

# **STATE OF INDIANA**

## **Water Infrastructure Assistance Fund**



**First Biennial Report  
State Fiscal Year 2021  
July 1, 2020 – June 30, 2021**

**Water Infrastructure Assistance Fund  
Biennial Report SFY 2021  
July 1, 2020 – June 30, 2021**

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**State of Indiana**  
**Water Infrastructure Assistance Fund**  
**Biennial Report**

**SFY 2021**

**I. Introduction**

Pursuant to IC 5-1.2-14, the Indiana Finance Authority (Authority) hereby submits to the budget committee and the public this Biennial Report for State Fiscal Year (SFY) 2021<sup>1</sup> for its Water Infrastructure Assistance Fund (Fund). It is prepared in accordance with IC 5-1.2-14-11. The report will be available for the public at the SRF Loan Program website ([www.in.gov/ifa/srf](http://www.in.gov/ifa/srf)).

The purpose of the Fund is to establish the water infrastructure assistance fund as a source of money for grants, loans, and other financial assistance to, or for the benefit of, Participants in the Fund. Acronyms and terms used herein are defined in Exhibit A.

As required by IC 5-1.2-14-5, the Authority adopted guidelines to establish criteria for the making of grants, loans, and other financial assistance from the Fund. The adopted Water Infrastructure Assistance Fund Program Guidelines are provided in Exhibit B.

**II. Water Infrastructure Assistance Fund Eligible Uses**

IC 5-1.2-14 sets forth that the Fund may be used to do the following:

1. Provide grants, loans, and other financial assistance to or for the benefit of Participants for the planning, designing, acquisition, construction, renovation, improvement, or expansion of public water systems, wastewater or stormwater collection and treatment systems; and other activities necessary to complete the above activities, whether or not the other activities are permitted by the federal Clean Water Act or the federal Safe Drinking Water Act.
2. Provide grants, loans, or other financial assistance to political subdivisions for tasks associated with the development and preparation of long-term control plans, use attainability analyses, and stormwater management programs.
3. Undertake tasks associated with the development and preparation of water, wastewater, and stormwater infrastructure and resource analyses.
4. Conduct all other activities that are permitted by the federal Clean Water Act or the federal Safe Drinking Water Act.
5. Provide grants, loans, or other financial assistance to or for the benefit of Participants to establish guaranties, reserves, or sinking funds, including guaranties, reserves, or

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<sup>1</sup> Note: This first Biennial Report covers the time period of July 1, 2020 to June 30<sup>th</sup>, 2021.

sinking funds to secure and pay, in whole or in part, loans or other financial assistance made from sources other than the fund (including financial institutions) for a purpose referenced in item one above.

6. Provide interest subsidies.
7. Pay financing charges (including interest on the loan) during design and construction of a water or wastewater infrastructure project based upon a viable financial plan and for a reasonable period after the completion of construction.
8. Pay reasonable direct and indirect Program administration costs.
9. Money in the Fund may be used to establish a leveraged loan program or other financial assistance programs established in connection with the Fund and as permitted in IC 5-1.2-14-13.

### **III. Application, Project Scoring, and Criteria**

#### ***A. Application, Preliminary Engineering Report, and Asset Management Plan***

Participants who submit an application and Preliminary Engineering Report (PER) for funding through the SRF Loan Programs were considered for financing through the Fund. The purpose of the application and PER is to provide the information necessary for the Authority to determine the technical, economic, and environmental adequacy of a Proposed Project. A PER must be approved by the Authority prior to an award of Financial Assistance for a Proposed Project. The PER shall contain a section identifying the status of the development of a Participant's Asset Management Program (AMP). The AMP shall meet the criteria as set forth in the Authority's Asset Management Program Guidelines found at <https://www.in.gov/ifa/srf/2376.htm>, and as set forth in IC 5-1.2-14-8. A Participant shall certify to the Authority that it has met the above requirement.

#### ***B. Project Scoring and Ranking System***

The Authority has established a project prioritization system for the purposes of awarding financial assistance from the Fund. The project prioritization system is the same as the scoring and ranking systems currently utilized by the Authority to prioritize applications within the Indiana SRF Loan Programs. Criteria included in the scoring and ranking system are set forth in IC 5-1.2-14-8.2. For projects proposing treatment works or stormwater improvements, the project will be scored utilizing the Clean Water scoring protocols. For projects proposing Public Water System improvements, the project will be scored utilizing the Drinking Water scoring protocols. The priority scoring system(s), designed to implement the criteria, is attached as Exhibit C. The resulting scores were used to rank proposed projects on Project Priority Lists (PPL). See Exhibit D for the July 1, 2020 PPLs.

After scoring, the Proposed Project must be placed on a PPL and posted for public notice to be awarded Financial Assistance from the Authority. A PPL becomes effective on the first day of the State's fiscal year and is amended quarterly. The Authority may amend a PPL if

the Authority determines that unforeseen circumstances require an adjustment, or in the case of an emergency.

### ***C. Selection Criteria for the Program***

Selection preference of projects for receiving funding from the Fund include:

1. Projects that are ineligible for funding through the Clean Water or Drinking Water SRF Loan Programs and/or Participants that are ineligible for funding through the Clean Water or Drinking Water SRF Loan Programs.
2. Participants serving less than 3,200 customers. At least forty percent (40%) of the Fund will be set aside for these Participants.
3. Other Projects deemed appropriate by the Authority that meet the requirements of IC 5-1.2-14.

## **IV. Financial Status of the Water Infrastructure Assistance Fund**

### ***A. Sources of Funds***

The Fund consists of the following:

1. Fees and other amounts received by the State, paid by the Treasurer of the State to the Authority upon warrants issued by the Auditor of State, and deposited in the Fund.
2. Appropriations to the Fund from the general assembly
3. Grants and gifts of money to the Fund
4. Proceeds of the sale of:
  - a. Gifts to the Fund; and
  - b. Loans, evidences of other financial assistance, and other obligations evidencing the loans or other financial assistance.
5. Repayments of loans and other financial assistance from the Fund, including interest, premiums, and penalties.

### ***B. Available Funds***

The Authority was awarded a SFY 2021 Water Infrastructure Assistance Fund Appropriation, in the amount of \$20,000,000. Forty percent (40%), or \$8,000,000, of the appropriation was set aside for Participants serving less than 3,200 customers. Binding commitments were made from the Fund through the execution of a Financial Assistance Agreement between the Authority and a Participant.

### ***C. Interest Rates of Loans***

As allowed by IC 5-1.2-14-5, the Authority determined parameters for establishing the interest rate on each loan made from the Fund, including parameters for establishing the amount of interest subsidies.

The Water Infrastructure Assistance Fund uses a base interest rate, which is re-set on the first business day of each January, April, July, and October. The base rate is calculated by using 90 percent of the daily average 20-year AAA-rated, general obligation bond Municipal Market Data (MMD) composite index for the most recent calendar month. The Base Rate is discounted further based on the Participant's median household income (MHI) from the current American Community Five Year Survey and projected post-project monthly user rates.

The Participant's financial information is reviewed by the Authority to finalize an interest rate. The Participant's rate consultant completes a rate study before a rate ordinance is adopted by the Participant's governing body.

In addition to the above-mentioned criteria, the Authority may take into account the following factors when setting interest rates: credit risk, the cost of funds, and whether the financial assistance provided to a Participant is taxable or tax exempt.

More than one interest rate may be established and used for loans or other financial assistance to different Participants or for the same Participant.

Participants that delay the repayment of new debt around existing debt service may be assessed 25 additional basis points to offset the additional subsidy they are afforded. The Authority has the discretion to waive the extra charge for Participants. Any Participant proposing to use a "wrap structure" will be required to justify it by showing a substantial, positive effect on user rates.

In SFY 2021, recipients of the Fund received interest rates at 2.00%. See Interest Rate Matrices, [Exhibit E](#).

### ***D. Terms of Loans***

Water Infrastructure Assistance Fund loans were structured so that minimum annual principal repayments commence one year after expected completion of the project. Final principal payment may occur up to 35 years after expected completion of the project, provided the useful life of the project is equal to or greater than the loan term.

Additionally, the Authority expects level debt service payments except in limited circumstances, such as where debt service is wrapped around a Participant's existing debt based on user rate affordability. Executing a loan through the Fund on any basis other than level, aggregate annual debt service is subject to additional Authority review and approval.

### ***E. Loan Closing Fees***

The cost of financing loans includes fees and expenses of the SRF Trustee Bank. The Authority may require Participants to offset some of these costs through a Loan Closing Fee, which is \$1,000 per closing. In SFY 2021, the Fund collected \$6,000 in loan closing fees. The use of which is limited to current and future eligible costs of the Fund, as described in Section II.

### ***F. Assurances***

The Authority hereby affirms that it retains an independent auditor to review and audit the use of funds deposited in the Fund in accordance with the auditing procedures of the State.

## **V. Financial Assistance Provided**

In SFY 2021, the Authority entered into six Financial Assistance Agreements totaling \$18,581,000. All Participants have certified that Asset Management Plans are now or will be completed prior to final disbursement of the financial assistance to be provided. All Participants have participated in Regional coordination efforts and Drinking Water facilities have documented the submission of a Non-Revenue Water Audit.

As required by IC 5-1.2-14-8.4, the Authority made at least forty percent (40%) of the appropriation available solely for providing loan assistance to utilities serving less than 3,200 customers. \$12,410,000 of the \$20,000,000 appropriated was allocated to communities serving less than 3,200 customers.

A list of projects funded is located Exhibit F.

Exhibit A: Water Infrastructure Assistance Fund Definitions



## Exhibit A

Terms used in this document have the following meanings:

**Asset Management Program or AMP** means the program developed and implemented by the Participant demonstrating that it has the technical, managerial, legal, and financial capability to operate and maintain its water and/or wastewater system. AMPs shall follow the AMP Guidelines developed by the Authority and shall be inclusive of the requirements of the Fiscal Sustainability (FSP) for wastewater projects. The AMP certification will meet the requirements of both the AMP and the FSP.

**Authority** means the Indiana Finance Authority, created under IC 5-1.2-3, which administers the Program. IC 5-1.2-14-1.

**Clean Water Act** means the Federal Water Pollution Control Act (FWPCA), 33 U.S.C. 1251 et seq., in effect on January 1, 1989, amended on December 16, 1996, and further amended by the Water Resources Reform and Development Act of 2014 (WRRDA), in effect on October 1, 2014.

**Clean Water SRF** means the State's Clean Water State Revolving Fund Loan Program as authorized by Clean Water Act, and IC 5-1.2-10.

**Drinking Water SRF** means the State's Drinking Water State Revolving Fund Loan Program as authorized by the Safe Drinking Water Act, and IC 5-1.2-10.

**Financial Assistance** means the types of financial assistance authorized by IC 5-1.2-14.

**Financial Assistance Agreement** means an agreement between a Participant and the Authority pursuant to IC 5-1.2-14-6 and IC 5-1.2-14 -8 that contains the terms and conditions of the grant, loan or other financial assistance provided from the Water Infrastructure Assistance Program. The Financial Assistance Agreement is a valid, binding, and enforceable agreement.

**Funded Project** means a Proposed Project which received funding through an executed Financial Assistance Agreement.

**Loan** means purchasing the notes or bonds of a Participant to finance a Proposed Project.

**Participant** means the following:

- (1) Political Subdivision as defined in IC 36-1-2-13.
- (2) Regional Water, Sewage, or Solid Waste District organized under IC 13-26-1.
- (3) Not-for-profit utilities as defined in IC 8-1-2-125.
- (4) Conservancy District established for the purpose set forth in IC 14-33-1-1(a)(4) & (5).

- (5) Any other owner of a wastewater treatment system that is authorized by the federal Clean Water Act to borrow from the Wastewater Revolving Loan Program established under IC 5-1.2.-10.
- (6) Any other owner of a public water system that is authorized by the federal Safe Drinking Water Act to borrow from the Drinking Water Revolving Loan Program established under IC 5-1.2-10; and,
- (7) Any other non-political subdivision that owns a treatment works, public water system, or stormwater system.

**Preliminary Engineering Report or PER** means the document(s) submitted by a Participant that provides the information necessary for the Authority to determine the technical, economic, and environmental adequacy of a Proposed Project.

**Project Priority List or PPL** ranks, in descending priority of need, Proposed Projects for which applicants have requested Financial Assistance from the Authority for eligible projects. The PPL is created by the Authority, updated quarterly, and may be amended as necessary.

**Proposed Project** means the activities or tasks a Participant identifies in its PER or any other document required by the Authority related to the planning, design, and /or construction of a Proposed Project for which a Participant may commit and expend funds.

**Safe Drinking Water Act** means the federal act, as amended by the Safe Drinking Water Act Amendments of 1986, the Lead Contamination Control Act of 1988, and the Safe Drinking Water Act Amendments of 1996, and further amended by the Water Infrastructure Improvements for the Nation Act of 2016 (WIIN), in effect on December 16, 2016.

**SRF Loan Programs** means the Clean Water SRF Loan Program and the Drinking Water SRF Loan Program.

Exhibit B: Water Infrastructure Assistance Program Guidelines

## EXHIBIT B

# **WATER INFRASTRUCTURE ASSISTANCE PROGRAM**

## **GUIDELINES**



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# WATER INFRASTRUCTURE ASSISTANCE PROGRAM GUIDELINES

## **Section 1: Program Established; Purpose of Program**

The Water Infrastructure Assistance Program (Program) is established by IC 5-1.2-14.

The purpose of the Program is to establish the water infrastructure assistance fund as a source of money for grants, loans, and other financial assistance to, or for the benefit of, participants in the Program. The Program is administered by the Indiana Finance Authority (Authority). The uses of the fund are outlined in Section 3 of these guidelines.

## **Section 2: Definitions**

The following definitions apply throughout this document:

**Asset Management Program or AMP** means the program developed and implemented by the Participant demonstrating that it has the technical, managerial, legal and financial capability to operate and maintain its water and/or wastewater system. AMPs shall follow the AMP Guidelines developed by the Authority and shall be inclusive of the requirements of the Fiscal Sustainability (FSP) for wastewater projects. The AMP certification will meet the requirements of both the AMP and the FSP.

**Authority** means the Indiana Finance Authority, created under IC 5-1.2-3, which administers the Program. IC 5-1.2-14-1.

**Clean Water Act** means the Federal Water Pollution Control Act (FWPCA), 33 U.S.C. 1251 et seq., in effect on January 1, 1989, amended on December 16, 1996, and further amended by the Water Resources Reform and Development Act of 2014 (WRRDA), in effect on October 1, 2014.

**Clean Water SRF** means the State's Clean Water State Revolving Fund Loan Program as authorized by Clean Water Act, and IC 5-1.2-10.

**Drinking Water SRF** means the State's Drinking Water State Revolving Fund Loan Program as authorized by the Safe Drinking Water Act, and IC 5-1.2-10.

**Financial Assistance** means the types of financial assistance authorized by IC 5-1.2-14.

**Financial Assistance Agreement** means an agreement between a Participant and the Authority pursuant to IC 5-1.2-14-6 and IC 5-1.2-14 -8 that contains the terms and conditions of the grant, loan, or other financial assistance provided from the Water Infrastructure Assistance Program. The Financial Assistance Agreement is a valid, binding, and enforceable agreement.

**Funded Project** means a Proposed Project which received funding through an executed Financial Assistance Agreement.

**Loan** means purchasing the notes or bonds of a Participant to finance a Proposed Project.

**Participant** means the following:

- (1) Political Subdivision as defined in IC 36-1-2-13;
- (2) Regional Water, Sewage, or Solid Waste District organized under IC 13-26-1;
- (3) Not for profit utilities as defined in IC 8-1-2-125;

- (4) Conservancy District established for the purpose set forth in IC 14-33-1-1(a)(4) & (5);
- (5) Any other owner of a wastewater treatment system that is authorized by the federal Clean Water Act to borrow from the wastewater revolving loan program established under IC 5-1.2.-10;
- (6) Any other owner of a public water system that is authorized by the federal Safe Drinking Water Act to borrow from the drinking water revolving loan program established under IC 5-1.2.-10; and,
- (7) Any other non-political subdivision that owns a treatment works, public water system, or stormwater system.

**Preliminary Engineering Report or PER** means the document(s) submitted by a Participant that provides the information necessary for the Program to determine the technical, economic, and environmental adequacy of a Proposed Project.

**Project Priority List or PPL** ranks, in descending priority of need, Proposed Projects for which applicants have requested Financial Assistance from the Authority for eligible projects. The PPL is created by the Authority, updated quarterly, and may be amended as necessary.

**Proposed Project** means the activities or tasks a Participant identifies in its PER or any other document required by the Authority related to the planning, design, and/ or construction of a Proposed Project for which a Participant may commit and expend funds.

**Safe Drinking Water Act** means the federal act as amended by the Safe Drinking Water Act Amendments of 1986, the Lead Contamination Control Act of 1988, and the Safe Drinking Water Act Amendments of 1996, and further amended by the Water Infrastructure Improvements for the Nation Act of 2016 (WIIN), in effect on December 16, 2016.

**SRF Loan Programs** means the Clean Water SRF Program and the Drinking Water SRF Program.

### **Section 3: Uses of the Water Infrastructure Assistance Fund**

The Water Infrastructure Assistance Fund (Fund) may be used to do the following:

- (1) Provide grants, loans, and other financial assistance to or for the benefit of participants for the planning, designing, acquisition, construction, renovation, improvement, or expansion of public water systems, wastewater or storm water collection and treatment systems; and other activities necessary to complete the above activities whether or not the other activities are permitted by the federal Clean Water Act or the federal Safe Drinking Water Act.
- (2) Provide grants, loans or other financial assistance to political subdivisions for tasks associated with the development and preparation of long term control plans, use attainability analyses and storm water management programs.
- (3) Undertake tasks associated with the development and preparation of water, wastewater, and storm water infrastructure and resource analyses.
- (4) Conduct all other activities that are permitted by the federal Clean Water Act or the federal Safe Drinking Water Act.
- (5) Provide grants, loans or other financial assistance to or for the benefit of participants to establish guaranties, reserves, or sinking funds, including guaranties, reserves, or sinking funds to secure and pay, in whole or in part, loans or other financial assistance made from sources other than the fund (including financial institutions) for a purpose permitted by clause 1 above.

- (6) Provide interest subsidies.
- (7) Pay financing charges (including interest on the loan) during design and construction of a water or wastewater infrastructure project based upon a viable financial plan and for a reasonable period after the completion of construction.
- (8) Pay reasonable direct and indirect Program administration costs.
- (9) Money in the Fund may be used to establish a leveraged loan program or other financial assistance programs established in connection with the water infrastructure assistance fund and as permitted in IC 5-1.2-14-13.

#### **Section 4: Application; Preliminary Engineering Report (PER); Asset Management Program (AMP)**

##### **4-1 Application**

Participants who submit an application for funding through the SRF Loan Programs will be considered for funding through the Program. The Authority will select projects placed on the PPL after being ranked and scored that meet the requirements of IC 5-1.2-14. Selection preference of projects is set forth in Section 5-2 of these guidelines.

##### **4-2 Preliminary Engineering Report (PER)**

The purpose of a PER is to provide the information necessary for the Authority to determine the technical, economic, and environmental adequacy of a Proposed Project. A PER must be approved by the Authority prior to an award of Financial Assistance for a Proposed Project. PER information and data requirements are dependent on the type of Proposed Project and shall be determined by the Authority.

Participants shall follow the Authority's PER Guidelines which may be found at <https://www.in.gov/ifa/srf/2376.htm>. The Authority may request additional information from a Participant to adequately assess the technical, economic, and environmental adequacy of a Proposed Project.

##### **4-3 Asset Management Program (AMP)**

The PER shall contain a section identifying the status of the development of a Participant's Asset Management Program (AMP). A Participant must identify the status of the AMP in the PER by discussing whether the AMP is already completed and implemented or currently under development and will be completed before the final disbursement is approved and associated funds are released. The AMP shall meet the criteria as set forth in the IFA's Asset Management Program Guidelines found at <https://www.in.gov/ifa/srf/2376.htm> and as set forth in IC 5-1.2-14-8. A Participant shall certify to the Authority that it has met the above requirement.

#### **Section 5: Project Prioritization System; Project Priority List (PPL)**

##### **5-1 Project Prioritization System**

The Authority has established a project prioritization system for the purposes of awarding financial assistance from the Water Infrastructure Assistance Fund. The project prioritization system is the same as the scoring and ranking systems currently utilized by the Authority to prioritize applications within the Indiana SRF Loan Programs. Criteria included in the scoring and ranking system are set forth in IC 5-1.2-14-8.2. For projects proposing treatment work or stormwater projects, the project will be scored utilizing the Clean Water scoring protocols. For projects proposing Public Water System projects, the project will be scored utilizing the Drinking Water scoring protocols. The resulting scores will be used to rank proposed projects on a Project Priority List (PPL).

In order for a project to be ranked and scored the Participant must comply with the following requirements:

- (1) The Proposed Project must be consistent with the uses of the Water Infrastructure Assistance Program, as identified in IC 5-1.2-14-6.
- (2) A Participant must submit general project information on an application form provided by the Authority that is signed by a Participant's authorized representative.
- (3) A Participant must submit a Preliminary Engineering Report (PER) to the Authority.

## **5-2 Project Priority List (PPL)**

After scoring a Proposed Project, the Proposed Project is placed on the project priority list (PPL). All projects receiving funding must be on the PPL to be awarded Financial Assistance from the Authority. The PPL becomes effective on the first day of the State's fiscal year and is amended quarterly. The Authority may adjust the PPL if the Authority determines that unforeseen circumstances require an adjustment or in the case of an emergency.

Selection preference of projects for receiving funding from the Water Infrastructure Assistance Fund include:

- (1) Projects that are ineligible for funding through the Clean Water or Drinking Water SRF Loan Program and/or Participants that are ineligible for funding through the Clean Water or Drinking Water SRF Loan Program.
- (2) Participants serving less than 3,200 customers. Forty percent (40%) of the fund will be set aside for these Participants.
- (3) Other Projects deemed appropriate by the Authority that meet the requirements of IC 5-1.2-14.

## **Section 6: Program Requirements**

A Participant shall meet the following requirements in order to receive Financial Assistance from the Fund:

- (1) Own, operate, and maintain, or cause to be operated and maintained, a Treatment Works or Public Water System for its useful life.
- (2) Demonstrate financial, managerial, technical, and legal capability to meet the terms of the Financial Assistance Agreement and to operate and maintain the facility for its useful life.
- (3) Establish and maintain sufficient user rates and charges or other charges, fees, taxes, special assessments, or revenues available to the Participant to maintain and operate its waste water or drinking water system and to pay the obligations of its water or wastewater system, including all debt service associated with the Financial Assistance provided from Fund.
- (4) Develop and maintain an Asset Management Program as set forth in Section 4-3 of these guidelines, inclusive of providing a copy of a current audit (as requested by the Authority) of the Participant's financial records as conducted by the state board of accounts or other certified independent auditor during the term of its Financial Assistance Agreement. The AMP must demonstrate to the Authority that the Participant has a plan to participate with one or more Participants in cooperative/regional activities (i.e. attendance at a regional planning meeting).
- (5) Agrees to allow inspection by the Authority of the financial records related to the Participant during the term of the Financial Assistance Agreement.



- (6) A Participant operating a Public Water System agree to complete annual audits of non-revenue water and submit to the Authority every even numbered year.
- (7) The Participant must submit all other documentation requested by the Authority which may include but is not limited to the following: (a) a certification and guarantee of signatures; (b) a certification that no litigation is pending challenging the validity of or entry into the loan or other financial assistance; (c) an approving opinion of nationally recognized bond counsel and; (d) any other certifications, agreements, security or requirements requested by the Authority.
- (8) Meets all other requirements established by the Authority.

## **Section 7: Criteria for Interest Rates; Interest Rate Reductions**

### **7-1 Criteria for Interest Rates**

The Authority has established criteria to establish interest rates for Proposed Projects. A base rate will be calculated each quarter by using 90 percent of the average 20-year AAA-rated, general obligation bond Municipal Market Data ("MMD") composite index for the most recent calendar month. The Base Rate is then discounted further based upon a Participant's Median Household Income from current ACS 5-year census data and projected user rates.

In addition to the above mentioned criteria, the Authority may take into account the following factors when setting interest rates: credit risk, the Program's costs of funds, whether the financial assistance provided to a participant is taxable or tax exempt.

More than one interest rate may be established and used for loans or other financial assistance to different participants or for the same participant.

### **7-2 Interest Rate Reductions**

The Authority may also provide assistance in the form of an interest rate discount to eligible Participants for Projects which address nonpoint source pollution, climate resiliency planning, lead line replacement project components, green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities in an approved PER. A Participant must prepare and submit appropriate information as requested by the Authority to qualify for an interest rate discount.

## **Section 8: Financial Due Diligence**

A Participant will submit a completed due diligence form issued or authorized by the Authority with the required documentation. The Authority will review or cause to be reviewed the due diligence form and documentation.

## **Section 9: Bidding and Procurement**

### **9-1 Professional Services; Construction and Equipment**

Bidding and procurement must be done pursuant to applicable state law. Participants conducting procurement for professional services will proceed pursuant to IC 5-16-11.1. Participants conducting procurement for any activity other than professional services will proceed pursuant to IC 36-1-12.

## **Section 10: Pre-Construction**

### **10-1 Construction Permit**

A Participant must obtain a construction permit if applicable from the Department of Environmental Management (IDEM) in accordance with State rules or other permitting authority if applicable, in

conjunction with the approved PER prior to awarding any construction contract. A Participant should receive authorization from the Authority prior to initiating procurement for construction.

## **10-2 Acquisition of Land, Easements, and Existing Facilities**

A Participant is responsible for acquisition of land, easements, and any existing facilities necessary to construct, operate, and maintain the Proposed Project.

## **10-3 Bid Tabulations**

Certified bid tabulations and recommendations of award will be submitted by a Participant to the Authority for review and approval prior to Participant's award of any construction contract.

## **10-4 Pre-Construction Contract Requirements**

A Participant must provide copies of the following to the Authority for a Participant to enter into any construction contract: executed contracts, notices to contractors to proceed, bid bonds, performance and payment bonds, and construction schedules.

# **Section 11: Construction**

## **11-1 Change Orders**

A Participant will submit copies of all change order(s) issued for the Funded Project to the Authority for review and approval.

## **11-2 Inspections**

The Authority will conduct construction inspections in order to determine compliance with the approved PER, IDEM construction permit, the Financial Assistance Agreement and other applicable requirements.

A Participant will conduct construction inspections to ensure that the construction complies with the approved PER, IDEM construction permit(s), and the terms and conditions of each construction contract. The Participant shall provide the Authority with the certificate of substantial completion for each Funded Project, and any other certifications as required by the Authority to meet state requirements.

# **Section 12: Disbursement of Funds**

Financial Assistance will be disbursed as follows:

- (1) A Participant will submit a signed disbursement request form as authorized by the Authority with supporting documentation.
- (2) The Authority will review disbursement request forms for eligibility and approve all requests for disbursement.
- (3) All files and records pertaining to the Funded Project will be maintained by a Participant and made accessible to the Authority upon request. These files and records will be retained by the Participant for at least six years after initiation of operation as determined by the Authority. However, if any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the six-year period, the records will be retained until completion of the action and resolution of all issues that arise from it or until the end of the regular six- year period, whichever is later.

### **Section 13: Reservation of Rights**

The following rights are reserved:

- (1) The Water Infrastructure Assistance Program Guidelines do not prohibit a Participant from requiring more assurances, guarantees, indemnity, or other contractual requirements from any party performing work on any Proposed or Funded Project.
- (2) The Water Infrastructure Assistance Program Guidelines do not affect the Authority's right under existing statutes, rules or regulations to take remedial action, including, but not limited to, administrative enforcement action and actions for breach of contract against a Participant that fails to carry out its obligations under these Guidelines.
- (3) Review or approval by or for the Authority does not relieve a Participant of its responsibility to properly plan, design, build, and effectively operate and maintain the facility as required by applicable federal and state statutes, rules, regulations, permits, and best management practices. The Authority is not responsible for increased costs resulting from defects in the plans, design drawings, specifications, inspections, construction, or other sub-agreement documents related to any Proposed or Funded Project.

Exhibit C: Project Scoring and Ranking Worksheets

**INDIANA FINANCE AUTHORITY**  
**Wastewater State Revolving Fund Loan Program**  
**Project Scoring and Ranking Worksheet<sup>1</sup>**

<b>Project Name:</b>	
SRF Project Number:	NPDES #:
Reviewer:	Date:

Check only one:

List A: Small Community applicant population $\leq$ 10,000.	
List B: Large Community applicant population $>$ 10,000.	

	Score	Maximum Allowed Score
Section 1: Project Need		50 points
Section 2: Water Quality Benefits		40 points
Section 3: Brownfield Re-Use		5 points
Section 4: Financial Capability		5 points
<b>Total Project Score:</b>		<b>100 Possible Points</b>

**Bonus Points**

Sustainable Infrastructure		4 points
Climate Resiliency		1 point
Clean Water Needs Survey Submittal		1 point
Regionalization		6 points
Early Submission		10 points
<b>Total Bonus Points:</b>		<b>22 Possible Points</b>

**Deduction Points**

Non-Regionalization		-10 Points
<b>Total Deduction Points:</b>		<b>-10 Possible Points</b>

<b>Total Points Earned:</b>		
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**Instructions:**

Projects are scored using the following criteria to develop the Wastewater State Revolving Fund (WWSRF) Loan Program Project Priority List (PPL). To the extent practical, the WWSRF Loan Program expects to give priority to projects that:

1. Provide a Water Quality Benefit;
2. Improve the condition of the system; and
3. Assist systems most in financial need.
4. Employ other best practices, such as collaboration with other entities.

Points are assigned only when the proposed project intends to correct the problem identified under the appropriate section(s) with the associated points. For example, if the treatment system has persistent violations but the proposed project does not address the violations, the points associated with the violations will not be assigned. However, if the applicant has persistent violations and addresses them, the points associated with the violations will be assigned.

The total number of available points is 100. The total number of available bonus points is 22. The total score is determined by adding the total points associated with the project with the total amount of bonus points earned for projects that include sustainable infrastructure, climate resiliency, completing the CWNS and regionalization as well as deducting points associated with non-regionalization. **If a tie occurs, then the project that was submitted first prevails.**

A loan recipient must submit a complete Preliminary Engineering Report (PER) 2-weeks prior to July 1 to WWSRF in order to be Scored and Ranked on the PPL. A PER submitted after July 1, will be scored and unranked. Projects which submit applications only (and no PER) will appear as unscored and unranked. **An applicant will receive 10 bonus points if a completed PER is submitted prior to May 1.**

<sup>1</sup> Scoring will be applied to multiple funding sources administered by the Authority

## Section 1: Project Need

This section scores projects by the type of project proposed for funding. Points are given based on type of project, with additional points given to priority projects mentioned on page 1.

**Categories of Need:** Projects may fall into several categories based on EPA's criteria.

Category	Points	Earned
Category I: Secondary Treatment	4	
Category II: Advanced Treatment	4	
Category IIIA: Infiltration/Inflow Correction	3	
Category IIIB: Major Sewer System Rehabilitation	3	
Category IVA: New Collection Sewers	4	
Category IVB: New Interceptors	2	
Category V: Combined Sewer Overflow Correction	5	
Category VI: Storm Water	2	
Category VII: Non-Point Source	3	
<b>Total Points:</b>		

**Additional Points will be provided if the following information is provided in the PER:**

Wastewater Treatment Plant (WWTP) Age of facility - 50% or more was constructed more than 20 years ago.	Yes	1	
	No	0	
<b>Total Points:</b>			

Septic Tank Factor (STF) = number of existing septic tanks to be eliminated by the project.	Project removes 1-25 septic tanks	1	
	Project removes 26-75 septic tanks	2	
	Project removes 76-125 septic tanks	3	
	Project removes ≥126 septic tanks	4	
<b>Total Points:</b>			

Combined Sewer Overflows (CSO) = The proposed project eliminates a percentage of EITHER annual average overflow volume OR number of events per year on a system wide basis.	Project removes 1-25%	1	
	Project removes 26-50%	2	
	Project removes 51-75%	3	
	Project removes 76-100%	5	
<b>Total Points:</b>			

Sanitary Sewer Overflows (SSO) = The proposed project eliminates a percentage of EITHER annual average overflow volume OR number of events per year on a system wide basis.	Project removes 1-25%	1	
	Project removes 26-50%	2	
	Project removes 51-75%	3	
	Project removes 76-100%	4	
<b>Total Points:</b>			

<b>Regionalization Factor:</b> Points assigned if the proposed project reduces the number of National Pollution Discharge Elimination System (NPDES) dischargers by regionalization.	Eliminates one or more NPDES discharger	4	
<b>Total Points:</b>			

<b>Infiltration/Inflow (I/I):</b> The project proposes to correct an existing collection system that has excessive I/I.	Yes	2	
	No	0	
<b>Total Points:</b>			

<b>Total Points Section 1 Earned:</b>	
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## Section 2: Water Quality Benefits

This section assigns points to projects providing an environmental benefit to a receiving stream.

<b>Dilution Ratio Points (DRP):</b> (7-day $Q_{10}$ of receiving stream in cfs / (design flow in mgd) x (1.55 cfs/mgd)). This is the calculation of effluent limits outlined in a WWTP NPDES permit.		
0-.99	4	
1.00 – 4.99	3	
5.00 – 9.99	2	
10.0 or greater	1	
<b>Total Points:</b>		

<b>Outstanding Resource Factor:</b> Assign a value of 4 points if the project will improve water quality in an Outstanding State Resource (327 IAC 2-1.5-2 (3)), Exceptional Use Stream (327 IAC 2-1-11), Natural, Scenic and Recreational River or Stream (312 IAC 7-2), Outstanding Rivers List for Indiana (Indiana Register 20070530-IR 312070287NRA), or a salmonid stream (327 IAC 2-1.5-5(a)(3)).	4	
<b>Total Points:</b>		

<http://www.in.gov/legislative/register/20070530-IR-312070287NRA.xml.pdf>

<b>Drinking Water Factor:</b> Assign a value of 4 points, if the proposed project positively affects a drinking water supply.	4	
<b>Total Points:</b>		

<b>Implementation Factor:</b> Assign a value of 4 points if the proposed project implements an approved Total Maximum Daily Load (TMDL).	4	
<b>Total Points:</b>		

<b>Priority Segments Points:</b> Assign a value of 1 point, if project affects segments within drainage basins which have been designated by the State as priority basins. These basins are Lake Michigan - Great Lakes Initiative (GLI), St. Joseph River and Maumee River Basins.	1	
<b>Points Earned:</b>		

<b>Water Quality Score:</b> Points assigned based on benefit or impact to the project to maintain or achieve compliance on established water quality standards, or in anticipation of future requirements.		
a. The project is necessary to achieve or maintain compliance with effluent limitations based on water quality standards for conventional pollutants (i.e., CBOD5, TSS).	5	
b. The project is necessary to achieve or maintain compliance with effluent limitations based on water quality standards for toxic substances (i.e. heavy metals and man-made organic compounds).	5	
c. The project is necessary to achieve compliance with effluent limitations based on water quality standards for additional or more stringent limits than existing NPDES permit.	5	
<b>Total Points:</b>		

<b>Pollution Reduction Value:</b> This is only for nonpoint source projects where points will be assigned based on an estimate of the <i>E. coli</i> pollutant which will be controlled or reduced by the project. A defined area is needed.		
75% reduction and greater	6	
50% - 74%	5	
25% - 49%	4	
Less than or equal to 24%	3	
<b>Total Points:</b>		

<b>Impaired Water Score:</b> Points are given to projects that reduce or remove pollutants causing the impairment of a 303 (d) listed water body, impairment documented in the IDEM External Data Framework (Tier 2 data or higher), or an outstanding and exceptional resource water.		
	7	
<b>Total Points:</b>		

<b>Total Points Section 2 Earned:</b>	
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### Section 3: Brownfield Reuse

<b>Brownfield Reuse:</b> A value of 5 points will be awarded to a project involving remediation/redevelopment of a Brownfield (IC13-11-2-19.3) in conjunction with the Indiana Brownfields Program.		
SRF Project also has an Indiana Brownfields Program project in-house.	5	
<b>Total Points Section 3 Earned:</b>		

### Section 4: Financial Capability

<b>A. Financial Capability:</b> Post-project annual wastewater bill as a percentage of Median Household Income.		
1. Greater than or equal to 2.0 %	5	
2. 1.5 – 1.9 %	3	
3. 1.0 – 1.4 %	1	
4. Less than or equal to 0.9 %	0	
<b>Total Points Section 4 Earned:</b>		



### BONUS POINTS

Bonus points are provided as additional incentives to encourage best practices such as sustainable infrastructure. The upper limit for points in this section is 22 points.

#### Sustainable Infrastructure

**Sustainable Infrastructure:** Project incorporates sustainable infrastructure as identified on the Green Project Reserve Sustainability Incentive Clean Water Checklist. One point is awarded for each category, four points maximum.

Checklist/Points		
Category	Points	Earned
Green Infrastructure	1 Point	
Water Efficiency	1 Point	
Energy Efficiency	1 Point	
Environmentally Innovative	1 Point	
<b>Total Sustainability Points Earned:</b>		

#### Climate Resiliency

**Climate Resiliency:** One (1) point will be awarded when a community proposes a climate resiliency project.

Climate Resiliency	1 Point	
<b>Total Climate Resiliency Points Earned:</b>		

#### Clean Watershed Needs Survey

**Clean Watershed Needs Survey:** One (1) point will be awarded when a community completes the Clean Watershed Needs Survey.

Complete CWNS Survey	1 Point	
<b>Total Needs Survey Points Earned:</b>		

#### Regionalization

**Regionalization:** Six (6) points will be awarded when a community Regionalizes with another system.

Regionalize with a nearby wastewater system	5 Points	
Remain regionalized with a nearby wastewater system	5 Points	
Participate in Regional Cooperative Activities	1 Point	
<b>Total Regionalization Points Earned:</b>		

#### Early Submission

##### Early Submission

Complete Preliminary Engineering Report was submitted prior to May 1	10 points	
<b>Total Early Submission Points Earned:</b>		

### DEDUCTION POINTS

#### Regionalization

**Non-Regionalization:** Project involves disconnection from an active and available regional wastewater system.

Disconnecting from a viable wastewater treatment system.	- 10 Points	
<b>Total Deduction Points Earned:</b>		

**INDIANA FINANCE AUTHORITY**  
**Drinking Water State Revolving Fund Loan Program**  
**Project Scoring and Ranking Worksheet<sup>1</sup>**

<b>Project Name:</b>		
SRF Project Number:	PWSID #:	
Reviewer:	Date:	
	<b>Score</b>	<b>Maximum Allowed Score</b>
Section 1: Acute Public Health / SDWA Compliance		55 Points
Section 2: Chronic Public Health / SDWA Compliance		25 Points
Section 3: Public Health / Water Works Regulations Compliance		14 Points
Section 4: Affordability and Population		6 Points
<b>Total Project Score:</b>		100 Possible Points

**Bonus Points**

A. Other Funds Available		3 Points
B. Capacity Development / Sustainability		16 Points
C. Regionalization		6 Points
C. Early Submission		10 Points
<b>Total Bonus Points:</b>		35 Possible Points

**Deduction Points**

Non-Regionalization		-10 Points
<b>Total Deduction Points:</b>		-10 Possible Points

<b>TOTAL POINTS EARNED:</b>	
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**Instructions:**

Projects are scored using the following criteria to develop the Drinking Water State Revolving Fund (DWSRF) Loan Program Project Priority List (PPL). To the extent practical, the DWSRF Loan Program expects to give priority to projects that:

1. Address the most serious risk to human health;
2. Are necessary to ensure compliance with the Safe Drinking Water Act (SDWA); and
3. Assist systems most in financial need on a per household basis according to the State's affordability criteria.
4. Employ other best practices such as the existence of a plan to measure and manage non-revenue water, and collaboration with other entities.

Points are assigned to proposed projects that intend to correct deficiencies. For example, if the Public Water System has persistent violations of a Maximum Contaminant Level (MCL) but the proposed project does not address that problem, the points associated with persistent violations of a MCL will not be assigned. However, if the Participant does not have persistent MCL violations, but the project will address another Public Water System's persistent MCL violations, such as through consolidation, the points associated with the persistent MCL violations will be assigned.

The total number of available points is 100. The total number of available bonus points is 35. The total score is determined by adding the total points associated with the project with the total amount of bonus points earned for projects that include other funds available, capacity development/ sustainability, regionalization as well as deducting points associated with non-regionalization. **If a tie occurs, then the project that was submitted first prevails.**

A loan recipient must submit a complete Preliminary Engineering Report (PER) 2-weeks prior to July 1 to DWSRF in order to be Scored and Ranked on the PPL. A PER submitted after July 1, will be scored and unranked. Projects which submit applications only (and no PER) will appear as unscored and unranked. **A loan recipient will receive 10 bonus points if a complete PER is submitted prior to May 1.**

<sup>1</sup> Scoring will be applied to multiple funding sources administered by the Authority

**Section 1: Acute Public Health / SDWA Compliance (upper limit 55 points)**

Instructions: Assign points to projects that address acute public health concerns occurring within the last three years. The upper limit for points in this section is 55. Acute public health concerns affect an individual in the immediate short-term.

Criteria to be corrected by project	Maximum Points	Points earned
1. Administrative Order, Agreed Order, or the Indiana Department of Environmental Management (IDEM) declares a waterborne emergency at existing waterworks for acute public health concerns.	50 Points	
2. Interim Enhanced/Long Term 1/Long Term 2 Surface Water Treatment Rule violation (including Filter Backwash Recycling and Ground Water Rules) i.e., inadequately treated surface water or groundwater under the influence of surface water.	50 Points	
3. Persistent Total Coliform Rule (TCR) or Nitrate violations.	50 Points	
4. Inadequate individual home water supplies documented by the local or state health department to show health hazards, such as exceeding drinking water Maximum Contaminant Levels (MCL).	50 Points	
5. Consolidation of a non-complying public water system (acute public health concerns).	50 Points	
6. Condition determined to be an acute public health concern (including lead or copper) by IDEM or the Indiana State Department of Health (ISDH).	50 Points	
7. Project corrects a compliance issue associated with an Enforcement Targeting Tool (ETT) score of 11 or greater	50 Points	
<b>Total Points:</b>		

**Section 2: Chronic Public Health / SDWA Compliance (upper limit 25 points)**

Instructions: Assign points to projects that address chronic public health concerns occurring within the last three years. The upper limit for points in this section is 25 points. Chronic public health concerns affect an individual over a lifetime.

Criteria to be corrected by project	Maximum Points	Points earned
1. Administrative Order or Agreed Order for chronic public health concerns.	20 Points	
2. Persistent MCL violations of the National Primary Drinking Water Regulations (Microorganisms, Disinfectants, Disinfection Byproducts, Inorganic and Organic Chemicals, and Radionuclides).	20 Points	
3. Consolidation of a non-complying public water system (chronic public health concerns).	20 Points	
4. Condition determined to be a chronic public health concern (including lead or copper) by IDEM or ISDH.	20 Points	
<b>Total Points:</b>		

**Section 3: Public Health / Water Works Regulations Compliance (upper limit 14 points)**

Instructions: Assign points to projects for infrastructure improvements that will bring the existing public water systems into compliance with IDEM and/or water works regulations, such as Recommended Standards For Water Works (10 States Standards). The upper limit for points in this section is 14 points.

Criteria to be corrected by project	Maximum Points	Points earned
1. Resolve an IDEM connection ban, early warning notice or a non-SDWA violation.	10 Points	
2. Resolve inadequate pressure in water works.	10 Points	
3. Resolve conditions of inadequate quantity of a water supply, including individual home wells.	7 Points	
4. Ensure that drinking water receives appropriate treatment to meet secondary standards.	7 Points	
5. Ensure storage capacity in the water works is adequate.	7 Points	
6. Reduce leakage and increase accountability.	5 Points	
7. Ensure adequate flow in distribution system.	5 Points	
8. Prevent conditions favoring the entrance of contaminants (including lead or copper, or non-regulated contaminants) into the distribution system.	5 Points	
9. Install eligible security measures (alternate intake, fencing, lighting, cameras, motion detectors, secure chemical and fuel storage, security hatches, and access panels).	5 Points	
<b>Total Points:</b>		

**Section 4: Affordability and Population (upper limit 6 points)**

Instructions: Affordability points are assigned to assist community water systems most in need on a per household basis. Therefore, non-community systems are not eligible to receive affordability points. The upper limit for points in this section is 6 points. Sources for median household income and population data include the U.S. Census *American FactFinder* and the IDEM Safe Drinking Water Information System (SDWIS). The post project annual water bill is based on an average monthly water bill (based on 4,000 gallons) x 12 months and rounded to one decimal place.

Criteria to be corrected by project	Maximum Points	Points earned
<b>A. Affordability: post-project annual water bill as a percentage of median household income.</b> <i>Community water systems only.</i>		
Greater than or equal to 1.5 %	5 Points	
1.0 – 1.4 %	4 Points	
Less than or equal to 0.9 %	1 Point	
<b>B. Population served by the project.</b> <i>Community and non-community water systems.</i>		
Less than or equal to 10,000	1 Point	
Greater than or equal to 10,001	0 Points	
<b>Total Points:</b>		

## Section 5: Bonus (upper limit 25 points)

Bonus points are provided as additional incentive to encourage best practices, such as proper operation and maintenance. The upper limit for points in this section is 25 points.

Criteria to be corrected by project	Maximum Points	Points earned
<b>A. Other Funds Available</b>		
Points are assigned to encourage community water systems to have other funds (cash on hand, grants or other loans) in addition to the construction loan from the DWSRF Loan Program. The percentage is calculated by dividing the other funds by the total project cost and rounding to a whole number. Assign points based on whether the system has the committed funds ( <b>Awarded</b> ) or is still in process of applying for other funds ( <b>Applying</b> ).		
Less than or equal to 10 %	<b>0 Points</b>	
11-50 % (Awarded: 2 points / Applying: 1 points)	<b>1-2 Points</b>	
Greater than or equal to 50% (Awarded: 3 points / Applying: 2 points)	<b>2-3 Points</b>	
<b>B. Capacity Development / Sustainability</b>		
1. Completes a self-assessment survey to assess the technical, managerial and financial capability of the utility, such as CUPSS (Check Up System for Small Systems)	<b>1 Point</b>	
2. Attends training for Utility Board Drinking Water Administrators	<b>1 Point</b>	
3. Consolidation of a SDWA compliant public water system or interconnection	<b>1 Point</b>	
4. Zero SDWA violations in last 12 months	<b>1 Point</b>	
5. Project includes Wellhead Protection Plan Implementation measures	<b>1 Point</b>	
6. Member of InWARN Network	<b>1 Point</b>	
7. Recognized with a Hoosier Water Guardian Award	<b>1 Point</b>	
8. >95% customers metered	<b>1 Point</b>	
9. Unaccounted for water <15%	<b>1 Point</b>	
10. Completed annual audit of non-revenue water and submitted to the Authority.	<b>1 Point</b>	
11. Public Water System utilizes a Water Conservation Ordinance	<b>1 Point</b>	
12. Project includes the remediation/redevelopment of a brownfield (IC 13-11-2-19.3) in conjunction with the Indiana Finance Authority Brownfields Program	<b>1 Point</b>	
13. Project incorporates sustainable infrastructure as identified on the Green Project Reserve Sustainability Incentive Drinking Water Checklist. One point is awarded for each category, four points maximum.		
Category 1: Green Infrastructure	<b>1 Point</b>	
Category 2: Water Efficiency	<b>1 Point</b>	
Category 3: Energy Efficiency	<b>1 Point</b>	
Category 4: Environmentally Innovative	<b>1 Point</b>	
<b>C. Regionalization</b>		
Regionalize with a nearby drinking water system	<b>5 Points</b>	
Remain regionalized with a nearby drinking water system	<b>5 Points</b>	
Participate in Regional Cooperative Activities	<b>1 Point</b>	
<b>D. Early Submission</b>		
Complete Preliminary Engineering Report was submitted prior to May 1	<b>10 Points</b>	
<b>Total Bonus Points:</b>		

## Section 6: Deduction Points (Limit -10)

**Instruction:** Deduction points are assigned when a project involves disconnection from an active and available regional water system.

Non-Regionalization	- 10 Points	
<b>Total Deduction Points:</b>		

Exhibit D: Project Priority Lists (PPLs)

- Wastewater (Large Systems)
- Wastewater (Small Systems)
- Drinking Water

### SFY 2021 - Wastewater (Large Systems)

Indiana Wastewater State Revolving Fund (WWSRF) Loan Program  
SFY 2021 Project Priority List, July 22, 2020, 1st Quarter FINAL\*  
Projects Applying for Financial Assistance in State Fiscal Year 2021 (July 1, 2020 - June 30, 2021)  
Population 10,000 or greater

PPL Rank <sup>1</sup>	PPL Score	Participant	MHI <sup>2</sup>	Population Served	NPDES No.	SRF Project No.	Project Description	Needs Category <sup>3</sup>	EPA's Sustainability Policy Category <sup>4</sup>	Estimated Green Project Reserve Cost	Green Project Reserve Category <sup>5</sup>	Current User Rate (per 4,000 gallons) <sup>2</sup>	Estimated Post-Project User Rate (per 4,000 gallons) <sup>2</sup>	Requested Funds	Cumulative Requested Funds	SFY 2021 Fundable Range <sup>6</sup> (\$140 Million)
1	64	Kokomo	\$43,588	57,947	IN0032875	WW210734 03	Plant and Collection System Improvements	I, II, V	1, 2, 3	TBD	TBD	\$38.40	\$40.32	\$21,463,500	\$21,463,500	Fundable Range (\$140 Million)
2	55	Clinton County Building Corporation	\$52,488	33,301	IN0022934	WW190812 01	New Collection System	IV-A	1	TBD	TBD	\$51.23	\$85.29	\$9,169,000	\$30,632,500	
3	54	Fort Wayne	\$48,023	264,052	IN0032191	WW182002 14	Combined Sewer Plan	I, III-A, V	1	TBD	TBD	\$48.64	\$49.08	\$23,000,000	\$53,632,500	
4	49	CWA Authority, Inc.	\$44,709	903,393	IN0023183	WW162749 04	Combined Sewer Plan	IV-B	1	TBD	TBD	\$44.32	TBD	\$265,560,972	\$319,193,472	
5	46	Elkhart	\$40,440	52,308	IN0025674	WW182620 04	Combined Sewer Plan	V	1	TBD	TBD	\$31.05	\$44.00	\$23,850,000	\$343,043,472	
6	45	Bedford	\$40,675	13,285	IN0025623	WW201247 03	Plant Upgrade	I	1, 2, 3	TBD	TBD	\$36.42	\$51.00	\$11,225,000	\$354,268,472	
7	43	East Chicago Sanitary District	\$31,907	28,448	IN0622829	WW192445 02	Plant and Collection System Improvements	I, III-B	1, 2, 3	TBD	TBD	\$18.26	\$28.60	\$12,951,000	\$367,219,472	
8	39	Richmond Sanitary District	\$37,145	35,653	IN0025615	WW210989 08	Collection System Improvements	III-B	1, 2, 3	TBD	TBD	\$43.44	\$43.44	\$8,780,300	\$375,999,772	
9	34	Evansville	\$38,646	118,952	IN0032956	WW211282 20	Collection System Improvements	III-B	1, 2, 3	TBD	TBD	\$70.15	\$72.00	\$26,268,500	\$402,268,272	
10	32	Jeffersonville	\$55,828	47,175	IN0023302	WW191110 09	Plant Improvements and Combined Sewer Plan	II, IV-B, V	1, 2, 3	\$1,305,000	EE	\$53.60	\$58.88	\$30,975,000	\$433,243,272	
11	29	Jeffersonville-Clarksville Flood Control District	\$54,240	115,702	NA	WW211610 01	Storm Water Improvements	IV-A, IV-B	1	TBD	TBD	\$53.60	\$60.54	\$7,437,000	\$440,680,272	
12	27	South Dearborn Regional Sewer District	\$43,744	15,274	IN0024538	WW212415 01	Plant Improvements	I	1, 2, 3	TBD	TBD	\$46.07	\$67.26	\$20,657,000	\$461,337,272	
13	26	Washington	\$40,645	12,609	IN0025658	WW190714 02	Collection System Improvements	III-B	1, 2, 3	TBD	TBD	\$53.78	\$61.85	\$2,218,000	\$463,555,272	
14	18	Brownsburg	\$70,354	25,264	IN0021245	WW211732 04	Collection System Improvements	III-B	1	TBD	TBD	\$36.89	Under \$65	\$6,900,000	\$470,455,272	
15	15	Ben Davis Conservancy District	\$40,109	10,473	IN0023183	WW181349 01	New Plant	I	1	TBD	TBD	\$30.00	TBD	\$13,485,000	\$483,940,272	
TOTAL REQUESTED FUNDS - PRELIMINARY ENGINEERING REPORTS (PERs)										\$1,305,000				\$483,940,272		
PPL Rank <sup>1</sup>	PPL Score	Participant	MHI <sup>2,3</sup>	Population Served	PWSID No.	SRF Project No.	Project Description	Needs Category <sup>3</sup>	EPA's Sustainability Policy Category <sup>4</sup>	Estimated Green Project Reserve Cost	Green Project Reserve Category <sup>5</sup>	Current User Rate (per 4,000 gallons) <sup>2</sup>	Estimated Post-Project User Rate (per 4,000 gallons) <sup>2</sup>	Estimated Total Project Cost	Cumulative Total	
TOTAL REQUESTED FUNDS - APPLICATIONS ONLY										\$0				\$0		
TOTAL REQUESTED FUNDS - PERs & APPLICATIONS										\$1,305,000				\$483,940,272		

#### Footnotes:

<sup>1</sup> A community must submit a complete Preliminary Engineering Report to the WWSRF Loan Program in order for the project to be scored and ranked on the Project Priority List (PPL).

<sup>2</sup> Additional subsidization may be provided to participants who have a low Median Household Income (MHI) and/or high post-project user rates as outlined in the Intended Use Plan (IUP). The amount of the additional subsidization shall be determined and set forth in the financial assistance agreement.

<sup>3</sup> Needs Categories:

I. Secondary Wastewater Treatment	VI. Stormwater Management Programs	VII.B. NPS Control: Agriculture (Animals)	VII.J. NPS Control: Sanitary Landfills
II. Advanced Wastewater Treatment	VI.A. Stormwater Conveyance Infrastructure	VII.C. NPS Control: Silviculture	VII.K. NPS Control: Hydro modification
III-A. Infiltration/Inflow Correction	VI.B. Stormwater Treatment Systems	VII.E. NPS Control: Ground Water Protection	VII.M. NPS Control: Other Estuary Management Activities
III-B. Sewer Replacement/Rehabilitation	VI.C. Green Infrastructure	VII.F. NPS Control: Marinas	X. Recycled Water Distribution
IV-A. New Collector Sewers and Appurtenances	VI.D. General Stormwater Management	VII.G. NPS Control: Resource Extraction	XII. Decentralized Wastewater Treatment Systems
IV-B. New Interceptors Sewer and Appurtenances	VII. Nonpoint Source (NPS) Control	VII.H. NPS Control: Brownfields	
V. Combined Sewer Overflow (CSO) Correction	VII.A. NPS Control: Agriculture (Cropland)	VII.I. NPS Control: Storage Tanks	

<sup>4</sup> EPA's Wastewater and Drinking Water Infrastructure Sustainability Policy. **Category 1:** projects that are based on a "fix it first" approach that focuses on system upgrade and replacement in existing communities. **Category 2:** investigations, studies, or plans that improve the technical, managerial, and financial capacity of the assistance recipient to operate, maintain, and replace financed infrastructure. **Category 3:** preliminary planning, alternatives assessment, and eligible capital projects that reflect the full life cycle costs of infrastructure assets, conserve natural resources, or use alternative approaches to integrate natural or "green" systems into the built environment.

<sup>5</sup> EE = Energy Efficiency, EI = Environmentally Innovative, GI = Green Infrastructure, WE = Water Efficiency, CR = Climate Resiliency.

<sup>6</sup> Borrowers eligible for up to \$25,000,000 at a subsidized interest rate.

\* This project priority list was published on July 8, 2020 for a 2-week comment period.

**SFY 2021 - Wastewater (Small Systems)**  
Indiana Wastewater State Revolving Fund (WWSRF) Loan Program  
SFY 2021 Project Priority List, July 22, 2020, 1st Quarter FINAL\*  
Projects Applying for Financial Assistance in State Fiscal Year 2021 (July 1, 2020 - June 30, 2021)

PPL Rank <sup>1</sup>	PPL Score	Participant	MHI <sup>2</sup>	Population Served	NPDES No.	SRF Project No.	Project Description	Needs Category <sup>3</sup>	EPA's Sustainability Policy Category <sup>4</sup>	Estimated Green Project Reserve Cost	Green Project Reserve Category <sup>5</sup>	Current User Rate (per 4,000 gallons) <sup>2</sup>	Estimated Post-Project User Rate (per 4,000 gallons) <sup>2</sup>	Requested Funds	Cumulative Requested Funds	SFY 2021 Fundable Range <sup>6</sup> (\$135 Million)
1	66	Wells County Regional Sewer District	\$56,265	9,897	IN0022411	WW192790 01	New Collection System	IV-A	1	TBD	TBD	\$0.00	\$254.18	\$7,368,000	\$7,368,000	Fundable Range (\$135 Million)
2	63	Adams County Regional Water and Sewer District	\$51,713	1,659	IN0039314	WW190201 02	New Collection System	IV-A, IV-B	1	\$0	N/A	\$93.30	\$157.16	\$10,650,000	\$18,018,000	
3	62	LaGrange County Regional Utility District	\$60,675	5,583	IN0060097	WW190544 03	Plant and Collection System Improvements	I, III-B	1, 2, 3	TBD	TBD	\$72.00	\$96.13	\$7,300,000	\$25,318,000	
4	62	Whitley County Regional Water and Sewer District	\$61,153	519	IN0022624	WW183292 01	New Collection System	IV-A	1	TBD	TBD	\$0.00	\$248.00	\$7,400,000	\$32,718,000	
5	60	Long Beach	\$103,569	1,108	IN0023752	WW180846 01	Collection System Expansion	IV-A	1	TBD	TBD	\$32.19	\$165.05	\$7,310,000	\$40,028,000	
6	58	Elwood: West Elwood	\$40,122	8,449	IN0032719	WW210148 03	Collection System Expansion	IV-A	1	TBD	TBD	\$50.24	\$85.29	\$1,714,718	\$41,742,718	
7	57	Butler	\$56,827	2,729	IN0022462	WW200817 01	Plant Upgrade	I, V	1, 2, 3	TBD	TBD	\$60.64	\$60.64	\$6,406,000	\$48,148,718	
8	55	Brown County Regional Sewer District	\$61,455	568	TBD	WW181707 01	New Plant and Collection System	I, II, IV-A	1	TBD	TBD	\$0.00	\$221.15	\$10,300,000	\$58,448,718	
9	52	Morgantown	\$43,393	1,030	IN0036820	WW191955 01	Plant and Collection System Improvements	I, II, III-B	1, 2	TBD	TBD	\$34.99	\$129.38	\$7,033,175	\$65,481,893	
10	50	Westlakes Regional Sewer District	\$45,381	1,587	IN0063088	WW200157 01	Plant and Collection System Improvements	I, III-B	1, 2, 3	TBD	TBD	\$95.31	\$110.10	\$772,000	\$66,253,893	
11	50	Posey County Regional Sewer District	\$62,583	3,989	TBD	WW192665 02	New Plant and Collection System	I, IV-A	1	TBD	TBD	\$0.00	\$108.80	\$11,000,000	\$77,253,893	
12	50	Monrovia	\$73,029	1,500	IN0060640	WW210655 01	Plant and Collection System Improvements	I, III-B	1, 2, 3	TBD	TBD	\$56.73	\$78.13	\$3,672,752	\$80,926,645	
13	49	Thralls Station Regional Sewer District	\$21,786	860	IN0109592	WW201184 02	Infiltration/Inflow Correction	III-A	1, 2, 3	TBD	TBD	\$82.20	\$101.46	\$1,134,000	\$82,060,645	
14	49	Turkey Creek Regional Sewer District	\$40,341	500	IN0045802	WW210349 02	Collection System Expansion	IV-A	1	TBD	TBD	\$65.90	\$71.83	\$2,672,000	\$84,732,645	
15	49	Middlebury	\$68,152	3,572	IN0023761	WW210420 03	Collection System Expansion	IV-A	1	TBD	TBD	\$34.25	\$44.74	\$4,939,700	\$89,672,345	
16	48	Monticello	\$44,276	5,282	IN0020176	WW210291 04	Combined Sewer Plan	V	1, 2	TBD	TBD	\$69.46	\$80.41	\$10,965,385	\$100,637,730	
17	48	Rochester	\$46,409	6,043	IN0021661	WW210825 01	Plant Improvements	I, I	1, 2, 3	TBD	TBD	\$28.78	\$42.90	\$9,988,500	\$110,626,230	
18	46	Frankton	\$49,352	1,980	IN0020028	WW211248 01	New Plant and Collection System Improvements	I, II, III-B	1	TBD	TBD	\$26.03	\$136.00	\$28,033,000	\$138,659,230	
19	45	Milltown	\$33,813	896	IN0020460	WW200231 01	New Plant	I	1, 2, 3	TBD	TBD	\$45.90	\$80.33	\$1,640,000	\$140,299,230	
20	45	Highland Sanitary District	\$63,699	9,025	IN0023060	WW211545 01	Collection System Improvements	III-B, IV-A	1, 2, 3	TBD	TBD	\$18.71	\$20.42	\$7,633,700	\$147,932,930	
21	43	Elwood	\$40,122	8,449	IN0032719	WW190909 03	Combined Sewer Plan	V	1	\$0	N/A	\$42.76	\$50.24	\$2,814,000	\$150,746,930	
22	41	Western Wayne Regional Sewer District	\$44,228	3,677	IN0054402	WW141789 01	Plant Upgrade	I, II	1, 2, 3	\$2,344,000	EE, EI	\$43.82	\$53.95	\$18,000,000	\$168,746,930	
23	41	Daleville	\$50,417	1,636	Stormwater	WW192818 01	Storm Water Improvements	VI	1	TBD	TBD	\$60.31	\$68.10	\$1,510,800	\$170,257,730	
24	41	Sellersburg	\$62,143	9,013	IN0020419	WW211010 01	Plant Improvements and Expansion	I, II	1, 2	TBD	TBD	\$22.85	\$59.51	\$25,275,000	\$195,532,730	
25	40	Chesterfield	\$41,222	2,336	IN0063983	WW211948 03	Plant and Collection System Improvements	I, II, III-B	1, 2, 3	TBD	TBD	\$65.05	\$89.15	\$1,523,000	\$197,055,730	
26	40	Crothersville	\$50,921	1,755	IN0022683	WW191736 01	Combined Sewer Plan	V	1, 2, 3	TBD	TBD	\$43.42	\$85.58	\$5,744,618	\$202,800,348	
27	40	Atlanta	\$62,604	890	IN0022306	WW200529 01	Infiltration/Inflow Correction	III-B	1, 2, 3	TBD	TBD	\$67.00	\$114.19	\$1,508,329	\$204,308,677	
28	39	South Henry Regional Waste District	\$48,235	1,851	IN0055131	WW192233 01	Collection System Improvements	III-B	1, 2, 3	TBD	TBD	\$49.85	\$79.73	\$5,433,000	\$209,741,677	
29	38	New Ross	\$54,091	477	IN0059790	WW191454 01	Plant Improvements	I	1, 2, 3	TBD	TBD	\$50.00	\$60.00	\$360,000	\$210,101,677	
30	38	Clayton	\$65,000	998	IN0021431	WW201037 02	Plant and Collection System Improvements	II, III-A, IV-B	1, 2	TBD	TBD	\$40.00	\$96.64	\$6,206,000	\$216,307,677	
31	37	Westville	\$43,510	6,343	IN0024848	WW200746 02	Plant and Collection System Improvements	I, III-A	1, 2, 3	TBD	TBD	\$52.96	\$29.04	\$10,901,620	\$227,209,297	
32	36	East Shore Conservancy District	\$39,010	1,211	IN0021288	WW211850 01	Collection System Improvements	III-B, IV-B	1	TBD	TBD	\$75.00	\$252.55	\$3,119,000	\$230,328,297	
33	36	Darlington	\$58,500	822	Stormwater	WW192554 02	Storm Water Improvements	VI	1	TBD	TBD	\$65.65	\$118.16	\$1,012,056	\$231,340,353	
34	35	Thorntown	\$46,861	1,429	IN0024589	WW192106 01	Plant and Collection System Improvements	I, III-B	1, 2, 3	TBD	TBD	\$29.88	\$49.71	\$1,954,000	\$233,294,353	
35	34	Topeka	\$43,510	1,022	IN0021571	WW211144 01	Plant Improvements	I, II	1, 2, 3	TBD	TBD	\$35.90	\$84.68	\$7,631,000	\$240,925,353	



36	34	Dale	\$47,500	1,442	IN021598	WW200947 02	Plant and Collection System Improvements	I, III-A, III-B	1, 2, 3	TBD	TBD	\$49.62	\$49.62	\$2,611,000	\$243,536,353
37	30	Alexandria	\$52,051	5,025	IN0020044	WW211448 03	Plant Improvements	II	1, 2, 3	TBD	TBD	\$45.03	\$55.41	\$1,405,000	\$244,941,353
38	27	Nashville	\$43,542	1,349	IN0023876	WW212307 01	Plant and Collection System Improvements	I, III-B	1, 2, 3	TBD	TBD	\$59.98	\$105.98	\$6,122,400	\$251,063,753
39	27	Whitestown	\$77,802	7,220	IN0064211	WW212206 05	Collection System Improvements	III-B	1, 2, 3	TBD	TBD	\$57.12	TBD	\$9,541,000	\$260,604,753
40	26	New Whiteland	\$63,901	5,955	Stormwater	WW191541 03	Storm Water Improvements	VI	1, 2, 3	TBD	TBD	\$45.83	\$50.37	\$990,000	\$261,594,753
41	25	Lake Lemon Conservancy District	\$56,319	1,250	NA	WW200653 01	Nonpoint Source - Sedimentation Removal	VII	1	TBD	TBD	\$0.00	\$8.62	\$1,200,000	\$262,794,753
TOTAL REQUESTED FUNDS - PRELIMINARY ENGINEERING REPORTS (PERs)										\$2,344,000				\$262,794,753	

PPL Rank <sup>1</sup>	PPL Score	Participant	MHI <sup>2, 3</sup>	Population Served	PWSID No.	SRF Project No.	Project Description	Needs Category <sup>3</sup>	EPA's Sustainability Policy Category <sup>4</sup>	Estimated Green Project Reserve Cost	Green Project Reserve Category <sup>5</sup>	Current User Rate (per 4,000 gallons) <sup>2</sup>	Estimated Post-Project User Rate (per 4,000 gallons) <sup>2</sup>	Estimated Total Project Cost	Cumulative Total
Application Only		Loogootee	\$44,125	2,560	IN0039541	WW211351 01	Plant and Collection System Improvements	I, II, III-A	1, 2, 3	TBD	TBD	\$47.51	\$54.64	\$6,513,000	\$6,513,000
Application Only		Roanoke	\$64,583	1,842	IN0021440	WW212535 01	Plant and Collection System Improvements	I, II, III-A	1, 2, 3	TBD	TBD	\$38.39	TBD	\$9,806,000	\$16,319,000
TOTAL REQUESTED FUNDS - APPLICATIONS ONLY										\$0				\$16,319,000	
TOTAL REQUESTED FUNDS - PERs & APPLICATIONS										\$2,344,000				\$279,113,753	

**Footnotes:**

<sup>1</sup> A community must submit a complete Preliminary Engineering Report to the CWSRF Loan Program in order for the project to be scored and ranked on the Project Priority List (PPL).

<sup>2</sup> Additional subsidization may be provided to participants who have a low Median Household Income (MHI) and/or high post-project user rates as outlined in the Intended Use Plan (IUP). The amount of the additional subsidization shall be determined and set forth in the financial assistance agreement.

<sup>3</sup> Needs Categories:

I. Secondary Wastewater Treatment	VI. Stormwater Management Programs	VII. B. NPS Control: Agriculture (Animals)	VII. J. NPS Control: Sanitary Landfills
II. Advanced Wastewater Treatment	VI. A. Stormwater Conveyance Infrastructure	VII. C. NPS Control: Silviculture	VII. K. NPS Control: Hydro modification
III. A. Infiltration/Inflow Correction	VI. B. Stormwater Treatment Systems	VII. E. NPS Control: Ground Water Protection	VII. M. NPS Control: Other Estuary Management Activities
III. B. Sewer Replacement/Rehabilitation	VI. C. Green Infrastructure	VII. F. NPS Control: Marinas	X. Recycled Water Distribution
IV. A. New Collector Sewers and Appurtenances	VI. D. General Stormwater Management	VII. G. NPS Control: Resource Extraction	XII. Decentralized Wastewater Treatment Systems
IV. B. New Interceptors Sewer and Appurtenances	VII. Nonpoint Source (NPS) Control	VII. H. NPS Control: Brownfields	
V. Combined Sewer Overflow (CSO) Correction	VII. A. NPS Control: Agriculture (Cropland)	VII. I. NPS Control: Storage Tanks	

<sup>4</sup> EPA's Wastewater and Drinking Water Infrastructure Sustainability Policy. Category 1: projects that are based on a "fix it first" approach that focuses on system upgrade and replacement in existing communities. Category 2: investigations, studies, or plans that improve the technical, managerial, and financial capacity of the assistance recipient to operate, maintain, and replace financed infrastructure. Category 3: preliminary planning, alternatives assessment, and eligible capital projects that reflect the full life cycle costs of infrastructure assets, conserve natural resources, or use alternative approaches to integrate natural or "green" systems into the built environment.

<sup>5</sup> EE = Energy Efficiency, EI = Environmentally Innovative, GI = Green Infrastructure, WE = Water Efficiency, CR = Climate Resiliency.

<sup>6</sup> Borrowers eligible for up to \$25,000,000 at a subsidized interest rate.

\* This project priority list was published on July 8, 2020 for a 2-week comment period.

# SFY 2021 - Drinking Water

Indiana Drinking Water State Revolving Fund (DWSRF) Loan Program  
SFY 2021 Project Priority List, July 22, 2020, 1st Quarter FINAL\*

Projects Applying for Financial Assistance in State Fiscal Year 2021 (July 1, 2020 - June 30, 2021)

PPL Rank <sup>1</sup>	PPL Score	Participant	MHI <sup>2,3</sup>	Population Served	PWSID No.	SRF Project No.	Project Description	EPA's Sustainability Policy Category <sup>4</sup>	Estimated Green Project Reserve Cost	Green Project Reserve Category <sup>5</sup>	Current User Rate (per 4,000 gallons) <sup>2</sup>	Estimated Post-Project User Rate (per 4,000 gallons) <sup>2</sup>	Requested Funds	Cumulative Requested Funds	SFY 2021 Fundable Range <sup>6</sup> (\$55 Million)
1	54	North Salem	\$39,943	504	5232017	DW190332 01	Supply, Plant, and Storage Improvements	1	\$0	N/A	\$57.25	\$91.60	\$2,170,000	\$2,170,000	Fundable Range (\$55 Million)
2	52	Crown Point	\$77,537	30,000	5245008	DW180445 03	New Storage and Distribution System Improvements, and Lead Service Line Replacement	1, 2	\$0	N/A	\$50.74	\$55.81	\$7,000,000	\$9,170,000	
3	51	Andrews	\$40,333	1,149	5235001	DW160935 01	New Plant	1	TBD	TBD	\$29.60	\$67.20	\$2,739,000	\$11,909,000	
4	50	Martinsville	\$46,635	15,000	5255009	DW191255 02	Supply, Plant and Distribution System Improvements	1	\$0	N/A	\$33.47	\$36.27	\$6,211,000	\$18,120,000	
5	48	Nappanee	\$52,744	6,648	5220016	DW200920 02	Storage and Distribution System Improvements and Lead Service Line Replacement	1, 2	\$0	N/A	\$19.55	\$27.46	\$7,250,000	\$25,370,000	
6	45	Jackson County Water Utility	\$49,506	13,050	5236003	DW210336 04	Distribution System Improvements and Lead Service Line Replacement	1	TBD	TBD	\$46.16	TBD	\$3,220,000	\$28,590,000	
7	45	Grabill	\$55,536	1,325	5202006	DW201302 02	Supply, Plant, Treatment and Distribution System Improvements	1	\$296,000	EE, WE	\$17.96	\$41.14	\$5,195,000	\$33,785,000	
8	41	Lebanon	\$50,480	16,098	5206003	DW181306 02	Distribution System and Capacity Improvements	1	TBD	TBD	\$34.26	\$40.16	\$7,738,605	\$41,523,605	
9	41	Indiana American Water Company	Various	Various	Various	DW182141 09	Lead Service Line Replacement	1	\$0	N/A	\$34.84	\$34.84	\$26,523,000	\$68,046,605	
10	38	Monticello	\$44,278	5,300	5291011	DW210191 02	Distribution System Improvements and Lead Service Line Replacement	1	\$0	N/A	\$22.05	\$25.00	\$2,141,250	\$70,187,855	
11	38	Monroe	\$61,250	872	5201004	DW190101 01	Plant and Distribution System Improvements	1, 2	\$0	N/A	\$54.25	\$94.50	\$3,760,569	\$73,948,424	
12	37	Galveston	\$45,536	1,258	5209003	DW190709 01	Plant, Storage, Distribution System Improvements	1	\$0	N/A	\$45.68	\$90.30	\$6,600,000	\$80,548,424	Fundable Range (\$55 Million)
13	35	LaCrosse	\$54,325	540	5246015	DW200246 01	Supply and Distribution System Improvements	1, 2, 3	\$545,600	WE	\$22.57	\$92.12	\$4,019,860	\$84,568,284	
14	35	Northwest Jasper Regional Water District	\$56,574	3,815	5237015	DW191737 01	Supply, Plant and Distribution System Improvements	1	\$0	N/A	\$42.60	\$49.50	\$6,985,480	\$91,553,764	
15	34	Topeka	\$53,438	1,022	5244008	DW201044 01	Supply and Plant Improvements	1, 2, 3	\$210,000	EE	\$24.34	\$49.04	\$4,392,000	\$95,945,764	
16	33	Universal	\$40,250	472	5283001	DW200583 03	Supply, Plant and Distribution System Improvements	1	\$0	N/A	\$37.36	\$69.46	\$815,500	\$96,761,264	
17	33	LaGrange	\$43,528	2,625	5244003	DW200644 01	New Supply, Plant, Storage	1, 2, 3	\$345,000	EE, EI	\$28.86	\$36.04	\$7,870,000	\$104,631,264	
18	33	Fountain City	\$44,028	735	5289006	DW191189 01	Distribution System Improvements	1, 2	\$0	N/A	\$42.49	\$114.58	\$3,691,419	\$108,322,683	
19	32	Carlisle	\$31,313	3,270	5277001	DW190977 01	Supply and Treatment Improvements	1, 2, 3	\$0	N/A	\$23.74	\$37.27	\$3,555,000	\$111,877,683	
20	32	Lewisville	\$45,739	392	5233006	DW200333 02	Supply, Plant and Distribution System Improvements	1, 2	\$0	N/A	\$53.94	\$91.35	\$2,009,450	\$113,887,133	
21	32	Dana	\$45,804	800	5283005	DW200483 01	Plant, Storage and Distribution System Improvements	1	\$0	N/A	\$39.02	\$87.58	\$1,880,000	\$115,767,133	
22	31	Van Bibber Lake Conservancy District	\$25,313	340	5267010	DW191067 01	Distribution System Improvements	1	\$0	N/A	\$78.00	\$253.91	\$8,400,000	\$124,167,133	
23	30	Elwood	\$40,122	8,586	5248007	DW191848 02	Storage and Distribution Improvements	1	TBD	TBD	\$30.84	\$34.08	\$2,512,000	\$126,679,133	
24	30	Dillsboro	\$40,250	2,000	5215005	DW201515 01	Storage and Distribution System Improvements	1	TBD	TBD	\$34.64	\$54.11	\$2,017,000	\$128,696,133	
25	30	Evansville	\$40,899	173,000	5282002	DW181282 02	Distribution System Improvements	1, 2	\$0	N/A	\$33.74	TBD	\$97,024,000	\$225,720,133	
26	30	Hoosier Hills Regional Water District	\$44,734	8,642	5289002	DW210469 01	Storage and Distribution System Improvements and Water Main Extension	1, 2, 3	TBD	TBD	\$32.00	TBD	\$3,047,000	\$228,767,133	
27	30	Chandler	\$50,904	19,295	5287002	DW181987 02	Distribution System Improvements	1, 2	TBD	TBD	\$35.21	\$35.21	\$19,794,000	\$248,561,133	
28	29	Edwardsville Water Corporation	\$30,300	10,200	5222001	DW201122 01	Storage and Distribution System Improvements	1, 3	TBD	TBD	\$38.26	\$42.47	\$7,905,800	\$256,466,933	
29	29	Warren	\$47,188	1,237	5235012	DW200835 01	Supply and Storage Improvements	1	\$0	N/A	\$36.35	\$45.08	\$1,640,000	\$258,106,933	
30	29	Middlebury	\$68,152	3,420	5220014	DW200720 02	Distribution System Improvements	1	\$0	N/A	\$32.98	\$37.79	\$1,117,000	\$259,223,933	
31	29	Carmel	\$125,168	88,077	5229004	DW181129 01	Plant, Storage and Distribution System Improvements	1, 2, 3	TBD	TBD	\$25.31	\$29.87	\$51,100,000	\$310,323,933	
32	27	Chrisney	\$57,750	813	5274001	DW201274 01	Supply, Storage and Distribution System Improvements	1	TBD	TBD	\$47.36	\$82.99	\$2,006,000	\$312,329,933	
33	26	Frankfort	\$40,889	16,422	5212003	DW191412 01	New Supply, Plant Expansion, Storage and Distribution System Improvements	1, 3	TBD	TBD	\$13.75	\$22.62	\$13,650,000	\$325,979,933	
34	26	Brown County Water Utility	\$54,237	11,300	5207001	DW201407 03	Supply and Distribution System Improvements	1	TBD	TBD	\$51.76	\$55.84	\$3,894,250	\$329,874,183	
35	25	Peru	\$34,992	11,417	5252016	DW170652 02	Distribution System Improvements	1, 2, 3	TBD	TBD	\$43.32	TBD	\$1,100,000	\$330,974,183	

36	25	Clinton County Building Corporation	\$51,659	16,422	5212003	DW190512 01	Distribution System Expansion	1	\$0	N/A	\$13.74	\$45.00	\$5,000,000	\$335,974,183
37	25	North Dearborn Water Corporation	\$65,096	5,405	5215008	DW201615 02	Supply, Plant and Distribution System Improvements	1, 2, 3	TBD	TBD	\$26.07	TBD	\$4,196,945	\$340,171,128
38	23	Russellville	\$51,250	380	5267008	DW201867 02	Storage and Distribution System Improvements	1	\$0	N/A	\$45.00	\$100.47	\$1,300,000	\$341,471,128
39	21	Washington	\$40,645	13,690	5214007	DW190414 01	Distribution System Improvements	1, 2, 3	\$0	N/A	\$33.79	\$38.86	\$3,320,000	\$344,791,128
<b>TOTAL REQUESTED FUNDS - PRELIMINARY ENGINEERING REPORTS (PERs)</b>									<b>\$1,396,600</b>				<b>\$344,791,128</b>	

Application Only - Unscored

PPL Rank <sup>1</sup>	PPL Score	Participant	MHI <sup>2,3</sup>	Population Served	PWSID No.	SRF Project No.	Project Description	EPA's Sustainability Policy Category <sup>4</sup>	Estimated Green Project Reserve Cost	Green Project Reserve Category <sup>5</sup>	Current User Rate (per 4,000 gallons) <sup>2</sup>	Estimated Post-Project User Rate (per 4,000 gallons) <sup>2</sup>	Estimated Total Project Cost	Cumulative Total
Application Only		Cedar Lake	\$65,067	4,600	5245047	DW201745 04	Supply, Storage, and Distribution System Improvements	1	\$0	N/A	\$36.04	\$40.18	\$3,915,000	\$3,915,000
Application Only		Loogootee	\$44,125	3,915	5251005	DW210251 01	Storage and Distribution System Improvements	1	TBD	TBD	\$31.54	\$46.35	\$2,630,000	\$6,545,000
<b>TOTAL REQUESTED FUNDS - APPLICATIONS ONLY</b>									<b>\$0</b>				<b>\$6,545,000</b>	
<b>TOTAL REQUESTED FUNDS - PERs &amp; APPLICATIONS</b>									<b>\$1,396,600</b>				<b>\$351,336,128</b>	

Footnotes:

- <sup>1</sup> A community must submit a complete Preliminary Engineering Report to the DWSRF Loan Program in order for the project to be scored and ranked on the Project Priority List (PPL).
- <sup>2</sup> Additional subsidization may be provided to participants who have a low Median Household Income (MHI) and/or high post-project user rates as outlined in the Intended Use Plan (IUP). The amount of the additional subsidization shall be determined and set forth in the financial assistance agreement.
- <sup>3</sup> The Indiana DWSRF Loan Program defines a Disadvantaged Community in Section VII of the IUP.
- <sup>4</sup> EPA's Wastewater and Drinking Water Infrastructure Sustainability Policy. Category 1: projects that are based on a "fix it first" approach that focuses on system upgrade and replacement in existing communities. Category 2: investigations, studies, or plans that improve the technical, managerial, and financial capacity of the assistance recipient to operate, maintain, and replace financed infrastructure. Category 3: preliminary planning, alternatives assessment, and eligible capital projects that reflect the full life cycle costs of infrastructure assets, conserve natural resources, or use alternative approaches to integrate natural or "green" systems into the built environment.
- <sup>5</sup> EE = Energy Efficiency, EI = Environmentally Innovative, GI = Green Infrastructure, WE = Water Efficiency, CR = Climate Resiliency.
- <sup>6</sup> Borrowers eligible for up to \$7,500,000 at a subsidized interest rate.

\* This project priority list was published on July 8, 2020 for a 2-week comment period.

Exhibit E:     Interest Rate Matrices

- Clean Water Interest Rates
- Drinking Water Interest Rates

SFY 2021 Clean Water SRF Loan Program Quarterly Interest Rates<sup>1</sup>

State Fiscal Year (SFY) By Quarter (Qtr)	User Rates (Over \$50)	User Rates (\$30 to \$50)	User Rates (Under \$30)
Tier III (MHI <sup>2</sup> : under \$43,460)			
1 <sup>st</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
2 <sup>nd</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
3 <sup>rd</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
4 <sup>th</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
Tier II (MHI: \$43,461 to \$54,324)			
1 <sup>st</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
2 <sup>nd</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
3 <sup>rd</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
4 <sup>th</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
Tier I (MHI: over \$54,325)			
1 <sup>st</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
2 <sup>nd</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
3 <sup>rd</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
4 <sup>th</sup> Qtr SFY 2021	2.00%	2.00%	2.00%

<sup>1</sup> Up to an additional .50% reduction may be permitted if a nonpoint source project is financed along with a point source project or a project that includes green/sustainable, including climate resiliency, components.

<sup>2</sup> Median Household Income reflected in the 2014-2018 ACS 5-year Estimate data.

SFY 2021 Drinking Water SRF Loan Program Quarterly Interest Rates<sup>3</sup>

State Fiscal Year (SFY) By Quarter (Qtr)	User Rates (Over \$45)	User Rates (\$25 to \$45)	User Rates (Under \$25)
Tier III (MHI <sup>4</sup> : under \$43,460)			
1 <sup>st</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
2 <sup>nd</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
3 <sup>rd</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
4 <sup>th</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
Tier II (MHI: \$43,461 to 54,324)			
1 <sup>st</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
2 <sup>nd</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
3 <sup>rd</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
4 <sup>th</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
Tier I (MHI: over \$54,325)			
1 <sup>st</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
2 <sup>nd</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
3 <sup>rd</sup> Qtr SFY 2021	2.00%	2.00%	2.00%
4 <sup>th</sup> Qtr SFY 2021	2.00%	2.00%	2.00%

<sup>3</sup> Up to an additional .50 percent reduction is possible if a project is financed that includes green/sustainable, including climate resiliency, components. The SRF interest rate may also be reduced if a project includes lead line replacement.

<sup>4</sup> Median Household Income reflected in the 2014-2018 ACS 5-year Estimate data.

Exhibit F: Financial Assistance Provided - Project Details

Exhibit F: Financial Assistance Provided - Project Details

Community	Funding Amount (dollars)	Funding Type	Interest Rate	Loan Term (yrs)	Date Closed	Population	AMP Cert Date	Participated in Regional Meeting	Non-Revenue Water Audit Submitted
Clayton	681,000	Loan	2.00%	20	3/30/2021	998	<i>pending</i>	Yes	n/a
Clayton	844,000	Loan	2.30%	35	3/30/2021	998	<i>pending</i>	Yes	n/a
Middlebury	1,264,000	Loan	2.00%	20	4/9/2021	3,572	11/4/2020	Yes	n/a
Middlebury	997,000	Loan	2.30%	35	4/9/2021	3,572	11/4/2020	Yes	n/a
Warren	1,355,000	Loan	2.00%	20	4/26/2021	1,237	<i>pending</i>	Yes	Yes
Chesterfield	2,298,000	Loan	0.83%	20	5/28/2021	2,336	<i>pending</i>	Yes	n/a
Brownsburg	1,770,000	Loan	2.00%	20	5/28/2021	25,264	<i>pending</i>	Yes	n/a
Brownsburg	2,140,000	Loan	2.30%	35	5/28/2021	25,264	<i>pending</i>	Yes	n/a
LaGrange, Town	7,232,000	Loan	2.00%	20	6/24/2021	2,625	<i>pending</i>	Yes	Yes

40% of \$17,000,000 required to go to small utilities <sup>1</sup>	\$ 8,000,000
Actual amount of funds provided to small utilities:	\$ 12,410,000
Total Amount funded:	\$ 18,581,000

<sup>1</sup> Small utilities defined as serving less than 3,200 customers



Participant: Clayton			
Grant or Loan:	Loan	Loan Closed:	March 30, 2021
Loan Amount A:	\$ 681,000	System Type:	Wastewater
Loan Amount B:	\$ 844,000		
Affected Population:	998	AMP Certification:	<i>pending</i>
Loan Term A:	20 years	Regional Meeting Participation:	Attended
Loan Term B:	35 years		
Interest Rate A:	2.00%	Non-Revenue Water Audit:	n/a
Interest Rate B:	2.30%		
Project Description:			
The Town of Clayton wastewater treatment plant is in need of capital improvements to meet current state and federal regulations. The system is not able to meet peak flow events and most components were at the end of their useful life.			
The Wastewater System Improvements include:			
<u>The Sanitary Sewer Rehabilitation Project</u>			
Repair and rehabilitation of select sanitary sewer segments, including the cleaning and CCTV inspection of approximately 29,360 linear feet of existing sanitary sewer main; lining of approximately 7,140 linear feet of existing sanitary sewer main, the location and inspection of approximately 32 buried manholes; rehabilitation of approximately 100 manholes; raising of approximately ten manholes; replacement of approximately ten manhole frames/covers; and miscellaneous sewer point repairs, disconnections, and/or other incidental improvements, depending on results of CCTV inspection.			
<u>The Wastewater Treatment Plant Upgrades Project</u>			
Repair and rehabilitation of select components at the North Package Wastewater Treatment Plant, including north tank metals surface preparation and coating rehabilitation; replacement of existing diffused aeration equipment in the package plant aeration tank with new fine bubble diffused aeration equipment; demolition of existing air lift pumps; replacement of miscellaneous air lift pumps and related piping; repair and/or replacement of handrails, grating and piping at the plant; and miscellaneous concrete tank repairs.			
The project allows the system to meet the needs of the current population, increases safety at the plant, protects Mud Creek from potential overflow events, and allows the system to function efficiently in the future. This participant qualified for extended term financing due to the useful life of the project going beyond 20 years.			

Participant: Middlebury			
Grant or Loan:	Loan	Loan Closed:	April 9, 2021
Loan Amount A:	\$ 1,264,000	System Type:	Wastewater
Loan Amount B:	\$ 997,000		
Affected Population:	3,572	AMP Certification:	November 4, 2020
Loan Term A:	20	Regional Meeting Participation:	Attended
Loan Term B:	35		
Interest Rate A:	2.00%	Non-Revenue Water Audit:	n/a
Interest Rate B:	2.30%		
Project Description:			
<p>The residents in the Southwest Quadrant area of the Town of Middlebury currently have private septic systems and absorption fields. The area is noted to have soils that are very limited for this use and many homes have failing systems and have gone through the expensive process of replacing their systems multiple times. Soil borings in the area show that the groundwater is only five to ten feet below grade, meaning the failing septic systems could potentially cause groundwater contamination.</p> <p>To eliminate these concerns the Town will extend sewers to the project area. The project includes the installation of:</p> <ul style="list-style-type: none"><li>• Approximately 7,800 lineal feet of 8-inch diameter gravity sewer and appurtenances;</li><li>• Approximately 1,800 lineal feet of 6-inch diameter force main and appurtenances;</li><li>• One new duplex lift station;</li><li>• Three residential grinder pump stations; and</li><li>• 76 sanitary sewer connections.</li></ul> <p>The project protects public health by protecting groundwater from failing septic systems and improves the North Branch Pine Creek which is currently noted on the Indiana 303(d) list of impaired waters. The residents of the project area will no longer face the cost of maintaining and replacing onsite septic systems. This participant qualified for extended term financing due to the useful life of the project going beyond 20 years.</p>			

Participant: Warren			
Grant or Loan:	Loan	Loan Closed:	April 26, 2021
Loan Amount:	\$ 1,355,000	System Type:	Drinking Water
Affected Population:	1,237	AMP Certification:	<i>pending</i>
Loan Term:	20	Regional Meeting Participation:	Attended
Interest Rate:	2.00%	Non-Revenue Water Audit:	Submitted
<p><b>Project Description:</b></p> <p>The Town of Warren’s water treatment system requires updates and rehabilitation due to aging components. The Park Water elevated storage tank was originally constructed in 1957 and recent inspections revealed critical safety deficiencies. The tank has been patched many times due to substantial leaks and due to system elevations, the tank cannot be completely filled, meaning the system cannot meet storage capacity requirements. The 11<sup>th</sup> Street elevated storage tank was originally constructed in 1994. Recent inspections revealed critical safety deficiencies and rehabilitation needs. Further, the Town’s Well No. 3 has components that are inconsistent with other wells in the system and at the end of its useful life. The well also has an improperly functioning check valve which allows backwater into the pump and well.</p> <p>The project consists of the following improvements to the Town of Warren’s system:</p> <ul style="list-style-type: none"> <li>• Upgrades and modifications to Well No. 3, including replacement of the existing submersible pump with an above ground vertical turbine pump and construction of a well house;</li> <li>• The construction of a new 200,000 gallon elevated storage tank to replace the Park Tower; and</li> <li>• The rehabilitation of the 11<sup>th</sup> Street elevated storage tank.</li> </ul> <p>The proposed projects protects public health by providing safe drinking water with reliable quantity, quality, and service, allows the system to meet capacity requirements, and allows the system to function efficiently, and meet future needs.</p>			

Participant: Chesterfield			
Grant or Loan:	Loan	Loan Closed:	May 28, 2021
Loan Amount:	\$ 2,298,000	System Type:	Wastewater
Affected Population:	2,336	AMP Certification:	<i>pending</i>
Loan Term:	20 years	Regional Meeting Participation:	Attended
Interest Rate:	2.00%	Non-Revenue Water Audit:	n/a
<p><b>Project Description:</b></p> <p>The Town of Chesterfield operates a 1 MGD Wastewater Treatment Plant (WWTP) and serves the Town of Chesterfield, IDNR Mounds State Park, and the Town of Daleville. The Town's NPDES permit was renewed to include phosphorus treatment requirements. The WWTP suffers operational issues that must be addressed, including the release of an unknown gas that is currently volatilized from the waste stream. In the collection system, the existing Mounds Lift Station has exceeded its useful life and is at risk of complete failure. In addition, the configuration of the existing station creates a safety risk.</p> <p>To resolve these issues, improvements at the WWTP include:</p> <ul style="list-style-type: none"> <li>• Installation of a chemical phosphorus removal system, including building, chemical feed skid, storage tank, and piping;</li> <li>• Installation of an air scrubber system and air testing at the Main Lift Station;</li> <li>• Installation of an aeration blower system, including four new aeration blowers with VFDs and enclosures; and</li> <li>• Miscellaneous improvements, including sludge pump room access door, vent and fan; blower room air dryer; screenings dumpster for vacuum truck; site storm drain; modification of sludge holding piping; and relocation of surge pump electrical box.</li> </ul> <p>The Mounds Lift Station Replacement includes:</p> <ul style="list-style-type: none"> <li>• Installation of a submersible lift station at Mounds State Park, including new flow meter; and</li> <li>• Abandonment of the existing lift station.</li> </ul> <p>The chemical phosphorus removal system ensures the Town complies with the discharge permit and reduces phosphorus loads to the West Fork of the White River. The installation of an air scrubber at the Main Lift Station addresses unknown gas being released, reducing possible adverse health effects. The new blowers and miscellaneous improvements replace components at the WWTP that are undersized and/or near the end of their useful life, improves existing unit processes, and allows continued compliance with the discharge permit. This participant qualified for extended term financing due to the useful life of the project going beyond 20 years.</p>			

Participant: Brownsburg			
Grant or Loan:	Loan	Loan Closed:	May 28, 2021
Loan Amount A:	\$ 1,770,000	System Type:	Wastewater
Loan Amount B:	\$ 2,140,000		
Affected Population:	25,264	AMP Certification:	<i>pending</i>
Loan Term A:	20	Regional Meeting Participation:	Attended
Loan Term B:	35		
Interest Rate A:	2.00%	Non-Revenue Water Audit:	n/a
Interest Rate B:	2.30%		
Project Description:			
<p>The Town of Brownsburg and the surrounding county is one of the fastest growing areas in Indiana. With the high growth in the area, the limited remaining sewer capacity will be utilized soon. Once the system is at capacity it can no longer accommodate additional growth and may not be able to properly capture and treat wet weather flows.</p> <p>The Brownsburg Sanitary Sewer System Improvements Phase 1B project consists of the following:</p> <ul style="list-style-type: none"><li>• Construction of the Northeast Interceptor, including approximately 6,910 linear feet of open cut gravity sanitary sewer main, approximately eighteen manholes, approximately 150 linear feet of jack and bore casing under County Road 700N; and redirection of flow from the existing Lake Ridge Lift Station to the new Northeast Interceptor by the construction of approximately 4,500 linear feet of open cut sanitary sewer force main.</li><li>• Construction of the North Regional Lift Station, including the construction of approximately 1,300 linear feet of open cut and approximately 250 linear feet of horizontal directionally drilled sanitary sewer force main, approximately 20 linear feet of open cut gravity sanitary sewer, air release valves, a manhole and related appurtenances.</li></ul> <p>The proposed project allows the Town of Brownsburg to meet the current and future needs of their community and provides the capacity to eliminate failing septic systems in the future. Additionally, the redirection of flow from the Lake Ridge Lift Station makes available capacity that can be used during wet weather flows and reduce overflows in the system.</p>			

Participant: LaGrange, Town of			
Grant or Loan:	Loan	Loan Closed:	June 24, 2021
Loan Amount:	\$ 7,870,000	System Type:	Drinking Water
Affected Population:	2,625	AMP Certification:	<i>pending</i>
Loan Term:	20	Regional Meeting Participation:	Attended
Interest Rate:	2.0%	Non-Revenue Water Audit:	Submitted
<p><b>Project Description:</b></p> <p>The Town of LaGrange's drinking water treatment plant has been in operation for approximately 60 years. Treatment equipment is beyond its useful life, lacks redundancy, and is increasingly difficult to maintain. Existing Well No. 1 is no longer able to meet the capacity needs of the system. In addition, there is no SCADA system for monitoring and control of existing supply, treatment, or storage components.</p> <p>The Water Utility System Improvements Project includes:</p> <ul style="list-style-type: none"> <li>• New 1.0 MGD groundwater treatment plant at the existing north wellfield site, including a new building; filters; oxidation and disinfection chemical feed systems; finished water storage tanks; high service pumps with VFDs; laboratory; backwash detention ponds with overflow connection to sanitary sewer; SCADA system; ductile iron piping; backup power generator; and stormwater detention ponds with overflow piping and outfalls;</li> <li>• New supply Well No. 5, including a new well house, and pumps; and</li> <li>• New VFDs and SCADA controls at Well No. 5, at existing Well No. 3 and Well No. 4; and at existing north and south elevated water storage tanks.</li> </ul> <p>The proposed projects provide adequate finished water to the distribution system, increase reliability, and allow the utility to provide safe, reliable drinking water to its service area.</p>			