

Exhibit 9B - Preliminary Review of Facility Plan Checklist

Iowa Department of Natural Resources Wastewater Engineering Section

“Facility Plan” means a report certified by a professional engineer licensed to practice in Iowa and prepared in conformance with Chapter 11 of the Iowa Wastewater Facilities Design Standards (IWWFDS). A Facility Plan will not be required for non-funded minor sewer extensions, minor trunk and interceptor sewers, and minor pump stations where comprehensive planning is not completed, necessary or required. Facility planning submittals may be returned if they are deemed incomplete by the Department.

The transmittal letter referenced in Section 11.2.2 of the IWWFDS and a completed Exhibit 9B checklist by the engineer shall be bound with the engineering report. The transmittal letter must:

- Describe fully the scope of the project identified in Design Schedule A.
- Provide a statement on the feasibility of the project.
- Include a statement that this report has been accepted by the client.
- Indicate that the proposed project is in conformance with the long range planning of the area.
- Reference all information and approved planning reports necessary for a review.
- Clearly indicate the purpose of the submittal.

Exhibit 9B is divided into four sections as follows:

- Section 1 – All Projects
- Section 2 – New or Expanded Wastewater Treatment Facility Projects
- Section 3 – Earthen Basin Projects
- Section 4 – SRF Funded Projects

Section 1 must be completed for all projects. Sections 1 and 2 must be completed for projects involving new or expanded wastewater treatment facilities. Sections 1, 2, and 3 must be completed for projects that consist of new or expanded wastewater treatment lagoon facilities. Sections 1 and 3 must be completed for projects involving new or expanded equalization with earthen basins. In addition, complete Section 4 if the project is SRF funded.

Responses of “**Yes**”, “**No**”, “**?**”, or **Not Applicable (“N/A”)** may be used by DNR in completing Exhibit 9B Preliminary Review with explanations given, as appropriate. A “?” mark may be used by DNR staff where additional follow-up, or the consideration of additional information may be warranted before a comment is offered. Every attempt should be made to complete the Exhibit 9B preliminary review checklist using good engineering judgment and as accurately as possible for the benefit of decision makers. If the response is “No” by the engineer for location maps and/or geotechnical report, the transmittal letter must acknowledge that the Facility Plan is incomplete and provide adequate need and justification for the Department to initiate a concept review.

Section 1 – All Projects

1. --- A work initiation meeting determination has been made. If the meeting was determined to be necessary, the meeting has been held. The scope and milestones for the project have been clearly established.
2. --- A project location and a recommended alternative have been proposed by the A/E and the conclusion accepted by the Owner in accordance with Step 17, Section 11.2 of the Iowa Wastewater Facilities Design Standards and Design Schedule A.
3. --- A completed and signed Design Schedule A has been submitted in accordance with Section 11.1 of the Iowa Wastewater Facilities Design Standards.
4. --- Any proposed variation from the design standards contained in Chapter 567 IAC 64 is identified by the Engineer in accordance with Design Schedule A with justification provided in accordance with DNR rules.
5. --- A complete and achievable project implementation schedule has been provided identifying all project milestones in accordance with Section 11.2.5.3(k) of the Design Standards.
6. --- The Appendix (Technical Information and Design Criteria) is provided per Design Standard 11.2.11.
7. --- The facility plan is signed and certified by a professional engineer licensed in the State of Iowa.

Section 1 – Comment Box:

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Section 2 – New or Expanded Wastewater Treatment Plant Projects

8. --- The Owner has filed an application for a new or amended NPDES permit as needed for the improvements described in the Facility Plan.
9. --- Completed and signed Design Schedules F and G have been submitted in accordance with Section 11.1 of the Iowa Wastewater Facilities Design Standards.
10. --- The location maps are prepared by the Engineer in accordance with Design Schedule F (dated October 2005) to the recommended scale and provide all requested detail to conduct a site survey investigation for the proposed new or expanded wastewater treatment facilities.
11. --- All hydraulic and organic design loadings in Design Schedule G and the Facility Plan are consistent with the preliminary design loadings concurred by the Department.
12. --- The project has conformed to the Waste Load Allocation (WLA) determination and the effluent limits which have been established by the DNR through Steps 9, 11, 12, 13, and 14 of the wastewater construction permitting procedures.
13. --- Where anti-degradation requirements apply, the recommended alternative is consistent with the anti-degradation alternatives analysis approved by the Department.
14. --- New Process Evaluation - all required engineering data and design basis formulated from the data for New Process Evaluation has been approved by the Department under Section 14.4.3 and was prepared by a licensed professional engineer other than the one employed by the manufacturer or patent holder.

Section 2 – Comment Box:

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Section 3 – Projects with Earthen Basins (Lagoon and Equalization Basins)

15. --- A completed geotechnical investigation engineering report is provided as a supplement to the engineer's report.

Section 3 – Comment Box:

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Section 4 – State Revolving Fund (SRF) Loan Projects

16. --- The proposed project is a fundable category (Refer to Subrule 567 IAC 90.2) for receipt of a CWSRF loan.
17. --- The Intended Use Plan application (Exhibit 8) is enclosed with the Facility Plan, including EPA Form 4700-4 and the "Assurance with Respect to Real Property Acquisition" form.
18. --- The Property/Easement Acquisition Schedule is included.
19. --- The Owner has submitted all required Exhibit 5 information to the Environmental Review Services Coordinator in order to initiate the SRF environmental review.

Section 4 – Comment Box:

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This page for DNR Use Only

DNR Decisions:

--- 9B Complete

--- Concept Review Request

Conclusions by DNR:

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