ENGINEERING REPORT (ER) AND ENVIRONMENTAL INFORMATION DOCUMENT (EID)
SUBMITTAL CHECKLIST
FACILITIES EVALUATION UNIT
CONSTRUCTION GRANTS AND LOANS SECTION
Updated on: July 16, 2008

Notes:
This checklist *must be completed if* the project is being funded through the Construction Grants and Loans Section (CG&L). This checklist corresponds to guidance for both the Engineering Report (ER) and the preparation of the Environmental Information Document (EID).

This checklist must be completed and submitted along with the PER/EID for a submittal to be considered complete. *Any submittals that do not have this checklist may be deemed as incomplete and returned.*

Part A: General

Section 1: Contact Information:

Owner Name:	_____	Engineer Firm of Record Name:	_____
	_____	Engineer Contact Name:	_____
Address:	_____	Address:	_____
	_____		_____
Telephone No.:	_____	Telephone No.:	_____
E-mail Address:	_____	E-Mail Address:	_____

Section 2: Project Information

Please provide the following information regarding the project:

Brief Project Description (Unit processes, expansion, etc.):

Capacity:
Current: _____
Proposed: _____

Is this report in response to a Special Order of Consent? □ Yes □ No

Type of Submittal: □ Initial □ Revision If Revision, date initial ER/EID submitted: _____

Funding Information: Estimated Project Cost:_____ Requested Funding Amount: _____

Funding Sources: □ SRF[a] □ STAG[b] □ SRL □ SRG □ Other: _____

Other Funding Sources: □ Local Funds □ Bonds □ Bank Loans □ Other: _____

EID Type: □ DMCA[c,d] (SRF only) □ CE[e] (STAG only) □ EA (SRF or STAG) □ EIS

Number of Copies Submitted: □ 6 copies (DMCA and CE) □ 19 copies (EA and EIS)
□ Other: _____ (for Revisions only)

Does the report have the signature of the engineer with a PE registered in North Carolina? □ Yes □ No

[a]State Revolving Fund
[b]State and Tribal Assistance Grant
[c]Determination of Minor Construction Activity
[d]For DMCAs, only Part C, Section 1 of the EID checklist needs to be completed.
[e]Categorical Exclusion

Part B: Engineering Report (ER)[f]

Section 1. Front Matter:

Check (✓) to show that the following sections are included in the ER:

□ Table of Contents	□ Executive Summary	□ Table of Contents
□ Current Situation	□ Future Situation	□ List of Tables
□ Alternatives Analysis	□ Present Worth Analysis	□ List of Figures
□ User Charges and Financial Capability	□ Public Participation	□ List of Appendices
□ Environmental Assessment	□ Appendices	

Please check (✓) to show that each item is included in the report and proivde the page number and any remarks in the appropriate blanks. The checklist for the ER follows the same format and sequence as the Guidance for Submittal of Engineering Reports.

Section 2: Summary, Conclusion and Recommendations

	Present	N/A	Page No.	Remarks
Summary of Problem or Need	□	□	_____	_____
Summary of Solution	□	□	_____	_____
Summary of Any Technical Issues	□	□	_____	_____
Summary of Any Environmental Issues	□	□	_____	_____

Section 3: Current Situation

	Present	N/A	Page No.	Remarks
Identification of length and/or inch-miles of gravity sewers/interceptors	□	□	_____	_____
Identification of age and condition of sewers, pump stations, and other important appurtenances	□	□	_____	_____
General history of overflows and bypasses	□	□	_____	_____
Identification of unsewered areas and any related public health or WQ problems	□	□	_____	_____
Size and type of each unit within existing treatment processes (List units and sizes in the table below.)	□	□	_____	_____

Unit Type	Unit Size	Unit Type	Unit Size
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

[f]Please see Part C regarding what is required of EIDs.
[g]Not Applicable.

Section 3: Current Situation (cntd.)

	Present	N/A	Page No.	Remarks
Identification of unit process capabilities and deficiencies for liquid and sludge trains	□	□	_____	_____
Copy of NPDES limits pages and whether the facility has the ability to comply with existing limitations	□	□	_____	_____
Copy of any SOC that applies to the facility and summary of any construction requirements with appropriate schedule	□	□	_____	_____
Documentation of failing septic systems with letter from County Health Department	□	□	_____	_____
Identification of current service population for subject project area.	□	□	_____	_____
Comparison of service population with total population	□	□	_____	_____
Evaluation of I/I to determine if they are excessive	□	□	_____	_____
Estimation of current wastewater flows	□	□	_____	_____

Section 4: Future Situation

	Present	N/A	Page No.	Remarks
20-year population projections	□	□	_____	_____
20-year flow projections	□	□	_____	_____
Speculative or actual effluent limitations to support design assumptions	□	□	_____	_____
Justification for building a facility larger than necessary for the 20-year planning needs	□	□	_____	_____

Section 5: Alternatives Analysis

Note: The following alternatives must be present in the ER:

	Present	N/A	Page No.	Remarks
No-Action Alternative	□	□	_____	_____
Optimum operation of existing facilities	□	□	_____	_____
Land application (slow rate, conventional spry irrigation), or reuse	□	□	_____	_____
Regional system	□	□	_____	_____
Upgrade or expansion of existing facilities with conjunctive reuse of reclaimed water	□	□	_____	_____

Section 5: Alternatives Analysis (cntd.)

	Present	N/A	Page No.	Remarks
Any other feasible, environmentally sound alternatives.	☐	☐	_____	_____
Evaluation of biosolids disposal alternatives (Section 503 regulations).	☐	☐	_____	_____
Descriptions, diagrams, and preliminary design criteria for all proposed unit processes, pump stations, and interceptor sewers.	☐	☐	_____	_____
Analysis of potential open space and recreational opportunities.[h]	☐	☐	_____	_____
Purpose of collection systems.	☐	☐	_____	_____
Section describing selected alternative.	☐	☐	_____	_____

If interceptors are proposed for wastewater transmission, the following alternatives must be addressed:

	Present	N/A	Page No.	Remarks
Alternate Routes	☐	☐	_____	_____
Pump station(s) and force main(s)	☐	☐	_____	_____
On-site treatment system(s)	☐	☐	_____	_____

Section 6: Present Worth Analysis

Demonstrate the cost effectiveness of the selected alternative through a present worth analysis. Base the analysis on a 20-year planning period and use the current EPA discount rate (4.875% as of 10-1-06) with the appropriate compound interest factors. Conduct a present worth analysis for:

	Present	Page No.	Remarks
All feasible alternatives	☐	_____	_____
Land application alternatives	☐	_____	_____

The present worth analysis must include the following items:

	Present	Page No.	Remarks
Detailed breakdown of capital costs	☐	_____	_____
Cost itemization that is included in the present worth analysis.	☐	_____	_____
Annual operation and maintenance costs and present worth of these costs.	☐	_____	_____
Present worth of replacement costs.	☐	_____	_____
Present worth of salvage value.	☐	_____	_____
2 % closing fee[h]	☐	_____	_____

[h]SRF Projects only.

Section 7: User Charges and Financial Capability[i]

	Present	N/A	Page No.	Remarks
Current user charges for a typical residential customer using 5,000 gallons per month.[j,k]	□	□	_____	_____
Expected user charges for a typical residential customer using 5,000 gallons per month.	□	□	_____	_____
All other sources of funding if the total project cost exceeds the anticipated funding amount.[l]	□	□	_____	_____

Section 8: Public Participation[m,n]

Is a public hearing required? (See Section G of the Engineering Report guidance.) □ Yes □ No

If a public hearing is required, provide a 2-week notification. A copy of the ER should be available for review by the public at least 2 weeks prior to the public hearing.

Note: If a public hearing is not required, skip this section.

If a public hearing is required, has it been held or scheduled? If so, when? □ Yes □ No Date Held: _____

Note: A FNSI cannot be issued unless a public hearing has been scheduled and completed.

The following information should be in the ER:

	Present	N/A	Page No.	Remarks
A summary of the hearing.	□	□	_____	_____
An affidavit of publication of the hearing notice.	□	□	_____	_____

Proceed to Part C.

[i]Receipt of loans is contingent on the review and approval of the proposed loan by the Local Government Commission.
[j]General funds may not be pledged for repayment.
[k]Expected revenue from user charges should be based on the first year's billable flow. Anticipated disbursements/expenses should include the first year's principal and interest payments, and the first year's operation and maintenance cost.
[l]The expected user charge must be based on an SRF loan with an interest rate of 4%. This is the maximum that the interest rate can be in the SRF program. The SRF loan is typically a simple interest loan with a declining annual payment.
[m]Applies to SRF and non-CE STAG projects only.
[n]Public meetings in the early stages of the project development are encouraged. These meetings can be regular town board meetings in which the project is discussed. If conducted, include a summary of these meetings in the engineering report.

Part C: Environmental Information Document

Section1: Contact Information[o]

Consultant Company: _____ Consultant Contact: _____

Consultant Address _____ Consultant Phone: _____

_____

Consultant E-mail: _____

Section 2: EID Front Matter

Check to show that the report includes the following sections:

- □ Table of Contents
- □ List of Tables
- □ Executive Summary
- □ Purpose and Need
- □ Existing Environmental Characteristics
- □ Mitigative Measures
- □ List of Figures
- □ List of Appendices
- □ Project Description
- □ Alternatives Analysis
- □ Predicted Environmental Effects
- □ References

Section 3: Figures

Check to show that the following figures are included in the EID:

□ Project Location □ Environmental Features □ Stream and Wetland Crossings □ Soils □ Wetland Delineation Map

Check to show that all figures include the following:

□ North Arrow □ Scale □ Number and Title □ Differentiation of Components[p]

Section 4: EID Contents

Check to show that the following are included in the Project Description:

□ Project Components □ Project Phases (if applicable)

Check to show that the following are in the Alternatives Analysis:

□ Mirroring of alternatives in ER. □ Alternatives Analysis for each component □ Description of each alternative □ Rationale for acceptance/rejection of each alternative

[o]Complete if preparer of EID is different from the information supplied in Part A.
[p]Components may be differentiated via labeling or legend.

Check to show that the following sections are addressed for each resource topic and provide the appropriate page number for each.

	Affected Environment		Direct Impacts		SCI[n]		Mitigative Measures	
	Present	Page No.	Present	Page No.	Present	Page No.	Present	Page No.
Topography	☐	_____	☐	____	☐	_____	☐	_____
Floodplains	☐	_____	☐	____	☐	_____	☐	_____
Soils	☐	_____	☐	____	☐	_____	☐	_____
Land Use	☐	_____	☐	____	☐	_____	☐	_____
Wetlands & Streams	☐	_____	☐	____	☐	_____	☐	_____
Prime or Unique Farmlands	☐	_____	☐	____	☐	_____	☐	_____
Public Lands & Scenic, Recreational, & State Natural Areas	☐	_____	☐	____	☐	_____	☐	_____
Areas of Archaeological or Historical Value	☐	_____	☐	____	☐	_____	☐	_____
Noise Levels	☐	_____	☐	____	☐	_____	☐	_____
Groundwater Resources	☐	_____	☐	____	☐	_____	☐	_____
Surface Water Resources	☐	_____	☐	____	☐	_____	☐	_____
Forest Resources	☐	_____	☐	____	☐	_____	☐	_____
Shellfish or Fish and Their Habitats	☐	_____	☐	____	☐	_____	☐	_____
Wildlife and Natural Vegetation	☐	_____	☐	____	☐	_____	☐	_____
Threatened and Endangered Species	☐	_____	☐	____	☐	_____	☐	_____

[n]SCI is secondary and cumulative impacts.

I certify that the information presented in this checklist for the ER and EID is accurate.

AE Contact Name Signature:_____

AE Contact Name (Printed):_____

Date:_____

For CG&L/FEU Use Only

Date Report rec'd: _____ Reports rec'd by: _____