

# SMALL UTILITY TOOLKIT

## **IURC Regulatory Information**

- 1 - *Guidelines for 30-day filings* - A guide to understanding the process to add or change non-recurring charges, water trackers or fire protection charges.
- 2 - *Commission's Main Extension Rules*- A guide to understanding how to apply the IURC's main extension rules - for NFP and Investor-owned utilities only.
- 3 - *Small Utility Rate Application Checklist* - A checklist of items needed to charge rates using the IURC's Small Utility Rate Application.
- 4 - *Annual Report Checklist* - This checklist will help to ensure you will file your annual report correctly the first time.

## **Infrastructure Funding**

- 5 - *System Development Charges (SDC)* - Learn more about this growth pays for growth concept to fund system capacity needs.
- 6 - *Indiana Finance Authority - State Revolving Fund* - A summary of information about the State Revolving Loan Fund programs.
- 7 - *USDA Rural Development Loan/Grant Program* - A summary of information about Rural Developments loan and grant programs.
- 8 - *Community Development Block Grants - OCRA* - A summary of information about OCRA's planning grants and construction grants for low-to moderate income areas.
- 9 - *EPA Financing Alternatives Comparison Tool (FACT)* - Not sure which financing program to choose? - This program is free to help you decide.

## **Asset Management**

- 10 - *Water System Self Evaluation Toolkit* - An asset management program to assist utilities that do not use computers.
- 11 - *Check-Up Program for Small Systems (CUPSS)* - A free software program to help a utility plan, maintain its assets and more.
- 12 - *EPA Asset Management* - A handbook for Small Water Systems
- 13 - *AWWA Water Audit Software v3.0* - If your utility is experiencing over 15% water loss you might want to view this free software.
- 14 - *Only Tap Water Delivers* - AWWA - This media campaign will help your utility educate its customers about asset management.

## **Free Technical and Operational Assistance for many of Your Utility's Needs**

- 15 - *Alliance of Indiana Rural Water*
- 16 - *Environmental Infrastructure Working Group*
- 17 - *Indiana Rural Community Assistance Program*
- 18 - *EPA Drinking Water Academy*

**Other:** Information Following this Page:  
*Resource Directory*

Page #  
2

# RESOURCE DIRECTORY

<p><b>Indiana Office of Utility Regulatory Commission</b> <i>Curt Gassert, Director</i> Water/Sewer Division (317) 232-2749 <a href="http://www.in.gov/iurc">www.in.gov/iurc</a></p> <p><b>State Revolving Fund Loan Programs</b> <i>Sarah Hudson, Water SRF Program Administrator</i> (317) 232-8663 <a href="http://www.in.gov/ifa/srf/">http://www.in.gov/ifa/srf/</a></p> <p><b>Indiana Office of Community and Rural Affairs</b> <i>Kathleen Weissenberger, Director</i> Community Affairs Division (317) 232-1703 or (800) 824-2476 <a href="http://www.in.gov/ocra">www.in.gov/ocra</a></p> <p><b>IN Dept. of Environmental Management</b> <i>Lynn Pace, Senior Environmental Mgr.</i> Drinking Water Branch - Capacity Development (317) 234-7432 <a href="mailto:mhoover@idem.in.gov">mhoover@idem.in.gov</a></p> <p><b>Indiana Rural Water Association</b> <i>Odetta Cadwell, Executive Director</i> (317) 402-7349 <a href="http://www.indianaruralwater.org/">http://www.indianaruralwater.org/</a></p> <p><b>Indiana Rural Community Assistance Program</b> <i>Vicki Perry, Program Director</i> (800) 382-9895 or (317) 638-9302 <a href="http://www.in-rcap.org/">http://www.in-rcap.org/</a></p> <p><b>Indiana Rural Wastewater Task Force</b> <i>Jamie Palmer, Chairperson</i> (317) 261-3046 <a href="mailto:jpalmer@iupui.edu">jpalmer@iupui.edu</a></p> <p><b>Rural Development</b> <i>Rochelle Owen, Director of Community Programs</i> (317) 295-5767 <a href="http://www.rurdev.usda.gov/in/">www.rurdev.usda.gov/in/</a></p>	<p><b>Indiana Office of Utility Consumer Counselor</b> <i>Scott Bell, Director</i> Water/Sewer Division (317) 233-1084 <a href="http://www.in.gov/oucc">www.in.gov/oucc</a></p> <p><b>State Revolving Fund Loan Programs</b> <i>Shelley Love, Wastewater SRF Program Administrator</i> (317) 232-4396 <a href="http://www.in.gov/ifa/srf/">http://www.in.gov/ifa/srf/</a></p> <p><b>Indiana State Board of Accounts</b> <i>Charlie Pride, Director</i> Cities, Towns and Libraries (317) 232-2521 <a href="http://www.in.gov/sboa">www.in.gov/sboa</a></p> <p><b>IN Dept. of Environmental Management</b> <i>Bridget Murphy, Environmental Mgr.</i> Total Coliform Rule Compliance (317) 234-7459 <a href="mailto:bsmurphy@idem.in.gov">bsmurphy@idem.in.gov</a></p> <p><b>Alliance of Indiana Rural Water</b> <i>Connie Stevens, Executive Director</i> (317) 789-4200 <a href="mailto:alliance@inh2o.org">alliance@inh2o.org</a></p> <p><b>Indiana State Department of Health, Septic Systems</b> <i>Alan Dunn, Senior Environment Manager</i> (317) 233-7179 <a href="mailto:adunn@ishd.in.gov">adunn@ishd.in.gov</a></p> <p><b>EPA CUPSS</b> <i>Dana Mullen, Office of Planning Analysis &amp; Accountability</i> (202) 564-3891 <a href="http://www.epa.gov/cupss/index.html">http://www.epa.gov/cupss/index.html</a></p> <p><b>Indiana Association of Cities and Towns</b> <i>Matthew C. Greller, Executive Director</i> (317) 237-6200 <a href="http://www.citiesandtowns.org/">http://www.citiesandtowns.org/</a></p>
--	---

## 1 – Guidelines for 30-day filings

The Commission developed the 30-Day Filing process to allow utilities to change its non-recurring charges (i.e. tap fees, bad check fees, reconnection fees, etc.) and to pass through increases in wholesale water and sewer service to customers without the need of a formal hearing process. (See 170 IAC 1-6 for the full rule.) The process is also commonly used to approve fire protection surcharges that occur as a result of local government entities electing to pass the cost of public fire protection directly to its customers pursuant to I. C. §8-1-2-103.

The 30-Day Filing process is not a substitute for a rate case and although “30 days” is specified, this is the minimum amount of time required to process a utility’s proposal. Complex filings may take longer.

1. Typical 30 Day Filings include:

- Changes to non-recurring charges
  - ✓ Tap Fee/Connection Fee
  - ✓ Bad Check Charge
  - ✓ Reconnection Fee
- Pass through wholesale rate increase to customers
  - ✓ Water tracker (170 IAC 6-5)
  - ✓ Sewer tracker (170 IAC 8.6)
- Fire Protection Surcharges
- New or Changes to utility rules and regulations (Note: Does not apply to municipal utilities.)
- Rates and charges for new services

2. A 30-Day Filing will *not* be processed by the Commission if any of the following occurs:

- a. Lack of Cost Support for the proposed change(s);
- b. Current rates shown on the proposed tariff do not match amounts and format in the official tariff files of the utility;
- c. Failure to include a proposed tariff sheet(s);

- d. The utility's proposal is an attempt to penalize customers;
- e. Rounding errors – i.e. \$425 becomes \$500; or
- f. Failure to indicate the utility wants its proposal processed as a 30-Day Filing.

### **30-Day Filing Checklist**

The following may be provided in electronic format via electronic mail or a compact disk or for a paper filing, three copies of a utility's 30-Day Filing should be submitted to the Secretary of the Commission and one copy filed with the Office of the Utility Consumer Counselor (OUCC).

The request should consist of the following items:

- A cover letter clearly stating that the request is to be processed through the Commission's 30-Day Filing procedure. The cover letter should also state clearly the purpose of and the need for whatever is requested. Indicate at the bottom of the cover letter that a copy of the filing has been sent to the OUCC. Information regarding who to contact regarding this filing should also be included.
- A proposed Tariff Sheet(s).
- Work papers. Revenue and cost projections: All projections should be clearly explained. This should include all assumptions used, actual or estimated data used (and source of data), and models or methodologies employed should be clearly explained.
- Ordinance for fire protection charges.
- A verified statement, including copies of any written means of notification, by the utility affirming that the affected customers have been notified as required under the Commission's rule. This verified statement may either be incorporated into the cover letter or submitted as a separate document in the filing.
  - Customer notices should be posted in a public place at the utility's local customer service office.
  - Customer notice should also be located in an obvious place on the utility's website, if the utility has a website.

- Customer notice should also be made in at least one (1) newspaper of general circulation that has a circulation encompassing the highest number of the utility's customers affected by the filing.
- Customer notices should include the following:
  - ✓ A brief and accurate description of the nature of the utility's filing;
  - ✓ Which customers may be affected and how those customers may be affected;
  - ✓ The expected date of the filing;
  - ✓ The expected date by which approval of the filing will occur; and
  - ✓ The contact information that a customer can submit an objection to the Commission and the OUCC.
- Proof of publication for water and sewer trackers only (170 IAC 6-5 and 170 IAC 8.6, respectively).
- Send on additional copy of the utility's filing to the Office of Utility Consumer Counselor (OUCC).

An example of an approved filing that requested changes in certain non-recurring charges is attached. Please see 170 IAC 1-6-5 and 170 IAC 1-6-6 for guidelines on filing and notice requirements. If you have any questions about 30-Day Filings or need additional examples, call the Commission's Water/Sewer Division at (317) 232-5559.

<http://www.in.gov/iurc/2398.htm>

**Sample: Cover Letter that includes Verified Statement**

March 1, 2013

RECEIVED

**Via Email & US Mail**

Brenda A. Howe  
Secretary of the Commission  
Indiana Utility Regulatory Commission  
101 West Washington St., Suite 1500 E  
Indianapolis, IN 46204

MAR 01 2013  
INDIANA UTILITY  
REGULATORY COMMISSION

**RE: Tri-Township Water Corporation 30 Day Filing Pursuant to 170 IAC 1-6-1 et seq.**

Dear Ms. Howe:

Pursuant to 170 IAC 1-6-5, please find enclosed the following 30 Day Filing by Tri-Township Water Corporation: Tap Fee Increase. The tariff sheets and work papers have been mailed. The purpose of this filing is to recoup our cost of installing a new water tap. This filing is necessary because of the increase in labor and equipment to perform this work and also due to the increase in material due to the Federal requirement of No Lead Brass associated with the material used to install a water tap. This filing is allowed under 170 IAC 1-6-3 for the following reasons: The code authorizes us to recoup our cost of the installation of a water tap in compliance with Federal, State, & Local law.

The person at the Tri-Township Water Corporation to be contacted regarding this filing is:

Jody Blasdel  
812-637-1039  
24192 State Line Rd. Lawrenceburg, In. 47025  
Email- [ttwwater@fuse.net](mailto:ttwwater@fuse.net) / Fax # 812-637-4641

Affected customers have been notified as required under 170 IAC 1-6-6. Notice will be published in the Dearborn County Register on Thursday, March 14, 2013. Notice has been posted in a public place in the Tri-Township Water Corporation's customer service office.

I verify that notice has been provided as stated in this letter and that this letter and the attached documents are true and accurate to the best of my knowledge, information, and belief.

Sincerely,



Jody Blasdel, Utility Manager

RECEIVED  
MAR 15 2013  
INDIANA UTILITY  
REGULATORY COMMISSION

THURSDAY, MARCH 14, 2013

Municipal Building, 230 Walnut Street, Lawrenceburg, Indiana.

Said Board of Zoning Appeals will hold a public hearing on March 27, 2013 at 6:00 p.m., Council Chambers, 230 Walnut Street, Lawrenceburg, Indiana at which time all interested persons will be given the opportunity to be heard in reference to the matters set out in the petitions ( applications ).  
33302 C-3-14-R-1t

Public Meeting Notice

In order to provide an opportunity to interested persons, including individuals with disabilities or organizations representing individuals with disabilities, to participate in the transition plan process by submitting comments in the development of the City of Greendale Americans with Disabilities Act Transition Plan (28 CFR 36.150(d)(1) & 49 CFR 27.11(c)(2)), the City will host a public input work session to allow public review and comment of this work in progress. The meeting will be held on Wednesday, March 27, 2013 from 5:30 p.m. to 7:00 p.m. in the meeting room of the Greendale City Council Chambers, located at 510 Ridge Avenue, Greendale, IN 47025. The Public will continue to be able to make comments about the ADA Transition Plan at any time, as this plan is a continuous improvement project. Steve Lampert, City of Greendale, ADA Coordinator; (812) 537-2125; slampert@earthlink.net

33582

C-3-14-R-1t  
C-3-19-JP-1t

Public Notice

The Tri-Township Water Corporation, pursuant to 170 IAC 1-6-1, will file with the Indiana Utility Regulatory Commission a 30 Day Filing to increase their Tap Fee. The increase would only affect those customers needing a new water tap for a new home or business or an existing location that currently is not served with city water. The current Tap Fee is \$1100 and we are proposing to increase this fee to \$1700. The reason for this increase is due to the increase in material cost and labor and equipment cost associated with the installation of a new water tap. We expect to file this by March 15, 2013. A Commission decision on this 30 Day Filing is anticipated no sooner than thirty days after the date of filing. Objection to this filing should be made to either the Indiana Utility Regulatory Commission or the Office of Utility Consumer Counselor. The contact information for both of these offices is as follows:

Brenda A. Howe  
Secretary of the Commission  
Indiana Utility Regulatory Commission  
101 West Washington St., Suite 1500 E  
Indianapolis, In. 46204

Indiana Office of Utility Consumer Counselor  
115 West Washington St., Suite 1500 S  
Indianapolis, In. 46204

33281

C-3-14-R-1t

**Sample: Proposed Tariff Sheet**

Enclosure 2  
Sample Proposed Tariff

Tri-Township Water Corporation  
24192 State Line Road  
Lawrenceburg, Indiana 47025

Schedule of Water Rates and Charges  
(Pursuant to IURC Cause Number 40327, dated April 17, 1996)

(A) Metered User Block Schedule

For use of and service rendered by the water corporation, based on the use of water supplied by said water corporation.

<u>Monthly metered usage</u>	<u>Rate per 1000 gallons</u>
First 2,000 gallons	\$4.96
Next 5,000 gallons	3.31
Next 13,000 gallons	2.27
Next 15,000 gallons	1.76
All over 35,000 gallons	1.49

(B) Metered User Minimum Schedule

Each user shall pay a minimum charge for which the user bill be entitled to the quantity of water set out in the above of rates.

<u>Meter Size</u>	<u>Gallons Allowed</u>	<u>Monthly Minimum</u>
5/8 of 3/4 inch meter	2,000	\$9.92
1 inch	3,224	13.97
1 1/4 inch	5,333	20.95
1 1/2 inch	7,030	26.54
2 inch	10,735	34.95
3 inch	19,994	55.97
4 inch	32,792	78.49

(C) Tap Charge \$1,700.00

Each user at the time he is connected with the water system shall pay a charge to cover the costs of: excavating and tapping the main; furnishing and installing service pipe from the main to the lot line; furnishing and installing corporation and stop cocks; and furnishing and installing meter cock (if outside), yoke and meter. The charge for a 5/8 or 3/4 inch meter tap shall be \$1,700.00. The charge for a tap larger than the 5/8 or 3/4 inch meter tap shall be the cost of labor, materials, power machinery transportation, and overhead incurred for installing the tap, but shall not be less than the charge for a 5/8 or 3/4 inch meter tap.

ENCLOSURE 1

Proposed Engineering Minute Report

The Utility proposes to change its 5/8" x 3/4" tap-on fee from \$1100.00 to \$ 1,700.00. The Utility cites increase in the costs of materials, labor, and equipment associated with the installation of customer tap-ons as the reason for the change. Cost support for the proposed change has been provided.

The tariff sheet affected by this filing is:

Page 1 of Schedule of Water Rates and Charges

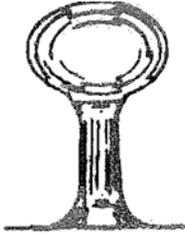
Sample: Workpapers (continued)

Tap Fee Study 2/19/2013 Received by IURC 2/22/2013-BD		2012 Taps Installed		Enclosure 3			
		9 Taps same side of main	30-day Filing ID # 3137				
		4 Taps Bores Opposite side of Main					
		13 Total Taps Installed					
<b>Tap Material Cost 3/4" Tap</b>							
Meter Lid	\$ 75.68						
Meter Pit	\$ 29.20						
Meter-Radio Read	\$ 235.00						
Setter	\$ 160.75						
Ball Corp. Stop	\$ 47.30						
Tubing, Casing, Wire, Gravel	\$ 45.00						
<b>Material Cost</b>	<b>\$ 592.93</b>						
<b>Material Cost+ Individual Saddle Cost+Labor&amp;Equipment = Total Cost of Tap</b>							
<b>SS= Same Side of Main</b>							
<b>B= Bore Opposite Side of Main</b>							
Type	Tap	Date of Tap	Material	Saddle Size	Saddle Cost	Labor & Equipment Cost	Total Cost / Tap
SS	1	2/2/2012	\$ 592.93	2" PVC	\$ 20.14	\$ 768.00	\$ 1,381.07
SS	2	3/14/2012	\$ 592.93	2.5" PVC	\$ 25.89	\$ 768.00	\$ 1,386.82
SS	3	7/18/2012	\$ 592.93	2.5 " PVC	\$ 25.89	\$ 768.00	\$ 1,386.82
SS	4	7/31/2012	\$ 592.93	6" PVC	\$ 41.49	\$ 768.00	\$ 1,402.42
SS	5	7/31/2012	\$ 592.93	8" DI	\$ 120.18	\$ 768.00	\$ 1,481.11
SS	6	11/2/2012	\$ 592.93	6" DI	\$ 110.24	\$ 768.00	\$ 1,471.17
SS	7	9/10/2012	\$ 592.93	4"PVC	\$ 29.50	\$ 768.00	\$ 1,390.43
SS	8	9/25/2012	\$ 592.93	16" PVC	\$ 177.60	\$ 768.00	\$ 1,538.53
SS	9	10/9/2012	\$ 592.93	10" DI	\$ 162.50	\$ 768.00	\$ 1,523.43
B	10	1/24/2012	\$ 592.93	2" PVC	\$ 20.14	\$ 1,152.00	\$ 1,765.07
B	11	3/7/2012	\$ 592.93	4" PVC	\$ 29.50	\$ 1,152.00	\$ 1,774.43
B	12	9/10/2012	\$ 592.93	4" PVC	\$ 29.50	\$ 1,152.00	\$ 1,774.43
B	13	11/29/2012	\$ 592.93	6" CI	\$ 110.24	\$ 1,152.00	\$ 1,855.17
<b>9 Taps Same Side =</b>		<b>\$ 12,961.80 / 9 =</b>	<b>\$ 1,440.20 / Tap</b>				
<b>4 Taps Bores</b>		<b>=</b>	<b>\$ 7,169.10 / 4 =</b>	<b>\$ 1,792.28 / Tap</b>			
			<b>\$ 3,232.48 / 2 =</b>	<b>\$1,616.24 = Average Field Cost / Tap</b>			
\$ 50.00	Administrative cost / Tap						
\$ 30.00	Clerical cost / Tap						
<b>\$1,616.24</b>	<b>Average Field Cost / Tap</b>						
<b>\$1,696.24</b>	<b>Total Average Cost / Tap</b>						
							<b>Proposed Tap Fee - \$1,700.00</b>

*Sample: Workpapers (continued)*

<b>Enclosure 4</b>			
<b>Labor Cost Justification</b>			
<b>Tap Fee 2013- Labor Cost</b>		<b>Tri- Township Water Corp.</b>	
<b>Example Tap # 4 Same Side Of Main</b>			
Description	Unit Cost	Hours	Total
Excavator & Dump Truck	\$ 75.00	4	\$ 300.00
Skid Steer Loader & Service Truck	\$ 55.00	4	\$ 220.00
Two Man Crew	\$ 62.00	4	\$ 248.00
<b>Total Labor Cost Tap # 4</b>			<b>\$ 768.00</b>
<b>Example Tap # 11 Bore</b>			
Description	Unit Cost	Hours	Total
Excavator & Dump Truck	\$ 75.00	6	\$ 450.00
Skid Steer Loader & Service Truck	\$ 55.00	6	\$ 330.00
Two Man Crew	\$ 62.00	6	\$ 372.00
<b>Total Labor Cost Tap # 11</b>			<b>\$ 1,152.00</b>

*Sample: Workpapers (continued)*



**TRI-TOWNSHIP WATER CORPORATION**

24192 State Line Road  
Lawrenceburg, Indiana 47025  
Phone (812) 637-1039  
Fax (812) 637-4641

Tri- Township Water - Tap Fee 2013 - Employee Hourly Wages				
Employee	Hourly Rate	Retirement / Hour	Health Insurance / Hour	Total Cost / Hour
A	\$ 24.89	\$ 1.99	\$ 6.15	\$ 33.03
B	\$ 22.89	\$ 1.83	\$ 3.36	\$ 28.08

Tri-Township Water Corporation  
 24192 Stateline Road  
 Lawrenceburg, Indiana 47025

Schedule of Water Rates and Charges  
 (Pursuant to IURC Cause Number 40327, dated April 17, 1996)

(A) Metered User Block Schedule

For use of and service rendered by the water corporation, based on the use of water supplied by said water corporation.

<u>Monthly metered usage</u>		<u>Rate Per 1000 Gallons</u>
First	2,000 gallons	\$4.96
Next	5,000 gallons	3.31
Next	13,000 gallons	2.27
Next	15,000 gallons	1.76
All Over	35,000 gallons	1.49

(B) Metered User Minimum Schedule

Each User shall pay a minimum charge for which the user will be entitled to the quantity of water set out in the above schedule of rates.

<u>Meter Size</u>	<u>Gallons Allowed</u>	<u>Monthly Minimum</u>
5/8 or 3/4 inch meter	2,000	\$9.92
1 inch	3,224	13.97
1 1/4 inch	5,333	20.95
1 1/2 inch	7,030	26.54
2 inch	10,735	34.95
3 inch	19,994	55.97
4 inch	32,792	78.49

(C) Tap Charge \$1,100.00

Each user at the time he is connected with the water system shall pay a charge to cover the costs of: excavating and tapping the main; furnishing and installing service pipe from the main to the lot line; furnishing and installing corporation and stop cocks; and furnishing and installing meter cock (if outside), yoke, and meter. The charge for a 5/8 or 3/4 inch meter tap shall be \$1100.00. The charge for a tap larger than the 5/8 or 3/4 inch meter tap shall be the cost of labor, materials, power machinery, transportation, and overhead incurred for installing the tap, but shall not be less than the charge for a 5/8 or 3/4 inch meter tap.

APPROVED  
 PER CONFERENCE MINUTES

APR 12 2006

RECEIVED

FEB 23 2006

INDIANA UTILITY REGULATORY COMMISSION  
 GAS/WATER/SEWER DIVISION

Sample: Workpapers (continued)

Remit to: **Received by IURC 2/22/2013-BD**  
 FLORENCE WINWATER WORKS CO  
 110 RICHWOOD RD SUITE D  
 WALTON, KY 41094

Original Invoice  
 30-day Billing ID # 3137

Page	Date Printed	Invoice No.
1	1/04/13	097091 03

To Reorder Contact Us At  
 Phone No. : (859)371-7710  
 Fax No .. : (859) 371-7881 DB# 04

Sold To:  
 TRI-TOWNSHIP WATER CORP  
 24192 STATE LINE RD  
 LAWRENCEBURG, IN 47025-9738

Ship To:

Customer Number	Customer Purchase Order	Salesperson	Type Shipment	Ship VIA	Date Shipped
104-001689		016-WENDELL ELDRID	Stock	OT/WE	1/04/13

PLEASE MAIL TO FLORENCE WINWATER 110D RICHWOOD RD. WALTON, KY. 41094

Units Ordered	U/M	Item Description	Units Shipped	R/C	Price	Per	Discount	Extended	Tax
6	EA	VBHC72-1.2W-44-33-Q-NL BALL VLV BACKORDERED FROM INV#097091-02	6		160.7500		.00	964.50	N

\*Term: Monthly Service Charge May Be Applied To Past Due Accounts.  
 NET 30 DAYS

Tax Area ID:	Net Sales	964.50
IN - 150294310	Freight	.00
State Tax % .000	State Tax	.00
Local Tax % .000	Local Tax	.00
	Invoice Amount	964.50

When you provide a check as payment, you authorize us either to use information from your check to make a one-time electronic fund transfer from your account or to process the payment as a check transaction. For inquiries please call (859) 371-7710.  
 We agree that the sale of these products/services is subject to all of our standard terms and conditions of sale located at [www.winwholesale.com/tcsale](http://www.winwholesale.com/tcsale).

INV01CELP Laser Invoice

Sample: Workpapers (continued)

2/19/2013 15:22 (859) 371-7881 18126374641

- 2 pages

2/2

Received by IURC 2/22/2013-BD

30-day Filing ID # 3137



110 RICHWOOD RD SUITE D  
WALTON, KY 41094

PHONE (859) 371-7710  
FAX (859) 371-7881

Job Name		
misc material saddles and copr stop		

Quote No.	Date	Page
0003610	2/19/13	1
Expiration Date		3/21/13
Revised Date		2/19/13
Bid Due Date		2/19/13

Quoted To Customer
TRI-TOWNSHIP WATER CORP 24192 STATE LINE RD LAWRENCEBURG, IN 47025-9738
Phone (812) 637-1039 Fax (812) 637-4641

Quoted By
FRANK SWANGO jfswango@winwaterworks.com (859) 371-7710

Customer	Payment Terms	Quoted To	Salesperson	FOB
001689	NET 30 DAYS	TRI-TOWNSHIP WATER CORP	WENDELL ELDRIDGE	S

Line	Qty.	Description	Unit Price	UOM	Extended Price
1.0	1	FB1000-3 3/4 BALL CORP NO LEAD	47.3000	EA	47.30
2.0	1	202B-962-CC3 9X5/4 DS SADDLE	135.3300	EA	135.33
3.0	1	PC202-1740-3 16X1/4CC SADDLE	186.6700	EA	186.67
4.0	1	202B-1212 16X1/4 CC SADDLE	187.5000	EA	187.50

Tax Area Id	Net Sales	556.80
150294310	Freight	.00
	Tax	.00
	Quotation Total	556.80

Sample: Workpapers (continued)

Received by IURC 2/22/2013-BD

WINWATER WORKS CO  
 RICHWOOD RD SUITE D  
 LAWRENCEBURG, KY 41094

Original Invoice Filing ID # 3137

Page	Date Printed	Invoice No.
1	10/24/12	096738 00

To Reorder Contact Us At  
 Phone No. : (859) 371-7710  
 Fax No . . : (859) 371-7881 DB# 18

Bill To:

TRI-TOWNSHIP WATER CORP  
 24192 STATE LINE RD  
 LAWRENCEBURG, IN 47025-9738

Ship To:

Customer Number	Customer Purchase Order	Salesman	Type Shipment	Ship Via	Date Shipped
104-001689		-016-WENDELL ELDRID	Stock	OT	10/24/12

PLEASE MAIL TO FLORENCE WINWATER 110D RICHWOOD RD. WALTON, KY. 41094

Units Ordered	U/H	Item Description	Units Shipped	B/C	Price	Per	Discount	Extended	Tax
2	EA	S70-403.4" X3/4 AWWA SADDLE	2		29.5000		.00	59.00	N

Terms: Monthly Service Charge May Be Applied to Past Due Accounts.  
 NET 30 DAYS

Tax Area ID:	Net Sales	59.00
IN -150294310	Freight	.00
State Tax Z .000	State Tax	.00
Local Tax Z .000	Local Tax	.00
	Invoice Amount	59.00

When you provide a check as payment, you authorize us either to use information from your check to make a one-time electronic fund transfer from your account or to process the payment as a check transaction. For inquiries please call (859) 371-7710.  
 T&C: You agree that the sale of these products/services is subject to all of our standard terms and conditions of sale located at [www.winwholesale.com/tosale](http://www.winwholesale.com/tosale).

INVOICE# : Later Invoices

Sample: Workpapers (continued)

Received by IURC 2/22/2013-BD

FLORENCE WINWATER WORKS CO  
110 RICHWOOD RD SUITE D  
WALTON, KY 41094

Original Invoice  
50-day Filing ID # 3137

Page	Date Printed	Invoice No.
1	1/04/13	097621 00

To Reorder Contact Us At  
Phone No. : (859) 371-7710  
Fax No .. : (859) 371-7881 DB# 04

Sold to:

Ship to:

TRI-TOWNSHIP WATER CORP  
24192 STATE LINE RD  
LAWRENCEBURG, IN 47025-9738

Customer Number	Customer Purchase Order	Salesman	Type Shipment	Ship Via	Date Shipped
104-001689	JODY	016-WENDELL ELDRID	Stock	CPU	1/04/13

PLEASE MAIL TO FLORENCE WINWATER 110D RICHWOOD RD. WALTON, KY. 41094

Units Ordered	U/M	Item Description	Units Shipped	B/C	Price	Per	Discount	Extended	Tax
1	EA	202B-750-CC3 6X3/4 DS SADDLE	1		110.2400		.00	110.24	N

Terms: Monthly Service Charge May Be Applied To Past Due Accounts.  
NET 30 DAYS

Tax Area ID:	IN-150294310	Net Sales	110.24
State Tax %	.000	Freight	.00
Local Tax %	.000	State Tax	.00
		Local Tax	.00
		Invoice Amount	110.24

When you provide a check as payment, you authorize us either to use information from your check to make a one-time electronic fund transfer from your account or to process the payment as a check transaction. For inquiries please call (859) 371-7710.

T&C: You agree that the sale of these products/services is subject to all of our standard terms and conditions of sale located at [www.winwholesale.com/tc-sale](http://www.winwholesale.com/tc-sale).

INVOICE# : Laser Invoice

Sample: Workpapers (continued)

MAILED TO: **Received by IURC 2/22/2013-BD**

FLORENCE WINWATER WORKS CO  
110 RICHWOOD RD SUITE D  
WALTON, KY 41094

Original Invoice  
30-day Filing ID # 3137

Page	Date Printed	Invoice No.
1	4/27/12	094859 00

To Reorder Contact Us At  
Phone No. : (859)371-7710  
Fax No .. : (859) 371-7881 DB# 20

Sold To:

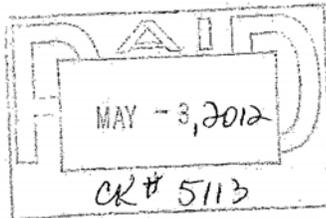
TRI-TOWNSHIP WATER CORP  
24192 STATELINE ROAD  
LAWRENCEBURG, IN 47025

Ship To:

Customer Number	Customer Purchase Order	Salesman	Type Shipment	Ship Via	Date Shipped
104-001689		017-JOHN BURCHAM	Stock	JB	4/27/12

PLEASE MAIL TO FLORENCE WINWATER 110D RICHWOOD RD. WALTON, KY. 41094

Units Ordered	U/M	Item Description	Units Shipped	B/C	Price	Per	Discount	Extended	Tax
1	EA	S70-203 2" X3/4 AWWA SADDLE	1		20.1400		.00	20.14	N
2	EA	S70-603 6" X3/4 AWWA SADDLE	2		41.4900		.00	82.98	N
*6	EA	VBHC72-12W-44-33Q SETTER TRI-TOWNSHIP	6		122.6400		.00	735.84	N
*12	EA	FB1000-3 3/4 BALL CORP	12		36.1100		.00	433.32	N
3	EA	S70-253 2-1/2X3/4 AWWA SADDLE	3		25.8900		.00	77.67	N



\* INVOICE ATTACHED FOR CURRENT PRICE

Terms: Monthly Service Charge May Be Applied To Past Due Accounts.  
NET 30 DAYS

GeoCode:	Net Sales	1,349.95
IN - 150290760	Freight	.00
State Tax % 7.000	State Tax	.00
Local Tax % .000	Local Tax	.00
	Invoice Amount	1,349.95

When you provide a check as payment, you authorize us either to use information from your check to make a one-time electronic fund transfer from your account or to process the payment as a check transaction. For inquiries please call (859) 371-7710.  
T&C: You agree that the sale of these products/services is subject to all of our standard terms and conditions of sale located at [www.winwholesale.com/tcsale](http://www.winwholesale.com/tcsale).

INVOICE# : Last Invoice

Sample: Workpapers (continued)

Received by IURC 2/22/2013-BD

30-day Filing ID # 3137  
**QUOTATION**



UTILITY SUPPLY COMPANY  
 6310 SOUTH HARDING STREET  
 INDIANAPOLIS, IN 46217  
 US  
 317-783-4196

Order Number	
1090891	
Order Date	Page
1/25/2013 10:23:47	1 of 1

Quote Expires On 2/4/2013

**Bill To:**  
 TRI TOWNSHIP WATER CORP  
 24192 STATE LINE ROAD  
 LAWRENCEBURG, IN 47025  
 US

**Ship To:**  
 TRI TOWNSHIP WATER CORP  
 24192 STATE LINE ROAD  
 LAWRENCEBURG, IN 47025  
 US

812-637-1039  
 Attn: KATHY BUSKEN  
 Customer ID: 100941

Requested By: JODY BLASDEL

<i>PO Number</i>	<i>Ship Route</i>	<i>Taker</i>
		SHENDRICK

<i>Quantities</i>					<i>Item ID</i> <i>Item Description</i>	<i>Pricing UOM</i> <i>Unit Size</i>	<i>Unit Price</i>	<i>Extended Price</i>
<i>Ordered</i>	<i>Allocated</i>	<i>Remaining</i>	<i>UOM</i> <i>Unit Size</i>	<i>Disp.</i>				
1.00	0.00	1.00	EA		18TTWC	EA	75.6806	75.68
				1.0	18 TRI-TWNSHIP SPEC LN TTWC LOGO METER PIT COVER	1.0		
1.00	0.00	1.00	EA		18X24H	EA	29.2027	29.20
				1.0	18X24 PLASTIC PIT	1.0		
1.00	0.00	1.00	EA		3/4C2001	EA	37.5111	37.51
				1.0	3/4 X 100 CTS 250PSI SERVICE TUBE #4710	1.0		
20.00	0.00	20.00	FT		1SCH40	FT	0.4769	9.54
				1.0	1 SCH40 PVC PIPE BE 20' - CASING	1.0		
1.00	0.00	1.00	EA		ED2B31RWG1SG59	EA	233.5714	233.57
				1.0	METER 5/8X3/4 R9001 PIT GAL. 6 FT ANTENNA INCLUDES 6 FT. ANTENNA	1.0		

Total Lines: 5

**SUB-TOTAL:** 385.50  
**TAX:** 0.00  
**AMOUNT TENDERED:** 0.00  
**AMOUNT DUE:** 385.50

**Sample: Workpapers (continued)**

Feb:19-2013 02:48 PM HD Supply Waterworks 513-942-1393

**Received by IURC 2/22/2013-BD**

**30-day Filing ID # 3137**<sup>1/2</sup>

Run Date 2/19/13 HD SUPPLY WATERWORKS, LTD.

TRI TOWNSHIP WATER CORP  
 24192 STATE LINE RD  
 LAWRENCEBURG IN 47025  
 Telephone: 812-637-1039  
 Fax: 812-637-4641

HDSWW - FAIRFIELD OH  
 3165 Production Dr  
 Fairfield OH 45014  
 Telephone: 513-942-1395  
 Fax: 513-942-1396

2/19/13 Bid ID: 3368627 WIRE

Page 1

Line	Quantity	Sell Per	Description	Net Price	Extended Price
10	1	RL	12GA BLUE KRIS-TECH .45 500'	96.20	96.20
<b>Subtotal:</b>					<b>96.20</b>
<b>Tax:</b>					<b>.00</b>
<b>Bid Total:</b>					<b>96.20</b>

*1924  
 or  
 \$ 20/ft*

Sample: Workpapers (continued)

Received by IURC 2/22/2013-BD

30-day Filing ID # 3137

HUBER TRUCKING, INC.  
 Sand-Stone-Gravel  
 Lime-Blacktop-Grain  
 Slinger Placement Service  
 28729 Bluecreek Road  
 SUNMAN, INDIANA 47041  
 (812) 623-3570

Date	Invoice #
11/1/2012	7326

Bill To  
 TRJ TOWNSHIP WATER  
 24192 STATELINE RD.  
 LAWRENCEBURG, IN. 47025

635-600

PAID  
 JAN 24, 2013  
 CK# 5691

Terms
Due on receipt

Qty	Item	Description	Rate	Amount
22.4	Ton	#11 limestone delivered to home stock pile	15.85	355.04
		<p>use 1 ton partap</p> <p>NOV - 6, 2012</p> <p>CK# 5511</p> <p>THIS CK NEVER CLEARED THE BANK - RE-ISSUED W/ CK# 5691 ON 1/24/13</p> <p>DID NOT PUT A STOP PAY ON ORIG CK # 5511</p>		
		<b>Subtotal</b>		\$355.04
		<b>Sales Tax (7.0%)</b>		\$0.00
		<b>Total</b>		\$355.04

SPOKE W/ SHIRLEY 1/24/13

Sample: Customer Notice – the customer classes that will be affected and how they will be affected should also be included.

RECEIVED

MAR 15 2013

INDIANA UTILITY  
REGULATORY COMMISSION

THURSDAY, MARCH 14, 2013

Municipal Building, 230 Walnut Street, Lawrenceburg, Indiana.

Said Board of Zoning Appeals will hold a public hearing on March 27, 2013 at 6:00 p.m., Council Chambers, 230 Walnut Street, Lawrenceburg, Indiana at which time all interested persons will be given the opportunity to be heard in reference to the matters set out in the petitions ( applications ).

33302

C-3-14-R-1t

Public Meeting Notice

In order to provide an opportunity to interested persons, including individuals with disabilities or organizations representing individuals with disabilities, to participate in the transition plan process by submitting comments in the development of the City of Greendale Americans with Disabilities Act Transition Plan (28 CFR 36.150(d)(1) & 49 CFR 27.11)(c)(2)), the City will host a public input work session to allow public review and comment of this work in progress. The meeting will be held on Wednesday, March 27, 2013 from 5:30 p.m. to 7:00 p.m. in the meeting room of the Greendale City Council Chambers, located at 510 Ridge Avenue, Greendale, IN 47025. The Public will continue to be able to make comments about the ADA Transition Plan at any time, as this plan is a continuous improvement project. Steve Lampert, City of Greendale, ADA Coordinator; (812) 537-2125; slampert@earthlink.net

33582

C-3-14-R-1t

C-3-19-JP-1t

Public Notice

The Tri-Township Water Corporation, pursuant to 170 IAC 1-6-1, will file with the Indiana Utility Regulatory Commission a 30 Day Filing to increase their Tap Fee. The increase would only affect those customers needing a new water tap for a new home or business or an existing location that currently is not served with city water. The current Tap Fee is \$1100 and we are proposing to increase this fee to \$1700. The reason for this increase is due to the increase in material cost and labor and equipment cost associated with the installation of a new water tap. We expect to file this by March 15, 2013. A Commission decision on this 30 Day Filing is anticipated no sooner than thirty days after the date of filing. Objection to this filing should be made to either the Indiana Utility Regulatory Commission or the Office of Utility Consumer Counselor.

The contact information for both of these offices is as follows:

Brenda A. Howe  
Secretary of the Commission  
Indiana Utility Regulatory Commission  
101 West Washington St., Suite 1500 E  
Indianapolis, In. 46204

Indiana Office of Utility Consumer Counselor  
115 West Washington St., Suite 1500 S  
Indianapolis, In. 46204

33281

C-3-14-R-1t

## 2 - Commission's Main Extension Rules

The Commission's main extension rules apply to not-for-profit and investor-owned utilities. The water utility rules are outlined in 170 IAC 6-1.5 while the sewer utility rules are listed under 170 IAC 8.5-4. Under the Commission's rules for main extensions, the applicant ("original depositor") requesting a main extension pays the cost or "total required deposit" for the requested extension less an "immediate revenue allowance." The immediate revenue allowance is defined as three (3) times the estimated annual revenue.

- If the immediate revenue allowance is greater than the cost of the main extension, the main extension is provided by the utility at no cost to the applicant.
- If the utility's future extension plans require a larger main than necessary to serve the applicant, the incremental cost for the larger main size and increased material and installation costs is paid by the utility and not included in the original depositor's total required deposit.
- If a utility charges separate fees to connect a customer such as a tap fee or system development charge, these charges are not to be included in the main extension cost.

The original depositor may receive a "refund" of some of his or her total deposit if a "prospective customer"<sup>1</sup> approaches the utility for service along the main extension within ten years from the date the main extension was completed. The prospective customer is required to pay a "subsequent connector fee" to the utility based on a per unit cost of the main extension less a revenue allowance called a subsequent connector revenue allowance. These fees should be determined and included in the original depositor's main extension agreement. To calculate the subsequent connector fee, the utility must determine the number of "lots" for which service could be requested on the original depositor's main extension and the "cost per lot." If the property along the main extension is platted, the number of lots platted along the main shall be used. For unplatted property, the number of lots is determined by dividing the total land frontage along the main extension by 100 feet.

The Commission's main extension rule provides two methods to determine the cost per lot. Under the first method, the cost of the main extension is divided by the total number of lots calculated pursuant to this rule. Under the second method, the cost of the main extension is

---

<sup>1</sup> A prospective customer means a person who is not an original depositor, but whose lot as platted or frontage directly abuts the main extension between its original beginning and its original end point.

divided proportionately on the basis of land frontage for all lots along the main extension. Below are two examples that illustrate how a utility would implement this rule using the two different “cost per lot” methods described above. The first example uses the first method to determine the cost per lot and assumes the property along both sides of the main is unplatted. The second example includes a mix of platted and unplatted property along both sides of the main and calculates the cost per lot based on a proportionate allocation of cost (the second method). Both examples assume an immediate revenue allowance of \$900 (\$25 average monthly residential customer bill \* 12 months \* 3 years.)

**Example 1**

The original depositor/applicant requests service, which requires a 6” main extension of 200’. The estimated cost for this main extension is \$10,000. The “total required deposit” paid by the original depositor is \$9,100 (see below):

Proposed Cost to Extend 6" Main 200'	\$ 10,000
Less: Immediate Revenue Allowance:	
Average Monthly bill for residential class: \$ 25	
Times: 36 months	36
Immediate Revenue Allowance	900
Cost to Original Depositor	<u>\$ 9,100</u>

Calculation of subsequent connector fee:

The cost per lot would be computed as follows:

Main Extension Cost - 6" main @ 200'	\$10,000
Divided By: 4 - 100' lots	4*
Cost Per Lot:	<u>\$ 2,500</u>

\*Both sides of the road are considered. The original depositor owns 1-100' lot.

A subsequent connector also benefits from a revenue allowance, called a subsequent connector revenue allowance. Thus, each subsequent connector would be required to pay a \$1,600 (\$2,500 cost per lot - \$900 subsequent connector revenue allowance) subsequent connector fee to the utility. The utility will forward the payment to the original depositor. In this illustration, the utility will forward three subsequent connector fees to the original depositor, if connected within a ten year period, or \$4,800 (\$1,600 x 3). The utility also pays the original depositor the revenue allowances for each of the three subsequent connectors or \$2,700. Note that the original depositor pays the same amount of \$1,600 if all three lots are subsequently connected (\$9,100 -

\$4,800 - \$2,700 = \$1,600). The first method is used in this example because the four lots along both sides of the main are of equal size.

**Example 2**

The original depositor/customer requests service, which requires a 6” main extension 500’. The cost estimate for this main extension is \$23,500. The “total required deposit” paid by the original depositor is \$22,600 (see below):

Proposed Cost to Extend 6" Main 500'	\$ 23,500
Less: Immediate Revenue Allowance:	
Average Monthly bill for residential class: \$ 25	
Times: 36 months	<u>36</u>
Immediate Revenue Allowance	<u>900</u>
Cost to Original Depositor	<u><u>\$ 22,600</u></u>

As part of the main extension agreement with the original depositor, a subsequent connector fee is determined. First, the number of “lots” available for subsequent connection must be determined. In this example, it is assumed that there are seven (7) 100’ sections of land in unplatted areas, which includes the original depositor’s 100’ lot, and four (4) 75’ platted lots within a 25 lot subdivision that will connect directly to the 6” main. Next, the “cost per lot” is computed as follows:

Proposed Cost for 6" Main 500'	\$ 23,500
Divided By: Total lot frontage along main in feet	<u>1,000</u>
Cost Per Foot:	<u><u>\$ 23.50</u></u>
 Cost per 75' platted lot: 75' @ \$23.50/foot	 <u><u>\$ 1,762.50</u></u>
 Cost per 100' unplatted lot: 100' @ \$23.50	 <u><u>\$ 2,350.00</u></u>

Each subsequent connector benefits from a revenue allowance, called a subsequent connector revenue allowance. Thus, each prospective customer’s subsequent connector fee is calculated as follows:

Cost per 75' platted lot:	
75' @ \$23.50/foot	\$1,762.50
Less: Subsequent connector revenue allowance	<u>900.00</u>
Subsequent Connector Fee	<u><u>\$ 862.50</u></u>
Cost per 100' unplatted lot:	
100' @ \$23.50	\$2,350.00
Less: Subsequent connector revenue allowance	<u>900.00</u>
Subsequent Connector Fee	<u><u>\$1,450.00</u></u>

In this example, the utility pays the original depositor, ten subsequent connector fees or \$12,150 ((\$862.50 \* 4 prospective customers on 75' platted lots) + (\$1,450 \* 6 prospective customers on 100' unplatted lots)) based on all property along the main extension connecting within ten years of installation. The utility will also pay the revenue allowances to the original depositor for each of the ten subsequent connectors or \$9,000. The second method is used in this example to divide proportionately the cost of the water main extension to both the original depositor and the subsequent connectors due to the different lot sizes along the main.

10 subsequent connector fees	\$ 12,150
10 subsequent connector revenue allow.	<u>9,000</u>
Sub-total	21,150
Divided By: Frontage of Main Per Foot for Subsequent Connectors	<u>900</u>
<b>Main Extension Cost Per Subsequent Connector per foot</b>	<u><u>\$ 23.50</u></u>
Total Cost of Main Extension:	\$ 23,500
Less: Cost reimbursed by the Utility:	<u>21,150</u>
Main Extension Cost to Original Depositor	\$ 2,350
Divided By: Frontage of Main for Original Depositor	100
<b>Main Extension Cost to Original Depositor per foot</b>	<u><u>\$ 23.50</u></u>

If the unplatted area develops in a manner different from the six 100' lots contemplated in the original depositor's main extension agreement such that some or all of the lots will not require service directly from that main extension, the customer is considered to have requested a lateral extension from the main extension to serve his or her land. In that case, the utility shall collect a subsequent connector's fee for each equivalent lot of the frontage land used to determine the main extension cost per lot. Thus, if a subsequent connector purchases land with 200' of frontage along the main, the property owner would pay two subsequent connector fees or \$2,900. However, the utility is required to pay two revenue allowances to that subsequent connector. It is also worth noting that the 21 platted lots in the subdivision that are not directly connected to the main are not considered in these calculations.

For more information regarding the Commission's water main extension rules go to the following web address:

<http://www.in.gov/legislative/iac/T01700/A00060.PDF>

and view Rule 1.5 Extension of Water Mains. For more information regarding the Commission's sewer main extension rules go to the following web address:

<http://www.in.gov/legislative/iac/T01700/A00085.PDF>

and view Rule 4 Extension of Sewer Mains or call the Commission's Water/Sewer Division at (317) 232-2750.

### 3 - Small Utility Rate Application Checklist

The small utility rate application was established to provide small utilities with an opportunity to increase rates and charges through a less costly regulatory procedure. Under the small utility rate application procedure, a utility completes standard forms that can be obtained through the Indiana Utility Regulatory Commission (Commission). These forms can be filed with the Commission without the need for an attorney or accountant. Utilities primarily providing retail service to fewer than 5,000 customers and do not extensively serve another utility qualify for this process.

If utility personnel have questions when completing the forms, the utility can contact the Indiana Office of Utility Consumer Counselor (OUCC) or the Commission.

A checklist of items needed to file a small utility rate application is provided below.

- Application Form*
  - A completed rate change application form. Forms can be obtained by calling the Commission at (317) 232-2750.
  - Be sure to include a complete proposed tariff
- Authorization (See example resolution, page 6)*
  - A copy of the authorization from the utility's governing body for the requested rate change. (i.e., rate ordinance or board resolution)
- Proposed Public Legal Notice (See example legal notice, page 3)*
  - A copy of the utility's proposed written notice for publication.
- Proof of Publication (See example publisher's affidavit, page 4)*
  - Proof of publication (i.e., publisher's affidavit) of the actual notice must be filed within fifteen (15) days after the utility's filing of its application with the Commission.
- Actual Copy of Customer Notice (See example customer notice, page 5)*

- An actual copy of the customer notice sent to each customer must be filed within fifteen (15) days after the filing of the utility's application with the Commission.
- *Verified Statement of Federal Indebtedness (Not-for-Profit Utility only – See examples on pages 7 and 8)*
  - A verified statement as to whether or not the small utility has outstanding indebtedness to the federal government. If utility has federal indebtedness, it must supply written consent to apply for a rate change from the federal agencies that are creditors.

*Hearings:* If a request for a formal public hearing is made, it shall be filed with the Commission within forty (40) calendar days of the initial filing of the utility's application. The Commission may conduct a formal public hearing or field hearing upon request from the Public – 10 individuals, firms, corporations or the OUCC. The Commission may require a formal hearing on its own motion. In the event of a formal hearing, the Utility may elect to designate its application to serve as its pre-filed evidence. However, the utility is not precluded from filing additional evidence.

For more information regarding the small utility rate application filing or to have a rate application sent to you call the Commission's Water/Sewer Division at (317) 232-2750, or for a complete set of the Commission's rules regarding small utility rate application filings go the following web address:

<http://www.in.gov/legislative/iac/T01700/A00140.PDF?>

**Example: Legal Notice 170 IAC 14-1-2(b)(1)**

**NOTICE OF PROPOSED INCREASE IN WATER RATES**  
**FOR CUSTOMERS OF THE**  
**MEGAGREAT WATER COMPANY**

Notice is hereby given that the Megagreat Town Council/Utility Board/etc. did on MONTH, DAY, YEAR, file an Application with the Indiana Utility Regulatory Commission to increase the water rates charged to customers of the Megagreat Water Company.

This application was filed pursuant to Ind. Code 8-1-2-61.5 without the necessary cost of a Utility Regulatory Commission hearing; however, a public hearing by the Utility Regulatory Commission may be held if any public or municipal corporation, ten (10) individuals, firms, corporations or associations, or ten (10) complainants of all or any of these classes affected by the proposed rate change requests a formal public hearing by filing a written, signed request with the Secretary of the Commission, Utility Regulatory Commission, 101 W. Washington Street, Suite 1500 East, Indianapolis, Indiana, 46204. Said request must be received by the Utility Regulatory Commission within forty (40) days after the date the application was filed with the Utility Regulatory Commission and declared complete. In addition, a public hearing may be held if the same is requested by the Utility Consumer Counselor.

The proposed increase in the water rate requested by the application is approximately xxx% and is proposed to be an “Across the Board” increase.

In the absence of a written request as provided herein, there likely will be no hearing conducted by the Utility Regulatory Commission on this application.

**MEGAGREAT TOWN COUNCIL/UTILITY BOARD**

\_\_\_\_\_  
**XXXXXX, PRESIDENT**

\_\_\_\_\_  
**XXXXXX, SECRETARY**

**Example: Proof of Publication 170 IAC 14-1-2(b)(1)**

**PUBLISHER'S CLAIM**

**LINE COUNT**

Display Matter (Must not exceed two actual lines, neither of which shall total more than four solid lines of type in which the body of the advertisement is set) -- number of equivalent lines..... \_\_\_\_\_  
 Head -- number of lines..... \_\_\_\_\_  
 Body -- number of lines..... 43  
 Tail -- number of lines..... \_\_\_\_\_  
 Total number of lines in notice..... 43

**COMPUTATION OF CHARGES**

43 lines, \_\_\_\_\_ columns wide equals \_\_\_\_\_ equivalent lines at .339 cents per line..... \$ 14.51  
 Additional charge for notices containing rule or tabular work (50 percent of above amount)..... \_\_\_\_\_  
 Charge for extra proofs of publication (\$1.00 for each proof in excess of two)..... \_\_\_\_\_  
 TOTAL AMOUNT OF CLAIM..... \$ 14.51

**DATA FOR COMPUTING COST**

Width of single column 10.5 ems  
 Number of insertions 1  
 Size of type 6 point

Pursuant to the provisions and penalties of Chapter 155, Acts 1953,

I hereby certify that the foregoing account is just and correct, that the amount claimed is legally due, after allowing credits, and that no part of the same has been paid.

*Nancy G. Nale*  
 Title: \_\_\_\_\_ President

**RECEIVED** Date: July 8, 1999

JUL 27 1999

INDIANA OFFICE OF UTILITY  
 CONSUMER COUNSELOR

**NOTICE OF PROPOSED INCREASE IN WATER RATES FOR CUSTOMERS OF THE PALMYRA WATER COMPANY**  
 Notice is hereby given that the Palmyra Town Council did on March 15, 1999, the application with the Indiana Utility Regulatory Commission to increase the water rates charged to customers of the Palmyra Water Company.

This application was filed pursuant to Ind. Code 8-1-2-41.5 without the regulatory cost of a Utility Regulatory Commission hearing; however a public hearing by the Utility Regulatory Commission will be held if any public or municipal corporation, ten (10) individuals, firm, corporations or associations or ten (10) complainants of all or any of these classes affected by the proposed rate change requests a formal public hearing by filing a written, signed request with the Secretary, Utility Regulatory Commission, 919 State Office Building, Indianapolis, Indiana 46204. Said request must be received by the Utility Regulatory Commission within forty (40) days after the date the application was filed with the Utility Regulatory Commission. In addition, a public hearing will be held if the same is requested by the Utility Consumer Counselor.

The proposed increase in the water rate requested by the application is approximately \_\_\_\_\_ per cent and is proposed to be an increase the Board increase.  
 In the absence of a written request as provided herein, there shall be no hearing conducted by the Utility Regulatory Commission on this application.

PALMYRA TOWN COUNCIL  
 Larry Embury, Pres.  
 Howard T. Jones  
 Paul Eversidge  
 DZ7c1

**RECEIVED**

JUL 19 1999

INDIANA OFFICE OF UTILITY  
 CONSUMER COUNSELOR

**PUBLISHER'S AFFIDAVIT**

State of Indiana )  
 ) ss:  
 Washington County )

Personally appeared before me, a notary public in and for said county and state, signed Nancy G. Nale \_\_\_\_\_, being duly sworn, says that \_\_\_\_\_ President \_\_\_\_\_ of the \_\_\_\_\_ newspaper of general circulation printed and published in the English language in \_\_\_\_\_ in state and county aforesaid, and that the printed matter hereto \_\_\_\_\_, which was duly published in said paper for 1 \_\_\_\_\_, the dates of publication being as follows:

July 8

*Nancy G. Nale*  
 Subscribed and sworn to before me this 8 day of July  
*John M. Parley*  
 Notary Public

My commission expires: 1-23-00

**Example: Customer Notice 170 IAC 14-1-2(b)(2)**

**WATER CUSTOMERS OF  
MEGAGREAT WATER COMPANY**

**In Re: Proposed Water Rate Increase**

Dear Water Customer:

The purpose of this letter is to notify you that the Megagreat Town Council/Utility Board did on MONTH, DAY, YEAR, file an application with the Indiana Utility Regulatory Commission to increase the water rate charged to customers of the Megagreat Water Company.

This application was filed pursuant to Ind. Code 8-1-2-61.5 without the necessary cost of a Utility Regulatory Commission hearing; however, a public hearing by the Utility Regulatory Commission may be held if any public or municipal corporation, ten (10) individuals, firms, corporations or associations, or ten (10) complainants of all or any of these classes affected by the proposed rate change requests a formal public hearing by filing a written, signed request with the Secretary of the Commission, Utility Regulatory Commission, 101 W. Washington Street, Suite 1500 East, Indianapolis, Indiana, 46204. Said request must be received by the Utility Regulatory Commission within forty (40) days after the date the application was filed with the Utility Regulatory Commission and declared complete. In addition, a public hearing may be held if the same is requested by the Utility Consumer Counselor.

The proposed increase in the water rate requested by the application is approximately xxxx% and is proposed to be an “Across the Board” increase.

In the absence of a written request as provided herein, there likely will be no hearing conducted by the Utility Regulatory Commission on this application.

**MEGAGREAT TOWN COUNCIL/UTILITY BOARD**

---

**XXXXXX, PRESIDENT**

---

**XXXXXX, SECRETARY**

**Example: Resolution 170 IAC 14-1-2(b)(4)**

**MEGAGREAT WATER, CORPORATION**

**RESOLUTION 99-1**

WHEREAS, the Megagreat Water Corporation was heretofore established by Order of the Indiana Utility Regulatory Commission, in Cause No. XXXXX; and

WHEREAS, the Corporation was organized for the purpose of providing water service including treatment and distribution for domestic use through mains, pipes, and conduits within the Megagreat Water area, located in South County, Indiana;

NOW THEREFORE, be it resolved that the Megagreat Water Corporation is hereby authorized to apply to the Indiana Utility Regulatory Commission for an increase in the District's rates to cover the cost of said sewer operations and maintenance. Be it further resolved that this increase shall be across the board.

Dated:           This \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

ATTEST:

\_\_\_\_\_  
Secretary

**REQUIRED FOR NOT-FOR-PROFIT UTILITIES ONLY 170 IAC 14-1-2-(c)(1)**  
**Example: Verified Statement of Federal Indebtedness**

**AFFIDAVIT OF UTILITY OFFICER/MANAGER**

Comes now Utility Officer/Director/Manager and being first duly sworn upon his oath, states as follows:

1. That I am an officer/manager/director of the Megagreat Water Corporation located at xxxx, Wander, IN xxxxxx.
2. That the Megagreat Water Corporation is a non-for-profit water utility.
3. That I am familiar with the financial affairs and condition of the Megagreat Water Corporation.
4. That the Megagreat Water Corporation currently has/does not have outstanding indebtedness to the United States Government.

Further, the affiant sayeth naught.

\_\_\_\_\_  
UTILITY OFFICER/MANAGER

The undersigned, being first and duly sworn upon oath says;

I am the affiant in the above entitled cause. I have read the foregoing Affidavit and the facts stated therein are true.

\_\_\_\_\_  
UTILITY OFFICER/MANAGER

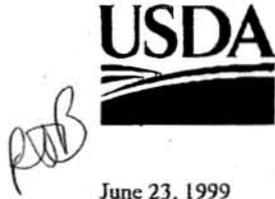
STATE OF INDIANA, COUNTY OF SOUTH, ss:

Before me, a Notary Public in and for said County and State, personally appeared XXXXXXXX, and executed the above and foregoing Affidavit.

Commission expires: \_\_\_\_\_

Resident of \_\_\_\_\_ County, Indiana

**REQUIRED FOR NOT-FOR-PROFIT UTILITIES ONLY 170 IAC 14-1-2-(c)(2)**  
**Example: Written Consent of Federal Government to Change Rates**



**Rural  
Development**

30 W. Indiana Avenue  
P.O. Box 191  
Bloomfield, Indiana  
47424

Phone 812/384-3517  
Fax 812/384-8131  
TDD 317/290-3343

June 23, 1999

Ms. Rita Baldwin  
Indiana Office of Utility Consumer Counselor  
Indiana Government Center North  
100 North Senate, Room N501  
Indianapolis, Indiana 46204

RE: Palmyra Water Utility

Dear Ms. Baldwin:

This office has reviewed information contained in the State Board of Accounts Audit Report filed 12-3-98 for the above reference utility. Based on this information it appears that a rate increase is necessary. The utility, based on the audit, appears to be exhibiting a net loss during the period from 1995-1997. Although data for 1998 has not been reviewed, a water supplier to the town has passed on a rate increase that logically calls for a general rate increase for the users of the Palmyra utility.

Please consider this letter to be Rural Development's written consent for the Palmyra Water Utility to request approval by the IURC of a general rate increase in user fees and charges without a public hearing.

If you need additional information, please let me know.

Sincerely,

Handwritten signature of Daniel E. Devault in black ink.

DANIEL E. DEVAULT  
Rural Development Specialist

DED/st

CC: Town Council  
Town of Palmyra

## 4 - Annual Report Checklist

The following checklist is used by the IURC's analysts when reviewing the utility's annual report filing. If this information is not complete, a letter will usually be sent to the utility requesting this information be completed or reconciled.

### GENERAL REVIEW

- All applicable information completed – No section or question should be blank. Insert “None” or “N/A” if a section or question does not apply

### EXECUTIVE SECTION

- General Information form (page E-1) is completed and emergency contract information provided
- Utility Profile section (page E-2) is up to date
- Officer and Director information is up to date (pages E-2 and E-3)
- Personnel Data is complete (page E-4)
- Contractual Services form is completed (page E-5)
- Certification page is signed and notarized (page E-7)

### FINANCIAL SECTION

- Comparative Balance sheet balances (“Total Assets and Other Debits” (page F-1(b) = “Total Equity Capital and Liabilities” (page F-2))
- On all reference pages, the account balances agree to each account balances shown on the balance sheet (pages F-1 and F-2) For example, for Account 101 – 106 “Utility Plant” on page F-1 of the balance sheet has a reference page of F-5. Thus, the “Total Utility Plant” amount shown on page F-5 should agree with the “Utility Plant” amount shown on page F-1. NOTE: Complete pages F-5 through F-21 before completing pages F-1 through F-4
- Statement of Retained Earnings form (page F-14 or F-15) – “Balance Transferred From Income” agrees with “Net Income” shown on the Comparative Operating Statement - (page F-3)
- Additions to Contributions in Aid of Construction (CIAC) are described on pages F-19 and F-20 or F-21

- For water utilities, the “Itemized Unit Costs” form (page F-21) is completed - make sure “Total number gallons of water pumped during year” agrees with the “Total Pumped from Sources. . .” shown on page W-6

### **OPERATION SECTION(S)**

- The Beginning and ending year number of customers are provided for each customer class (page W-1)
- Operating revenues for each customer class are provided and the “Total Water or Wastewater Operating Revenues” (page W-1 or S-1, depending on type of utility) agree with Account 400, “Operating Revenues” shown on the “Comparative Operating Statement” - (page F-3)
- The total for the current year, shown on the “Comparative Detail of Operation and Maintenance Expenses (page W-2(a) or S-2(a)) agrees with Account 401, “Operating Expenses” shown on the “Comparative Operating Statement” (page F-3)
- The total in the “Current Year” column for “Total Utility Plant in Service” shown on page W-3(b) or S-3(b) agrees with the total in Account 101, “Utility Plant in Service” shown on page F-5) NOTE: If prior fixed asset records have not been maintained, it doesn’t preclude you from beginning to maintain these records
- Plant additions and retirements by sub-account are provided on pages W-3(a) or S-3(a). Also, additional information regarding any asset addition or retirement exceeding \$10,000 in a single purchase should be provided on page W-3(c) or S-3(c)
- You are using the correct composite depreciation rate or if not using a composite depreciation rate, a depreciation study must be approved by the Commission (page W-4)
- Make sure Accumulated Depreciation is broken out by sub-account - (pages W-5 or S-5)
- For water utilities, the “Pumping and Purchased Water Statistics” (page W-6) information is completed by Month and all questions answered
- “Other System Information” (page W-8 or S-8) questions are answered completely
- For systems that serve fewer than 10,000 customers, page W-9 is answered completely
- For utilities that elect to participate in the Commission Alternative Regulatory Program, the Performance Measures are completed and reported accurately

For additional questions, call the IURC Water/Sewer Division at (317) 232-2750.

## 5 - System Development Charges (SDC)

SDCs are utility fees paid by property owners who connect their properties to the utility's system for the first time. These fees are primarily intended to recover a utility's cost to provide new customers with source of supply, treatment and storage facilities; SDCs can be more than \$1,400 for water connections, and \$3,000 for wastewater connections. The use of SDCs supports the notion that "growth should pay for growth," and reduces the likelihood that existing customers will pay for construction of new facilities.

Basically, there are two methods for calculating a SDC, the equity method and the incremental cost method. Depending on the utility's financial goals and objectives, either method may be appropriate. These objectives may include:

- New development pay its own way;
- to fund major system expansion;
- to generate sufficient cash to fund a portion of capital improvements;
- minimize debt; or
- to equitably recover capital costs from current and future customers.

More information can be found on this subject in Chapter 28 of the AWWA's M1 manual or you can contact the OUCC or IURC. Utilities regulated by the Commission need to have SDCs approved and listed on their tariff. The Commission's 30-Day Filing Process is *not* available to implement an SDC. However, the Commission supports the use as a means to finance certain capital projects resulting from customer growth.

## **6 - Indiana Finance Authority – State Revolving Fund**

The State Revolving Fund Loan Programs (SRF Loan Programs) mission is to provide eligible entities with the lowest interest rates possible on the financing of such projects while protecting public health and the environment. The SRF Loan Programs provide low-interest loans to Indiana communities for projects that improve wastewater and drinking water infrastructure and is administered by the Indiana Finance Authority (IFA). For wastewater loans, an entity can receive a reduction in interest rate for solving a non-point source problem or for incorporation of a green infrastructure component in a proposed project.

### **Who is Eligible**

- Incorporated cities, towns, counties, regional sewer/water districts, conservancy districts and water authorities are eligible for wastewater and drinking water SRF Loan Program financing.
- Private and non-profit facilities are also eligible only for Drinking Water SRF Loan Program financing.

### **Source of Funds**

- The State of Indiana applies to the Environmental Protection Agency (EPA) annually for capitalization grants to fund its SRF Loan Programs. To increase the availability of funds, the State leverages its EPA capitalization grant funds in the municipal bond market. These funds are combined with the EPA required State match and are then made available to Indiana communities in the form of low-interest-rate loans. For more information on the EPA's involvement in the SRF Loan Programs, visit the EPA's Web sites.

### **Examples of Types of Projects Eligible for Funding**

- Wastewater projects include:
  - Treatment plant improvements and upgrades;
  - Sewer line extensions to existing unsewered properties;
  - Combined sewer overflow corrections; and
  - Infiltration/inflow projects.

- Drinking Water projects include:
  - Source intake structures and wells;
  - Treatment plant facilities;
  - Water storage facilities; and
  - Transmission/distribution mains, including water line extensions to existing unserved properties with water quality issues.
  
- Non-point source projects include:
  - Wetland protection and restoration measures;
  - On-site sewage disposal systems;
  - Best Management Practices for agriculture and stormwater runoff;
  - Riparian Buffers and Conservation Easements; and
  - Wellhead and Source Water Protection measures.

### **Examples of Types of Projects are Not Eligible for Funding**

- Projects that are solely intended for economic development;
- Projects that are primarily for fire suppression; and
- Stormwater projects that have no water quality benefits.

### **Loan Terms**

- The SRF loan is a fixed rate, 20-year loan.
- Interest rates are reset quarterly and are at or below 90% of the average 20-year AAA-rated, general obligation bond Municipal Market Data. Rates are further discounted based on an applicant's median household income (from current census data) and local user rates.

### **More Information**

For more information about SRF program administration and the SRF Loan Programs, contact the IFA at (317) 232-8655 or go to the following website: <http://www.in.gov/ifa/srf/index.htm>

**Shelley Love**  
 Wastewater SRF Program Administrator  
 317-232-4396; [slove@ifa.in.gov](mailto:slove@ifa.in.gov)

**Sarah Hudson**  
 Drinking Water SRF Program Administrator  
 317-232-8663; [sahudson@ifa.in.gov](mailto:sahudson@ifa.in.gov)

## **7 - USDA Rural Development Loan/Grant Program**

USDA Rural Development Water and Environmental Programs (WEP) provides loans, grants and loan guarantees for drinking water, sanitary sewer, storm drainage facilities and solid waste in rural areas and cities and towns of fewer than 10,000. Public bodies and non-profit organizations may qualify for assistance. WEP also makes grants to nonprofit organizations to provide technical assistance and training to assist rural communities with their water, wastewater and solid waste problems.

### **Water and Waste Disposal Loans**

The purpose of the loans is to develop water and waste disposal (including solid waste disposal and storm drainage) systems in rural areas and towns with a population fewer than 10,000. The funds are available to public entities such as municipalities, counties, special-purpose districts and non-profit corporations. The Rural Utilities Service also guarantees water and waste disposal loans made by banks and other eligible lenders.

### **Loan Terms**

- Fixed rate loan with terms are up to 40 years. Interest rates are reset quarterly and may be obtained from any Rural Development office.

### **Water and Waste Disposal Grants**

The purpose of the grants is to reduce water and waste disposal costs to a reasonable level for rural users. In some cases, grants may be made for up to 75 percent of eligible project costs. The same types of applicants are eligible for grants as are for loans.

Other Grants for utilities are available in four general forms:

- Technical Assistance and Training Grants
- Solid Waste Management Grants
- Rural Water Circuit Rider Technical Assistance
- SEARCH Grants

The Technical Assistance and Training Grant Program is designed to:

1. Identify and evaluate solutions to water and waste disposal problems in rural areas.
2. Assist applicants in preparing applications for water and waste grants made at the State level offices.
3. Improve operation and maintenance of existing water and waste disposal facilities in rural areas.

The Solid Waste Management Grant Program is designed to 1) Reduce or eliminate pollution of water resources in rural areas and 2) Improve planning and management of solid waste sites in rural areas.

The Rural Water Circuit Rider Technical Assistance Program provides on-site technical assistance at no charge to rural water systems. Assistance with day-to-day operational, financial and managerial problems is available.

The SEARCH Grant Program provides grants for predevelopment planning for water and wastewater projects, including but not limited to, feasibility studies, design and technical assistance, in financially distressed rural areas with populations 2,500 or fewer. Maximum grant amount is \$30,000 with no matching funds required.

In 2011, USDA made \$26,103,400 in loans and \$8,914,000 in grants in Indiana.

Forms for all the programs discussed above are available on the USDA website:

[http://www.rurdev.usda.gov/Utilities\\_LP.html](http://www.rurdev.usda.gov/Utilities_LP.html)

## **8 - Community Development Block Grants - OCRA**

Through the Indiana Office of Community and Rural Affairs, Indiana requests federal funds to help rural communities with a variety of projects such as sewer and water systems, community centers, health and safety programs and many others.

There are a number of funding options for water/wastewater utilities under this program, which are listed below.

### **1. Community Focus Funds (CFF)**

CFF Grants are funded with federal Community Development Block Grant (CDBG) dollars from the U.S. Department of Housing and Urban Development (HUD). The goal of the CFF program is to encourage communities with eligible populations to focus on long-term community development. Eligibility for Community Focus Fund dollars is based on the following criteria:

- The area to be served has a substantial low and moderate income population (51% or greater) or is designated a slum or blighted area by local resolution.
- The project addresses the long-term planning and development efforts for the community.
- The funds granted will have a significant impact on the proposed project.
- The project is ready to proceed and will be completed within 18 months after being awarded.

Eligible CFF projects include, but are not limited to water projects, sewer projects or storm drainage projects. Grant awards can be up to \$600,000. Non-profit utilities can be a sub-recipient through an application filing from an incorporated county (excluding Lake Co. and most of Hamilton Co.), a small (non-entitlement) city or incorporated town. Approximately \$20 million in grant funds is available annually.

### **2. Planning Grant**

Planning Grants are funded with Federal Community Development Block Grant (CDBG) dollars from the U.S. Department of Housing and Urban Development (HUD). The goal of the program

is to encourage communities to plan for long-term community development. Community leaders can apply for projects relating to such issues as utility infrastructure, downtown revitalization and community facilities. To be competitive, projects must demonstrate:

- They meet a goal of the Federal Act;
- The particular planning initiative addresses established long-term community priorities;
- The funds granted will have a significant impact on the overall project;
- The community has a strong commitment to the project; and
- The project is ready to proceed upon the grant being awarded and will be completed within 14 months.

Planning grants can be awarded up to \$30,000 for utility infrastructure studies. An additional \$10,000 for a subsequent utility can also be awarded. Types of plans that can be funded include asset management plans, feasibility studies, preliminary engineering and master utility plans.

### **3. Community Economic Development Fund (CEDF)**

CEDF grants are funded with federal Community Development Block Grant (CDBG) dollars from the U.S. Department of Housing and Urban Development (HUD). These funds are used to spur economic development activities for the purpose of job creation or retention. Most job creation or retention activities are classified as eligible under one of several economic development-oriented categories. For example, if a business is looking to locate in an Indiana community but requires water service that would otherwise not be available, the community could apply for this funding to bring water service to the area the business proposes to locate.

### **4. Urgent Need**

Urgent need grants are funded with federal Community Development Block Grant (CDBG) dollars from the U.S. Department of Housing and Urban Development (HUD). An activity must be designed to alleviate existing conditions, certified by the local government and determined by the state to pose a serious and immediate threat to the health or welfare of the community. Urgent need grants will be considered if the threat is of recent origin or recently became urgent,

the state grant recipient is unable to finance the activity on its own, or if other sources of funding are not available to carry out the activity (<http://www.in.gov/ocra/2370.htm>).

### **Program Application**

All of the programs listed above have application forms that need to be completed. If you have any questions on the CDBG programs or would like an application, please contact your Community Liaison (a link to the district map is shown below):

<http://www.in.gov/ocra/2330.htm>

Northwest District  
Gerry White  
317-694-8372 (cell)  
317-233-3762 (office)  
[gewhite@ocra.in.gov](mailto:gewhite@ocra.in.gov)

Southwest District  
Ellen Harper  
317-439-8905 (cell)  
317-233-3762 (office)  
[eharper@ocra.in.gov](mailto:eharper@ocra.in.gov)

Southeast District  
Erica Speer  
317-690-9736 (cell)  
317-232-5296 (office)  
[espeer@ocra.in.gov](mailto:espeer@ocra.in.gov)

Northeast District  
Ryan Shrack  
317-607-4821 (cell)  
317-233-3762 (office)  
[kgillenwater@ocra.in.gov](mailto:kgillenwater@ocra.in.gov)

West Central District  
Jill Curry  
317-450-5078 (cell)  
317-232-8786 (office)  
[jrateike@ocra.in.gov](mailto:jrateike@ocra.in.gov)

South Central District  
Matthew Crouch  
317-750-7670 (cell)  
317-232-4949 (office)  
[mcrouch@ocra.in.gov](mailto:mcrouch@ocra.in.gov)

East Central District  
Susie Ripley  
317-416-3281 (cell)  
317-234-3418 (office)  
[mthissen@ocra.in.gov](mailto:mthissen@ocra.in.gov)

North Central District  
Steven Ray  
317-460-4234 (cell)  
317-232-8904 (office)  
[sray@ocra.in.gov](mailto:sray@ocra.in.gov)

## 9 - EPA Financing Alternatives Comparison Tool (FACT)

The Financing Alternatives Comparison Tool (FACT) is a financial analysis tool available FREE to municipalities, utilities, and environmental organizations that helps identify the most cost effective method to fund a wastewater or drinking water management project. This tool produces a comprehensive analysis that compares various financing options for these projects by incorporating financing, regulatory, and other important costs. FACT creates a variety of useful reports to effectively communicate the results of a comprehensive analysis. These include:

- ***A Summary Report*** – provides a side by side comparison of the various financing options using key financial figures. (e.g., Total Cost, Average Annual Cost, Net Present Value)
- ***A Detailed Cost Schedule*** – This schedule tracks disbursements, debt service payments, and other relevant costs throughout the life of a financing option.
- ***Annual Cost Graph*** – A line graph that tracks and compares annual costs of various financing options over time.
- ***Cumulative Cost Graph*** – A line graph that tracks and compares total costs of various financing options over time.

The key features of FACT include:

- Compares multiple financing options for a specific water infrastructure project.
- Setup financing options using multiple funding sources (e.g., a project that is partially funded by a grant with the remaining amount financed by a SRF loan).
- Use “Typical Values” for unknown financing and annual costs. This allows users to incorporate these important costs when the data may not be readily available.
- Provides line items labeled “Other”. This allows users to include customized costs that may occur with specific analyses.
- Contains a detailed help file, which includes a glossary that defines all assumptions and costs entered by the user.

FACT can greatly assist potential borrowers in identifying the most cost effective method to fund a water or sewer infrastructure project.

Installing and using FACT requires Microsoft Access 2000 or higher. To obtain a copy of this financing tool FREE, call Mark Mylin at (202) 564-0607 or by email at [mylin.mark@epa.gov](mailto:mylin.mark@epa.gov) or to learn more go to the following web address:

<http://www.epa.gov/owm/cwfinance/cwsrf/fact.htm>

## 10 - Self Evaluation Toolkit for Drinking Water Systems

**NOTE: This toolkit is very similar to EPA’s CUPSS toolkit. It was developed for utilities that maintain their books and records manually. However, the Drinking Water and Wastewater handbook for Local Officials contained in this toolkit may benefit elected, administrative and managerial officials.**

This toolkit called “Staying Ahead of the Curve” was developed by the Maryland Center for Environmental Training, with funding from the Environmental Protection Agency (EPA) to help managers and operators of local water utilities accomplish three major objectives:

- Obtain an accurate measurement of the technical managerial, and financial strength of the drinking water system;
- Develop capital and operation and maintenance planning strategies, and parallel budget making expertise;
- Incorporate into a daily routine a proactive approach to complying with existing and future regulatory requirements imposed by the Safe Drinking Water Act and other state laws and regulations.

Staying Ahead of the Curve, which contains a series of questionnaires to complete, consists of four sections. In Part I - General System Information, utilities must complete worksheets describing their general system such as current population, projected population, number and type of customers, and production broken down by class of customers. Part I also requests information on compliance history.

In Part II - Operation and Maintenance, utilities must complete worksheets on the details of the groundwater and surface water sources including capacity of wells, water quality, water quantity, treatment systems, pumps and pumping equipment, and corrective and emergency maintenance. Utilities must also complete worksheets on storage facilities and the distribution system, including piping, valves, pumps and pumping equipment, and meters.

In Part III - Management and Administration, utilities must complete worksheets on system sampling and testing, preventative maintenance management, safety, emergency planning, cross-connection control program, conservation programs, organization and staffing, long-term planning, public relations, and recordkeeping.

Finally, in Part IV - Financial Management, utilities must complete worksheets on the utilities basic finances, budget analysis, rate setting, and money management.

Along with the paper worksheets, the booklet includes a videotape and diskette.

The toolkit also provides “The Drinking Water and Wastewater Handbook for Local Officials” (Handbook), which has been designed to help elected, administrative, and managerial officials understand the various legal and technical requirements for the treatment, storage, and discharge of water and wastewater.

The Handbook contains eight major chapters covering the regulatory setting, legal responsibilities, operations, maintenance, personnel management, procurement of professional services, public relations, and financial management and business planning.

The Handbook also contains an extensive bibliography, contacts and resources (EPA and state resources), a sample monthly reporting form, and a glossary.

For a free copy of the toolkit or for more information contact the Maryland Center for Environmental Training at 301-934-7500 or go to the following web address:

<http://www.mcet.org/Resources/publications.html>

## 11 - Check-Up Program for Small Systems (CUPSS)

CUPSS is a free, easy-to-use, asset management tool for small drinking water and wastewater utilities. CUPSS provides a simple, comprehensive approach based on EPA's successful Simple Tools for Effective Performance (STEP) Guide series. Use CUPSS to help you develop:

- A record of your assets
- A schedule of required tasks
- An understanding of your financial situation
- A tailored asset management plan

CUPSS was developed in response to a clear need from communities and trainers to consolidate and package asset management materials in an easy-to-use, clear and update-to-date fashion. EPA's Office of Groundwater and Drinking Water (OGWDW) developed CUPSS with the help of a workgroup that included representatives from state agencies, technical assistance organizations, EPA Regional offices, and small wastewater and drinking water utilities. With this collaborative approach, EPA was able to develop a comprehensive computer software application that provides all the tools required to implement an asset management program and develop effective asset management plans.

### **How is CUPSS structured?**

CUPSS leads users through a series of modules to collect information on a utility's assets, operation and maintenance activities, and financial status to produce a prioritized asset inventory, a set of financial reports and an asset management plan. These modules include the following:

- **Set up** - The first step in the CUPSS setup process is to identify a project team. CUPSS contains a team assembly wizard that allows users to create team members, define roles and enter contact information. Users have the ability to establish or modify their team at any time but are encouraged to set up a team the first time they run CUPSS. CUPSS allows users to export the team roster and associated data into a Microsoft Excel file.
- **CUPSS Training** - This module has been developed to help the user understand CUPSS and the asset management process through clear, concise instructional materials. In this

section, the user finds a real-life introductory training video. The help section includes a keyword search and has a glossary section in addition to example forms and reports.

- My Inventory - This module allows users to identify and characterize their water system's assets. Users can modify a pre-populated set of assets (based on the user's system schematic, another feature of the CUPSS application) or add new assets, which helps prioritize maintenance activities and better manage revenue for repair and replacement of assets.
- My O&M (Operations and Maintenance) - This module allows users to create and track current, future and past operation and maintenance activities. The user is able to add tasks to the schedule and mark scheduled items as “completed.” This module then records the status and history of each task, alerts users if the task status is past due or critically past due, or alerts the user when to reassess the asset condition if maintenance is not performed as scheduled.
  - ✓ The EPA recommends certain tasks as part of a good preventive maintenance program. These tasks can be found in the [Preventive Maintenance Card File for Small Public Water Systems Using Ground Water](#) document.
- My Finances - This module helps users determine the full costs of doing business and calculate how much is needed for full recovery. This knowledge gives users the ability to discuss their needs within the context of a community budget. The user can provide the current year's budget (at a minimum), what was actually spent (financial statement) from the previous year, and calculate the annual costs of asset rehabilitation and replacement.
- My Check Up - CUPSS generates two customizable reports: “My Asset Check Up” and “My Financial Check Up.” The user can enter information to create targeted reports that will help them manage assets and plan for the future.
- MY CUPSS Plan - This module assembles, using a predefined template, an asset management plan that has been pre-populated with the information and calculations entered by the user. CUPSS allows the user to export the developed plan as a Word document for modification and review.

**CUPSS is:**

**Free:** You can download CUPSS from the website shown below or you can request a copy of the application on CD.

**A desktop application:** CUPSS does not require an Internet connection to function. This allows for greater flexibility in how the program is used and helps keep your records secure.

**Fully supported:** EPA has developed a [full suite of support documentation](#) including the following:

- Getting Started with CUPSS workbook
- CUPSS User's Guide
- Training material
- Promotional material

**What CUPSS helps you achieve:**

- Make more informed decisions
- Save time by planning ahead
- Back up budget talks with solid facts
- Improve customer service
- Prepare an asset management plan in seven steps

For more information contact Lynn Pace, Senior Environmental Manager/Capacity Development, IDEM's Office of Water Quality at (317) 234-7432 or visit the following website:

<http://www.epa.gov/cupss/index.html>

## 12 - EPA Asset Mgmt.: A Handbook for Small Water Systems

The EPA Asset Management: A Handbook for Small Water Systems is a free resource that will help a utility by providing information about:

- 1) How asset management can help improve a system's financial health and ability to provide safe drinking water.
- 2) How asset management fits into the development of an overall plan for a system's future (i.e., strategic planning).
- 3) How to complete a five-step asset management process including:
  - i. Conducting a thorough asset inventory.
  - ii. Prioritizing the rehabilitation and replacement of assets.
  - iii. Developing an annual estimate of needed reserves and an annual budget.
  - iv. Implementing the asset management plan.
  - v. Reviewing and revising the asset management plan.

Asset management is a planning process that ensures a utility gets the most value from each of the assets and have the financial resources to rehabilitate and replace them when necessary. Asset management also includes developing a plan to reduce costs while increasing the efficiency and the reliability of a system's assets. Successful asset management depends on knowing about a system's assets and regularly communicating with management and customers about a system's future needs.

Applying the practices recommended in the EPA Asset Management Handbook will help a utility improve the management of its system by increasing knowledge of its system, which will allow a utility to make better financial decisions. This is useful information when considering options to address various system challenges such as:

- Meeting regulatory requirements or upgrading system security.
- Reducing system "down-time" and the number of emergency repairs.
- Prioritizing rehabilitation and replacement needs and providing time to research cost-effective alternatives.

- Showing investors and the public that a utility is using their money effectively and efficiently, which may make them more likely to increase investment or tolerate rate increases.
- Giving a utility greater access to financial assistance. Some funding sources give applicants extra credit (higher priority ratings) for having an asset management plan or a capital improvement plan.

The EPA Asset Management Handbook provides numerous worksheets to give utilities practice in understanding its assets.

Copies of this guide can be downloaded for free at the website below or by calling the Safe Drinking Water Hotline at 1-800-426-4791 and request document number EPA 816-R-03016.

<http://www.epa.gov/ogwdw/smallsystems/managementhelp.html>

## 13 - AWWA Water Audit Software v4.2

In 2010, the AWWA Water Loss Control Committee released *Version 4.2* of its own Water Audit Software, available *free* to all users.

The Water Audit Software package includes ten worksheets in a spreadsheet file. The first worksheet provides instructions on the use of the software. The majority of data is entered on a reporting worksheet and prompts the user to enter standard water supply information such as the volume of water supplied, customer consumption, and quantities of losses.

Knowing that many water utilities do not typically tabulate all of this data, the software allows the user to enter either known (measured) or estimated (quantities that must be approximated) values. The software then calculates a variety of performance indicators which are useful in making performance comparisons among water utilities.

Before you begin, here is more information you should know:

- Need Microsoft Excel to download
- Must accept “Terms of Use Agreement” to download program
- A spreadsheet of definitions is provided
- The “Reporting Worksheet” provides a help function at each data input location.
  - ✓ Authorized Consumption Section’s terms are important to understand – should review Definitions to determine what to include
  - ✓ Must specify whether data is measured or estimated
- Information needed to complete the spreadsheets is as follows:
  - ✓ Volume of water supplied (pumped and/or purchased)
  - ✓ Customer consumption (Water Sold)
  - ✓ Known or estimated quantities of losses
  - ✓ Length of Main on system
  - ✓ Average pressure on system
  - ✓ Total Annual Cost of Operating Water System (Revenue Requirement)
  - ✓ Per unit retail cost
  - ✓ Annual Variable Production Cost

- Software calculates a variety of performance indicators, including an Infrastructure Leakage Index, which is a performance indicator for benchmarking the performance of utilities in operational management of real losses.
- Software computes annual costs of apparent and real losses

To download this free software, go to the following web address:

<http://www.awwa.org/Resources/Content.cfm?ItemNumber=590>

## 14 - Only Tap Water Delivers - AWWA

This service is free, but only available to AWWA utility level members. The Only Tap Water Delivers is a media campaign to assist utilities and public officials communicate the value of tap water service and more importantly, the need to reinvest in water infrastructure to consumers and other stakeholders.

This campaign is designed to:

- Encourage community investment in water service and resources;
- Help utilities communicate with consumers and decision-makers about the value of water service;
- Encourage public officials to speak about the importance of investing in water service and resources; and
- Elevate the value of water service in the minds of consumers.

**Campaign Materials** include the following:

- Consumer handouts, bill stuffers and fun fact sheets
- Print ads for placement in local publications (in English and Spanish)
- Radio public service announcement (in English and Spanish)
- Children activities
- Web banner
- Campaign speech outline
- PowerPoint presentation
- A five-minute video
- Editorial board briefing guide
- Campaign talking points
- Campaign logos for Web or additional print items

Many water utility customers believe that their water should be free, but don't realize the actual cost to serve because it was the utility's customers before them that paid for the infrastructure that customers enjoy today. Thus, raising customer awareness of the need to reinvest in what is essentially a huge public trust is important to proper asset management of the utility. If you are

not a member and would like to join to have access to these materials, or you are an AWWA utility member who did not receive the materials, contact the numbers below.

Greg Kail at <mailto:gkail@awwa.org> or 303-734-3410; or

Deirdre Mueller at <mailto:dmueller@awwa.org> or 303-347-6140.

For more information regarding this program visit the following web address below:

<http://www.awwa.org/resources-tools/public-affairs/communications-tools/only-tap-water-delivers.aspx>

## **15 - Training & Technical Assistance – Alliance of Indiana Rural Water**

The Alliance is a nonprofit association with hundreds of systems as members and hires only experienced water and wastewater professionals, averaging more than 20 years in the industry. Member systems have convenient access to these industry experts. Training and on-site work is supported by Federal contracts and grants that promote safe water for Indiana communities.

The Alliance staff provides training and onsite technical assistance on Safe Drinking Water Act compliance issues, public health protection (as it relates to drinking water), and managerial, financial and operational issues related to water and wastewater systems in Indiana that are under 10,000 in population.

The Alliance provides water and wastewater utilities with four different assistance programs:

*Training and Technical Assistance* – Provides water operators, managers, and board members with formal classroom instruction on compliance, operational, financial and managerial issues and with follow-up on-site technical assistance. Alliance conducts over 40 one-day water training sessions a year in various locations throughout Indiana. These sessions are all approved for continuing education units through IDEM for license renewal needs. Board training sessions are also available.

*RD Water Circuit Rider* – This program provides free on-site technical assistance to water systems through the Circuit Rider Program funded by the U.S. Department of Agriculture’s Rural Utilities Service. The Circuit Rider Program provides hands-on assistance to water systems through leak detection assistance, pipe and valve location as well operational matters such as water treatment, testing and emergency management. Assistance with various reports and information regarding water rates, loan and grant applications and other managerial issues is also available under this program.

*RUS Wastewater Technical Assistance* – This program provides free on-site technical assistance and training to small, rural and municipal wastewater systems across Indiana. Funded by Rural Utilities Service, Alliance’s goals are to promote proper wastewater treatment, to increase the operational knowledge of system personnel, to increase the management skills and knowledge of board members and system personnel, to increase the professionalism of wastewater and system personnel, and to promote environmental stewardship across the state of Indiana. Alliance conducts over 30 wastewater training sessions a year in various locations throughout Indiana that are IDEM approved for continuing education units (CEU's) and a wastewater license exam review class twice a year.

*FSA Source Water Program* – A joint project by USDA’s Farm Service Agency (FSA) and the Alliance of Indiana Rural Water designed to help prevent source water pollution through grassroots voluntary practices installed by producers at local levels. The goal of the program is to create local teams to collaborate in the development of Rural Source Water Protection plans that promote clean ground water.

Alliance offers the following training and technical assistance free to its members:

- Leak Locates / Water Audits
- Line Locates
- Lab Assistance / Plant Troubleshooting
- Emergency Response Plans & Vulnerability Assessments
- Consumer Confidence Reports
- Source Water Protection Plans
- Board Training
- Industry News
- Legislative Support
- Scholarship Program
- Fleet Vehicle Discount Purchase Plan

Services also offered for an additional fee include the following:

- Short Term Operator or Managerial Contracts
- Safety Program / Training
- GPS Locating
- Standard Operating Procedures
- Preventative Maintenance Programs

Onsite Continuing Education Training For more information about this association, please visit the web address below or call Connie Stevens, Executive Director at (317) 789-4200.

<http://www.inh2o.org/>

## 16 – Environmental Infrastructure Working Group (EIWG)

The Environmental Infrastructure Working Group Task Force is comprised of representatives from various state and federal agencies that meet with communities to discuss various options available for water and wastewater infrastructure projects. The group has also reviewed storm water and economic development project funding options. Current participants include the Indiana Office of Community and Rural Affairs, the Indiana Finance Authority, the U.S. Department of Commerce, the U.S. Department of Agriculture, the U.S. Army Corps of Engineers, the Alliance of Indiana Rural Water, the Indiana Rural Water Association and the Indiana Rural Community Assistance Program.

*How to meet with EIWG:* Communities served by municipalities and small not-for-profit utilities can request a meeting with EIWG by submitting a two-page “In-Take” document found on IRDC’s website. A meeting will then be scheduled between EIWG and the community. Project meetings allow communities to collectively meet with agency representatives to evaluate the community’s situation and to identify funding and technical assistance options. The project meeting and in-take document process allow communities the opportunity to explore all assistance options at one meeting. It also provides for early coordination of multiple funding sources.

For more information, please contact Connie Stevens at (317) 789-4200 or visit the Alliance of Indiana Rural Water’s website:

[http://www.inh2o.org/?page\\_id=4936php](http://www.inh2o.org/?page_id=4936php)

## **17 - Indiana Rural Community Assistance Program**

Since 1981, the Indiana Rural Community Assistance Program (RCAP) has provided technical assistance on water, wastewater and solid waste issues to rural communities across the state. While RCAP is restricted to working with communities with a population under 10,000, a typical RCAP community has a population under 1,000. Because the organization is funded entirely with grant money, RCAP is able to provide its services at no cost to communities.

Nationwide funding for the Indiana program comes from the U.S. Department of Agriculture Rural Utility Service, the U.S. Department of Health and Human Services Office of Community Services and the Environmental Protection Agency Safe Drinking Water program. In addition, RCAP is funded by the Indiana Department of Environmental Management through the 104 (b)(3) and drinking water programs.

RCAP Technical Assistance Providers (TAPs) work with residents and local leaders in each community to identify a scope of services that will meet the community's needs. In keeping with the mission of our national organization, RCAP has three major objectives in its communities. These objectives are:

- To ensure that rural residents have access to clean, safe drinking water.
- To increase access to safe, cost effective sewage treatment for rural residents.
- To insure that rural residents are able to dispose of their solid waste in a sanitary and affordable manner.

### **PROGRAM SERVICES**

RCAP's goal is to facilitate the lengthy and often complicated process involved in implementing community water, wastewater and solid waste-related improvements. All services are provided at NO COST to the community. Listed below are examples of services RCAP can provide:

#### **Planning**

- Identify community problems by speaking with community leaders, state agencies and local organizations.

- Organize community meetings to gather information and assess resident interested in finding solutions.
- Educate residents about technology, financing options and other relevant topics.
- Create community surveys to provide information to decision makers.
- Analyze results and report findings to community organizations and residents.
- Conduct and/or coordinate income surveys.
- Assess available funding resources and help prepare application materials
- Assist in procuring engineering and professional services.
- Work with the selected consultants to complete studies, grant applications and other materials.
- Work with the community to assess the work of engineers, grant administrators, rate consultants and other professionals to assure it meets community needs.
- Recruit volunteer committees to oversee and assist with projects.
- Assist with environmental reviews and other requirements.

#### **Implementation and Construction:**

- Arrange for all necessary funding for the project. Assure that all requirements are being met throughout design and construction.
- Assist in the formation of entities necessary to oversee and operate new systems, including sewer districts and water corporations.
- Coordinate with funding agencies, regulators, consultants and other involved organizations.
- Facilitate public involvement and education.
- Assist existing utilities with management and finances.
- Arrange for technical assistance with operations where necessary.
- Assist with rate studies and other evaluations.

## **Operation and Maintenance:**

- Work with staff to evaluate newly built or existing systems for proper management.
- Evaluate budgets, rate structures and other information to determine the financial condition of the utility.
- Assist existing utilities with management and finances; arrange for technical assistance with operations where necessary.
- Assist utilities in complying with regulatory requirements and solving system problems.
- Work with utilities to complete and implement long-term plans.

For more information about RCAP, please call 1-800-382-9895 or visit following web address:

<http://www.in-rcap.org>

Or, if you would like to check out the publications RCAP offers, including but not limited to, The Big Guide for Small Systems: A Resource for Board Members, Getting Your Project to Flow Smoothly: A Guide to Developing Water and Wastewater Infrastructure and The Basics of Financial Management for Small-community Utilities, visit the following web address:

<http://www.rcap.org/commpubs>

## 18 - EPA Drinking Water Academy

The EPA's Drinking Water Academy ("Academy") provides information and online training to ensure that public officials, water professionals and involved citizens have the skills and knowledge necessary to protect our drinking water supply. This website also has an "Ask an Expert" feature that allows you access to EPA staff to answer questions regarding the materials provided in the Academy.

Downloadable PDF and PowerPoint training files include the following:

- National Drinking Water Rule
- Public Water System Supervision ("PWSS") Program - Learn about water systems, the PWSS Program, the roles of PWSS Program participants, regulatory development and the National Primary Drinking Water Regulations.
- Public Water System Operation
- Source Water Protection Program - An in depth survey of EPA's Source Water Protection programs and their legal basis.
- Underground Injection Control ("UIC") Program - An intro to injection wells, the framework of the UIC program, relevant geology and the challenges facing today's UIC program.

This website also offers [Safe Drinking Water Act 101](#) an interactive, behind-the-scenes, approach to understanding the regulations, programs and people that protect your drinking water.

Additional training available includes the following:

- [American Government Roles \(PDF\)](#) – A comprehensive explanation of EPA's function within the federal government which highlights the Safe Drinking Water Act and the Clean Water Act.
- [Regulating Microbial Contaminants \(PDF\)](#) – An overview of microbial contaminants, the health risks they pose, treatment techniques, the SDWA, and 6 year review.
- [From Risk to Rule \(PDF\)](#) – How EPA develops risk-based drinking water regulations.

- [Risk Communication under the Safe Drinking Water Act \(PDF\)](#) – Water systems must inform the public of any potential health risk

The website link to the Academy is provided below:

<http://water.epa.gov/learn/training/dwatrainng/index.cfm>

Disclaimer: The content of this toolkit is provided as a public service by the Indiana Utility Regulatory Commission (IURC or Commission) for informational purposes only. The IURC is not responsible for the views, interpretations, or recommendations made in any program that was developed by a source other than the Commission, including by Commission staff. The IURC does not endorse any particular product or service discussed herein. Distribution of the information does not constitute acceptance by the IURC. Every possible effort is made to keep the content of this toolkit accurate and current, but the user assumes the risk of verifying any materials used or relied on. Nothing contained in this toolkit should be interpreted as legal advice.