW(S))	SPPW(S)		
Net Present Worth	NPW = C+USPW(O&M)- SPPW(S)		
NPW Compared to Selected Alternative	NPW/NPW of Selected Alternative		

3. Please provide a brief discussion on the factors considered in the alternatives evaluation. These factors may include monetary, technical, or reliability reasons, ability to implement the alternative, environmental impacts, and/or other project specific factors. If the selected alternative does not have the lowest NPW, please specifically discuss the non-monetary factors that influenced selection of the preferred alternative.

#### CHAPTER 4 – PROPOSED PROJECT

1. Describe the selected plan components and how the current and future needs of the utility will be met.
2. If applicable to the proposed project, please include a brief discussion on the following topics.
  - a. Discuss prioritization of needs if phasing is proposed and/or identified 20-year needs will not be fully addressed by the selected project alternative.
  - b. Identify whether the loan participant owns or has legal access to the land where the proposed project will be located through rights-of-way and/or utility easements. If additional land rights are required for the project, please discuss a schedule for acquiring property rights prior to loan closing.
  - c. Discuss any setback restrictions that will be taken into consideration during design.

- d. Discuss the extent of proposed lateral construction (to right-of-way, grinder pump location, within a certain distance of the building, etc.).
  - e. Discuss impacts the proposed project will have on utility operations (change to operational certification level required, increased sampling requirements, change in on-site staff hours required for operations and maintenance, change in biosolids management and disposal, etc.)
  - f. Discuss any positive impacts the proposed project will have on drinking water supply (private and/or public).
  - g. If the loan participant is a CSO community, please describe how/if the community's LTCP and CSO strategy minimum controls apply to the project's purpose and need.
3. Please be aware that SRF may request additional preliminary design information during PER review.
  4. Please provide a figure with aerial photography showing all major elements of the proposed project, including north arrow and bar scale.
  5. Please summarize the proposed project cost by including table(s) similar to the following. Please document the cost basis with a date or equivalent metric, and include a contingency. If the project includes phasing, please include costs by project phase.

Table: Construction Costs (dollars)

Item	Quantity	Unit Cost	Total Cost
<i>Proposed Item #1</i>			
<i>Proposed Item #2</i>			
<i>Proposed Item #3</i>			
Sub-Total			
Contingencies (X%)			
Construction Costs Total			

Table: Total Project Costs (dollars)

Financial Advisor	
Bond Counsel	
Land & Rights-of-way Acquisition*	
Utility Relocation	
AMP Preparation/Updates	
Engineering Planning, Design, and Bidding Fee	
Construction Management	
Construction Inspection	
Labor Standards Administration	
Other – please specify as applicable	
Costs Related to Start-up	
Non-Construction Costs Total	
Construction Costs Total (from previous Table)	
Total Project Cost	

*\* Please break out actual land purchase and professional services associated with land acquisition, if applicable to the project.*

6. Please identify any costs that are ineligible for SRF financing and/or that will be paid for from a different source of funding.
7. Please summarize the proposed project schedule by including the following table. If the project includes alternate funding sources or phasing, please discuss these items, and add associated key milestone dates to the table.

Table: Proposed Project Schedule

Milestone	Date (Month/Year)
PER Submittal	
Completion of Environmental Studies*	
Anticipated PER Approval	
Land and Easement Acquisition Complete*	
Preliminary Effluent Limitations Request*	
Preliminary Effluent Limitations Received*	
IDEM Construction Permit Submittal	
IDEM Construction Permit Approval	
Front End Document Certification (FEDC) Submittal to SRF	
Bid Opening	
Loan Closing	
Contract Award	
Construction Notice to Proceed	
Project Substantial Completion	
Initiation of Operation	

*\* Include only the milestones applicable to the proposed project.*

8. Please discuss if the applicant will be pursuing the Green Project Reserve (GPR) Sustainability Incentive, including climate resiliency. If so, please discuss the GPR-eligible components in the PER or in an appendix to the PER and include a completed SRF Loan Program GPR Sustainability Incentive Clean Water Checklist (<https://www.in.gov/ifa/srf/files/CWSRF-GPR-Checklist-July-2018.pdf>) with appropriate backup documentation.

## CHAPTER 5 – EVALUATION OF ENVIRONMENTAL IMPACTS

1. Please provide a brief description of the proposed facility sites and line routes, particularly vegetation and disturbance history, including easements and rights-of-way. Please discuss the complete area to be disturbed during construction (temporary and permanent) and include the construction corridor width for linear work.

If a project is near a brownfield site (current or former), please include a discussion of the brownfield site and potential or known contaminants.



Please provide supporting graphics that include a north arrow and bar scale and clearly show all proposed project elements.

- a. Aerial Photography Graphic (please use the latest leaf-off photography available for the project area)
  - b. United States Geological Survey (USGS) Topography Map
  - c. Photographs of the proposed project area are not required but may be requested during the PER review process depending on project location and potential for environmental impacts.
2. Please discuss the Quadrangle map name(s), Section(s), Township(s), and Range(s) for each project element. For projects with multiple elements spanning more than one Section, Township, and/or Range; presenting the information in a table may be useful to the reviewer.
3. Discuss the potential negative environmental impacts of the proposed project within each of the following categories. Please provide supporting graphics that include a north arrow and bar scale and clearly show all proposed project elements.
- a. Disturbed / Undisturbed land
    - i. Please include a description of relevant prior disturbance at the proposed project site. Construction on undisturbed land may require an archaeological investigation. SRF will coordinate with Indiana Department of Natural Resources (IDNR) Division of Historic Preservation and Archeology (DHPA) on behalf of the applicant to determine what investigations, if any, are required for the proposed project area. Please be aware that agricultural use does not typically constitute land disturbance.
    - ii. Please include a Soils Map in this section if the project will affect undisturbed land.
  - b. Historic Properties
    - i. Please include a Historic Sites and Structures Map in this section. Please use the Indiana Historic Buildings, Bridges, and Cemeteries (IHBBC) database. Interim reports do not need to be included in the PER.
    - ii. IDNR DHPA considers landscaping and streetscapes part of historic and architectural resources. If the proposed project area lies within a registered historic district, please discuss impacts to curbs, sidewalks, brick streets, brick sewers, yards, or street-side plantings, regardless of previous disturbance.
    - iii. If ground disturbance (temporary or permanent) is anticipated to occur within 250 feet of a cemetery, please include a discussion and a zoomed in graphic with aerial photography, a north arrow and bar scale, and clearly showing all proposed project elements.
  - c. Wetlands
    - i. If construction is proposed to occur near or within a wetland area, please discuss the proposed construction methods and area of impact, and any avoidance and minimization measures. Construction activity in or very near wetlands must be avoided whenever possible. Consider installation methods such as directional boring to install proposed lines under streams and wetlands where possible. Increased cost due to avoidance measures may not be sufficient justification for affecting a high-quality wetland.
    - ii. Some projects may require a wetland delineation to determine the extent of project impacts. The applicant is responsible for coordinating with IDEM and United States Army Corps of Engineers (USACE) to determine the necessary site investigations that will be required for permitting project impacts to Waters of

the US and Waters of the State. Implementation of mitigation recommendations made by permitting agencies are a requirement for funding through SRF. Please note that compensatory mitigation costs are ineligible for SRF funding if the impacts could be avoided.

- iii. Please include a Wetlands Map showing all proposed project elements in this section. Please site the mapping resource used. Be aware that wetlands mapping resources are subject to variances and a wetland delineation survey in the field may be needed for some projects. Loan participants are encouraged to contact IDEM and the USACE early in planning and design for projects that may impact wetlands, regardless of mapping status.
- d. Surface Waters
  - i. Please specifically discuss waterway crossings associated with the project and if a trenchless construction method will be implemented to avoid impacts to surface waters. If open cut installation is proposed, please discuss why open cut crossings cannot be avoided and list the mitigation measures that will be implemented to lessen impacts to the stream and riparian vegetation, especially in wooded areas.
  - ii. Please specifically discuss if the project impacts, and/or the wastewater system discharges to, Outstanding State Resource Waters (327 IAC 2-1-11 (b), 327 IAC 2-1.3-3 (d), and 327 IAC 2-1.5-19 (b)), Natural, Scenic, and Recreational Rivers and Streams (312 IAC 7-2), Salmonid Streams (327 IAC 2-1.5-5(a)(3)), or Natural Resources Commission (NRC)-listed Outstanding Rivers (Indiana Register - 20070530-IR-312070287NRA).
  - iii. Please specifically discuss if the project is located within the Lake Michigan, St. Joseph River, or Maumee River basin.
  - iv. Please specifically discuss if the wastewater system discharges to a 303(d)-listed waterbody and/or a waterbody with an approved Total Maximum Daily Load (TMDL).
  - v. Please include a Surface Waters Map showing all proposed project elements in this section. Please site the mapping resource used and label stream crossings. Please be aware that unmapped water features may occur within a project area. Please include a discussion on this if unmapped features are identified.
- e. Groundwater
  - i. Please include a St. Joseph Aquifer Map, including all proposed project elements, if the project occurs within the defined St. Joseph Sole Source Aquifer area (St. Joseph, LaGrange, Elkhart, Noble, and Kosciusko counties). <https://www.epa.gov/dwssa/map-sole-source-aquifer-locations>
  - ii. Please include a Karst Features Map, including all proposed project elements, if the project occurs within karst areas (south central and southwest Indiana). Please site the mapping resource used and label any karst features of concern.
- f. 100-year and 500-year Floodplain
  - i. Please include the following applicable language in the PER:  
*The loan applicant is aware of the hazards of locating structures in areas subject to the base flood. [Location of the proposed project outside the 100-year flood plain is not deemed to be a feasible or reasonable alternative because \_\_\_\_\_.] OR [The proposed project is not located within the currently defined 100-year flood plain.] The applicant, through local building codes, the authority of its council or planning commission, or other means, will ensure that the SRF-funded facilities will be protected from the 500-year flood, to two feet above the base flood elevation for non-critical infrastructure, or to three feet above the base flood elevation for critical infrastructure, in accordance with Executive Order 14030.*
  - ii. Please include a Floodplain Map in this section (please include the 100-year and

500-year floodplains information if available for the project area). Please site the mapping resource used.

- g. Plants and Animals
    - i. Please enter the project into the United States Fish and Wildlife Service (USFWS)'s Information for Planning and Consultation (IPaC) system to obtain an official species list and complete the applicable determination keys. The Verification Letter with determination key results provided by the IPaC system should be included in an appendix to the PER. SRF will complete additional USFWS project coordination, if applicable. <https://ipac.ecosphere.fws.gov/>
    - ii. Please discuss tree removal (acres), if required by the project.
    - iii. Consulting agency mitigation recommendations and requirements should be implemented by the loan applicant and are a requirement of SRF funding. Please note that compensatory mitigation replacement of trees and wetlands is ineligible for SRF funding if the impacts could be avoided.
  - h. Farmland
    - i. Farmland designation is based in part on soils and hydrology, not actual use. All projects require the applicant to contact Natural Resources Conservation Service (NRCS) for a farmland determination. Please include NRCS correspondence in an appendix to the PER, including the Farmland Conversion Impact Rating form.
  - i. Air Quality
    - i. Please discuss short-term (construction-related) and long-term (operational) negative impacts associated with the proposed project. These may include noise, dust (e.g., asbestos, lead, etc.), odors, and airborne contaminants (e.g., ozone).
  - j. Open Space and Recreational Opportunities
    - i. If the project will disturb a public recreational area (e.g., a park, ball diamond, boat ramp, etc.), please discuss negative impacts associated with the proposed project. Please state the acreage to be affected, if the impact will be temporary or permanent, and discuss mitigation measures to be implemented. If the resource was obtained with federal or state funds, please also include that information in this section.
  - k. Lake Michigan Coastal Management Zone
    - i. Please discuss if the project area lies within the Lake Michigan Coastal Management Zone. This is applicable to projects in Lake, Porter, and LaPorte counties. [https://www.in.gov/dnr/lake-michigan-coastal-program/files/lm-boundary\\_and\\_watershed.pdf](https://www.in.gov/dnr/lake-michigan-coastal-program/files/lm-boundary_and_watershed.pdf)
  - l. National Natural Landmarks
    - i. In the PER, describe impacts to National Natural Landmarks. Suggested language (use only if this statement is true): "The construction and operation of the proposed project will not affect National Natural Landmarks."  
<https://www.nps.gov/subjects/nnlandmarks/nation.htm>
4. Please discuss any specific mitigation measures that will be incorporated into the project to eliminate or minimize the identified environmental impacts.

5. Please include the following “Induced/Secondary Impacts” language for all projects:  
*The [loan applicant], through local zoning laws, the authority of its council or planning commission, or other means, will ensure that future development and utility projects connecting to SRF-funded facilities will not adversely affect wetlands, wooded areas, steep slopes, archaeological/historical/structural resources, or other sensitive environmental resources. The [loan applicant] will require new development and utility projects to be constructed within the guidelines of the US Fish and Wildlife Service, Indiana Department of Natural Resources, Indiana Department of Environmental Management, and other environmental review authorities.*
  6. If the project will be completed in phases, please discuss any identified cumulative impacts of the entire proposed system, including all succeeding phases.
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## CHAPTER 6 – PUBLIC PARTICIPATION and LEGAL, FINANCIAL, and MANAGERIAL CAPABILITY

1. Conduct a Public Hearing to discuss the proposed project. Example public notice language is available for reference at <https://www.in.gov/ifa/srf/applications-guidance-and-documents>.
2. Provide the Publisher’s Affidavit and a copy of the Public Hearing notice from the newspaper. The notice must comply with the following requirements:
  - a. Be placed in the newspaper once, 10 days prior to the Public Hearing;
  - b. State what will be discussed at the Public Hearing;
  - c. State when and where the Public Hearing will be held;
  - d. State that the PER is available for public review 10 days prior to Public Hearing, and where and when the PER may be reviewed; and
  - e. State that written comments will be accepted at the Public Hearing and for five days after the Public Hearing, including an address of where to send written comments.
3. Include a sign-in sheet from the Public Hearing, including e-mail addresses.
4. Include a copy of the minutes from the Public Hearing.
5. Include all written comments submitted by the public, including comments submitted during the public hearing and during the 5-day period following the hearing. Also include any response to comments provided by, or on behalf of, the loan participant. Please state if no written comments were received.
6. Correspondence for public participation will be sent via e-mail, please provide e-mail addresses for the following:
  - a. Attendees from the Public Hearing sign-in sheet;
  - b. Interested parties (those individuals, industries, groups, and organizations who demonstrated an interest in receiving copies of the Environmental Assessment (EA)/Finding of No Significant Impact (FNSI); and
  - c. Local media outlets (newspaper, radio, or T.V. station).

If e-mail addresses are not available, please provide self-sticking mailing labels.

7. Please include executed copies of the Signatory Authorization Resolution and PER Acceptance Resolution (<https://www.in.gov/ifa/srf/applications-guidance-and-documents>)
8. Please include a completed SRF Financial Information Form (<https://www.in.gov/ifa/srf/applications-guidance-and-documents>) and a brief discussion of current user rates and estimated post-project user rates. The rate discussion should assume no grant funding unless the identified grant funding is already committed to the project. If the loan participant wishes to refinance existing debt through the SRF Loan Program, please include this information in this discussion.
9. Please discuss applicable inter-local agreements, including any quantity limitations and expiration dates. Copies of agreements may be requested.
10. Please state if the SRF loan participant is regulated by the Indiana Utility Regulatory Commission (IURC). If the loan participant is under the jurisdiction of IURC, please also discuss the status of any necessary IURC approvals related to the proposed project.
11. SRF loan participants are required to report their annual participation in utility regional planning meetings. The purpose of the regional meetings is to enable drinking water and wastewater utilities to work together to address long-term needs. A schedule for regional meetings hosted by the Indiana Finance Authority (IFA) can be found at <https://www.in.gov/ifa/3035.htm>. Please include one of the following statements in the PER:

*The [loan applicant name] last participated in a utility regional planning meeting on \_\_\_\_\_ and will continue to attend regional planning meetings on an annual basis, pursuant to IC 5-1.2-11.5-6.*

**OR**

*The [loan applicant name] has not participated in a utility regional planning meeting within the last calendar year. Pursuant to IC 5-1.2-11.5-6, the [loan applicant name] plans to meet this requirement prior to loan closing.*

12. Please submit a completed Asset Management Program (AMP) Certification form (<https://www.in.gov/ifa/srf/applications-guidance-and-documents>) and include the following statement in the PER:

*The loan applicant's existing Asset Management Program (AMP) meets the requirements defined by the State Revolving Fund's AMP Guidelines, pursuant to IC 5-1.2-10-16, and is inclusive of the Fiscal Sustainability Plan minimum requirements listed in the Federal Water Pollution Control Act Section 603(d)(1)(E). The completed AMP Certification form is included in Appendix \_\_\_\_.*

**The AMP certification form must be received by April 1 for the proposed project to be ranked on the upcoming State Fiscal Year (SFY)<sup>3</sup> Project Priority List (PPL).** Please be aware that the AMP must include the entire wastewater system, not only that which is being financed by the loan.

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*End of Guidance*

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<sup>3</sup> SFY runs July 1 through June 30.

## ACRONYMS

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AMP	Asset Management Program
BOD	biological oxygen demand
CFR	Code of Federal Regulations
CSO	Combined Sewer Overflow
CWSRF	Clean Water State Revolving Fund
DHPA	Division of Historic Preservation and Archeology
EA	Environmental Assessment
FEDC	Front End Document Certification
FNSI	Finding of No Significant Impact
GPR	Green Project Reserve
IAC	Indiana Administrative Code
IC	Indiana Code
IDEM	Indiana Department of Environmental Management
IDNR	Indiana Department of Natural Resources
IFA	Indiana Finance Authority
IHBBC	Indiana Historic Buildings, Bridges, and Cemeteries
I/I	inflow and infiltration
IPaC	Information for Planning and Consultation
IURC	Indiana Utility Regulatory Commission
LTCP	Long Term Control Plan
NH <sub>3</sub> -N	ammonia nitrogen
NPDES	National Pollutant Discharge Elimination System
NPW	net present worth
NRC	Natural Resources Commission
NRCS	Natural Resources Conservation Service
OCRA	Office of Community and Rural Affairs
O&M	operation and maintenance
P	phosphorus
PER	Preliminary Engineering Report
RD	Rural Development
SSO	Sanitary Sewer Overflow
SRF	State Revolving Fund
TIF	tax increment financing
TMDL	Total Maximum Daily Load
TSS	total suspended solids
USACE	United States Army Corps of Engineers
USFWS	United States Fish and Wildlife Service
USGS	United States Geological Survey
USPW	uniform series present worth