



Form 370: Drinking Water State Revolving Fund Preapplication

The purpose of this preapplication is to gather information concerning potential projects eligible for funding from the Drinking Water State Revolving Fund (DWSRF). The DWSRF was established through amendments to the Safe Drinking Water Act (SDWA) to provide low-interest rate financing for construction of public water system improvements. This information will be used to develop a priority list of projects that will be eligible for assistance from the DWSRF. This form may be submitted at any time, but for the highest probability of funding it is recommended that it be submitted as early as possible after the start of the fiscal year (October 1). Please review the instructions, sign and date the preapplication and submit two complete copies with attachments to:

SRF Section
 Alabama Department of Environmental Management
 Post Office Box 301463
 Montgomery, Alabama 36130-1463

If by overnight mail:
 1400 Coliseum Boulevard
 Montgomery, Alabama 36110-2400
 (334) 271-913



Project Name		Assistance Amount Requested \$
Applicant	County	DUNS Number
Name and Title of Contact Person	Telephone	FAX
Street Address or Post Office Box	City, State, and ZIP	Email Address
Consulting Engineer	Telephone	FAX
Firm	Email	
Street Address or Post Office Box	City, State, and Zip	
Number of Connections to be Served by the Project	AL House District(s)	AL Senate District(s)
Total Number of System Connections (Current)	PWSID Number	DUNS Number

For the following questions, please attach additional pages if adequate space is not provided on this form:

1. Break down the total project costs (categories should sum to 100%):

Treatment: ____% Distribution: ____% Source: ____% Storage: ____%

2. Give a brief description of the proposed project and attach a copy of the preliminary engineering report (PER).

3. Give an estimated cost outline for the entire project. If available, give line item breakdowns.

4. List all other funding sources to be utilized to complete this project.

Other Funding Source(s)	Amount(s)	Commitment Date

5. Provide a proposed project schedule.

Activity	Date
Plans & Specifications Submitted to ADEM	
Bid Opening	
Notice to Proceed	
Start Construction	
Complete Construction	

6. Enter the Median Household Income (MHI) for the affected community:

Source: _____

\$

7. Enter the Average Annual Household Water Bill:

Source: _____

\$

Priority Ranking System

The following factors are used to rank the proposed project and will ultimately determine if the project is fundable. The applicant must provide documentation where required in order to receive credit. Any ranking criteria that cannot be verified by the Department will be awarded zero points.

A. Enforcement and Compliance Rating Criteria (Maximum: 50 points)

Ranking Criteria	Point Value
1 The system is under formal enforcement action by ADEM. Completion of the project will return the system to compliance.*	50
2 The project is a voluntary effort to resolve noncompliance and will mitigate the issuance of a formal enforcement action. *	40
3 The system is currently in compliance but will be in imminent noncompliance without the proposed project.*	25
Circle the point value that applies to the project and enter the total points claimed here. If none of the above criteria apply, enter zero. Note that credit can be claimed for only one of the above criteria.	

*Applicant must provide supporting documentation to receive credit.

B. Drinking Water Contaminants Criteria (Maximum: 150 points)

Ranking Criteria	Point Value
1 The system has current primary MCL violations and completion of the project will return the system to compliance.	100
2 The system has current secondary MCL violations and completion of the project will return the system to compliance.	50
3 The primary purpose of the project is to extend service to persons presently served by contaminated wells.*	50
Circle the point value(s) that apply to the project and enter the total points claimed here. If none of the above criteria apply, enter zero.	

*Applicant must attach supporting documentation from the local Health Department to receive credit.

C. Water/Energy Efficiency Rating (Maximum: 45 points)

Ranking Criteria	Point Value
1 The project significantly reduces unaccounted for water loss. The unaccounted for water loss during the last 12-month period was*:	
50% or higher	25
35% or higher	20
20% or higher	10
15% or higher	5
2 The project incorporates energy efficient design considerations with established objectives and targets for energy reduction opportunities.*	5

3	The project uses renewable energy such as wind, solar, geothermal, hydroelectric, micro-hydroelectric, biogas combined heat and power (CHP) systems, or biofuels production to provide power to a drinking water treatment plant.	5
4	The project implements upgrades to pumps and treatment processes which result in: <ul style="list-style-type: none"> a) 20% or greater reduction in energy consumption at a drinking water treatment plant.* b) 10-20% reduction in energy consumption at a drinking water treatment plant, or 20% or greater reduction in energy consumption at a remote pump station.* 	10 5
Circle the point value(s) that apply to the project and enter the total points claimed here. If none of the above criteria apply, enter zero.		<input style="width: 100px; height: 30px;" type="text"/>

*Applicant must provide supporting documentation to receive credit.

D. Capacity and Pressure Criteria (Maximum: 100 points)

	Ranking Criteria	Point Value
1	The system lacks adequate capacity to provide safe drinking water, as evidenced by boil water notices, and/or total lack of service to existing customers for a significant period of time. Completion of the project will provide adequate capacity for existing customers.*	100
2	The project will mitigate pressure readings of <20 psi at 50 or more customer meters.*	50
3	The project will mitigate pressure readings of <20 psi at 10-49 customer meters.*	25
Circle the point value(s) that apply to the project and enter the total points claimed here. If none of the above criteria apply, enter zero.		<input style="width: 100px; height: 30px;" type="text"/>

*Applicant must provide supporting documentation to receive credit.

E. System Consolidation Criteria (Maximum: 100 points)

	Ranking Criteria	Point Value
1	The project will consolidate two or more systems, resulting in the elimination of at least one public water system.	100
2	The project will establish a new interconnection between two water systems, where the beneficiary water system (or portion of the beneficiary water system) is served by only one source.	25
Circle the point value(s) that apply to the project and enter the total points claimed here (maximum credit 50 points). If none of the above criteria apply, enter zero.		<input style="width: 100px; height: 30px;" type="text"/>

F. Sustainability Criteria (50 possible bonus points)

	Ranking Criteria	Point Value
1	The project implements one or more of the following planning methodologies: <ul style="list-style-type: none"> a) Asset Management Plan* b) Water Conservation Plan, adopted by governing body* 	10 5

2	The project includes one or several of the following design considerations:	
	a) LEED certified or other ADEM-approved green building techniques.	5
	b) Project envelope is located in a previously developed area.	5
	c) Use of environmentally friendly post-consumer recycled or reclaimed materials.	5
3	The project incorporates at least one of the following construction methods:	
	• Innovative erosion control practices;	5
	• Protection of onsite trees, vegetation, native habitats and urban forests; or	
	• Replanting of disturbed areas with native plant species.	
4	The project will utilize one or more of the following water conservation strategies:	
	a) Incorporates sustainable water pricing practices and rate structures.	10
	b) Completion of EPA's Water Quality Scorecard (see http://www.epa.gov/smartgrowth/water_scorecard.htm).	5
Circle the point value(s) that apply to the project and enter the total points claimed here (maximum bonus credit 50 points). If none of the above criteria apply, enter zero.		<input type="text"/>

G. Reporting Criteria (Maximum point reduction: 30)

	Ranking Criteria	Point Reduction
1	The system was cited during the last twelve months for late submittal of Monthly Operating Reports (MOR) or Consumer Confidence Reports (CCR), or was cited for a monitoring/reporting violation.	-10
2	The system was sent a Drinking Water Needs Survey and/or a Clean Watershed Needs Survey in the last four years and failed to return a completed survey.	-20
Circle the point value(s) that apply to the applicant and enter the total points here.		<input type="text"/>

H. Affordability Criteria (Maximum: 60 points)

	Ranking Criteria	Point Value
Divide the Average Annual Household Water Bill by the Median Household Income (from Page 2) and multiply by 100%:		
	2.50% or higher	60
	2.00 – 2.49%	40
	1.50 – 1.99%	20
	Less than 1.50%	0
Circle the point value that applies to the project and enter the total points claimed here.		<input type="text"/>

I. Infrastructure Improvement Criteria

	Ranking Criteria	Point Value
1	Construction of a new water treatment plant	20
2	Level of treatment upgrade to an existing water treatment plant	15
3	Modifications to address disinfection byproduct requirements	25
4	Replacement of water lines due to age, leaks, breaks, or lead or asbestos-cement pipe	10
5	Installation of new water lines, where none existed previously	5
6	Rehabilitation or replacement of a water storage tank	15
7	Installation of a new water storage tank	10
8	New or upgraded pump station (not associated with a tank project)	5
9	Security improvements to a water system	5
10	Emergency power generators	5
11	Construction of a new well	15
12	Rehabilitation/upgrade of an existing well	10
13	Installation of green stormwater infrastructure at a water treatment plant	5
14	Installation of water meters in previously unmetered areas, or replacement of traditional water meters with AMR or smart meters	10
15	Water meter replacement with traditional meters	5
16	Installation or retrofitting water efficient devices such as plumbing fixtures and appliances (toilets, showerheads, urinals)	5
17	Replacement of (potable) landscape irrigation with more efficient landscape irrigation systems	5
18	Recycling and water reuse projects that replace potable sources with non-potable sources (grey water, wastewater effluent)	10
19	Installation or upgrade of SCADA systems	5
	Circle the point value(s) that apply to the applicant and enter the total points here.	

J. Project Readiness (30 possible bonus points)

	Ranking Criteria	Point Value
	Project planning is complete and biddable plans and specifications will be submitted to ADEM within 60 days of this application for examination and/or issuance of a construction permit.	30
	Circle the point value that applies to the project and enter the total points claimed here.	

Sum the points from each category below.

Part A: Enforcement and Compliance (50 points maximum)	
Part B: Drinking Water Contaminants (150 points maximum)	
Part C: Water/Energy Efficiency (45 points maximum)	
Part D: Capacity and Pressure (100 points maximum)	
Part E: System Consolidation (50 points maximum)	
Part F: Sustainability (50 bonus points maximum)	
Part G: Reporting (Maximum Reduction of 30)	
Part H: Affordability (60 points maximum)	
Part I: Infrastructure Improvement	
Part J: Project Readiness (30 bonus points maximum)	
TOTAL POINTS CLAIMED:	

This form should be signed by the official who is authorized to execute contracts on behalf of the applicant jurisdiction. **TWO SIGNED COPIES (including attachments)** should be mailed to the address shown on Page 1 of this form.

The following attachments must be included with this form:

1. Preliminary Engineering Report – Required for all infrastructure projects
2. Detailed project narrative with schedules, cost breakdowns, etc – May be substituted for engineering report for all non-infrastructure projects
3. Copies of last three (3) audited financial statements
4. Project maps
5. Supporting documentation for priority points claimed, as required above. Any points claimed that cannot be readily substantiated from the information submitted will not be counted. The Department reserves the right to make the final determination of all points awarded.

The undersigned representative of the applicant certifies that the information in the application and in the attached statements and exhibits is true, correct and complete to the best of the applicant's knowledge, information and belief.

Signature of Authorized Representative	Print or Type Name
Title	Date

Instructions

Do not use this form for Clean Water State Revolving Fund projects. Use Form 340.

The Drinking Water State Revolving Fund is only open to public bodies. This includes any county, state agency, incorporated city or town, public corporation, district, cooperative, association, authority or any instrumentality thereof created by or pursuant to state law and having jurisdiction, power or authority with respect to the transmission, sale, production or delivery of drinking water, including also a combination of two or more of the foregoing.

Unrelated projects should be submitted on separate preapplications, and will be scored independently.

Projects primarily intended to serve future growth are not eligible for DWSRF funding.

Preapplications may be submitted at any time, but it is recommended that they be submitted as soon as possible after the start of the fiscal year (October 1) for maximum available funding.

PAGE 1

Project Name: Enter a short descriptive title for the project. Example: Kashmir Road Elevated Storage Tank Security Project.

Assistance Amount Requested: Enter the total amount of DWSRF assistance sought.

Applicant: Enter the name of the public body that will be the recipient of DWSRF assistance.

County: Enter the county where the work will occur. If the project spans 2 or more counties, enter the names of all counties impacted.

DUNS Number: Enter the Data Universal Numbering System number for the applicant, provided by Dun & Bradstreet.

Contact Person: Enter contact information for the employee or official who is most familiar with the project. This is the person the Department should contact if there are any questions or additional information required.

Consulting Engineer: Enter the contact information for the consulting engineer, if any.

Connections Served by the Project: Enter the number of customer connections that will directly benefit from the project.

Alabama Legislative Districts: Enter the district numbers for all districts impacted by the project.

Current Connections: Enter the total number of customer connections served by the applicant (Do not include connections served by other systems that purchase water from the applicant).

PWSID Number: Enter the PWSID number for the applicant. For consolidation projects, also include the PWSID number for the system that will be eliminated by the project.

DUNS Number: Enter the DUNS number for the applicant. If the applicant does not have a DUNS number, please register at <http://fedgov.dnb.com/webform> and enter the number received.

PAGE 2

1. **Needs Categories:** Break down all project costs according to the needs categories shown. The total must sum 100%.
2. **Project Description:** Provide a brief description of the proposed project (one paragraph or less). For infrastructure projects a copy of the preliminary engineering report must be attached. All other projects must include either a preliminary engineering report or other report that includes information on the project scope, need for the project, any alternatives considered, cost/scheduling information, and project maps.

3. **Cost Outline:** Provide estimated costs for all project components. Give as much detail as possible.
4. **Other Funding:** If funding sources other than the DWSRF will be used to finance any portion of the project costs, provide the name(s), amount(s), and any available commitment dates.
5. **Project Schedule:** Provide an estimated project schedule (for planning purposes, you may assume that the DWSRF funding agreement will be closed in August of the following year). Note that all work must be underway within one year of the funding agreement date, and completed within 3 years.
6. **MHI:** Provide the Median Household Income for the affected community, and the source used (typically, the most recent census). This information will be used as a tie-breaker should one or more projects have identical scores.
7. **Average Water Bill:** Enter the average annual household water bill for residential customers. Do not include industrial, commercial, wholesale, or consecutive customers. If this information is not available, the minimum residential water charge for one year may be used.

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- A. **Enforcement and Compliance Rating Criteria:** For the maximum point value of 50, the system must presently be under a formal enforcement action including a notice of violation, consent order, administrative order, or litigation. The project must return the system to compliance as its primary purpose. For 40 points credit, the applicant must demonstrate that the proposed project will result in compliance and, therefore, avoid formal enforcement by the Department. For 25 points credit, the applicant must demonstrate that the project is necessary to keep the system in compliance. Supporting documentation must be attached to receive credit. All other projects will be awarded zero points.
- B. **Drinking Water Contaminants Criteria**
 1. To receive credit, the purpose of the project must be to eliminate primary MCL violations that are occurring at the time of application.
 2. To receive credit, the purpose of the project must be to eliminate secondary MCL violations that are occurring at the time of application.
 3. If the primary purpose of the project is to extend water service to persons (existing residences) served by documented contaminated wells, credit may be claimed.
- C. **Water/Energy Efficiency Rating**
 1. The unaccounted for water loss must equal the amount shown on the last Sanitary Survey prepared by the ADEM Drinking Water Branch or other study/investigation. Include documentation to receive credit.
 2. Be sure to include a copy of the audit or plan for credit.

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3. The renewable energy project must be owned by the applicant.
4. Provide supporting documentation (manufacturer's literature, energy audits, etc.) in order to receive credit. Simply replacing equipment that is at the end of its useful life, with new equipment of average efficiency, does not qualify.
- D. **Capacity and Pressure Criteria:** Documentation must be provided to receive credit. Note that the maximum point value for this section is 100.
- E. **System Consolidation Criteria**
 1. At least one public water system must be dissolved as a result of the project to claim 100 points. (Note: points may be claimed elsewhere on this form by the applicant for enforcement and violations of the system to be eliminated)
 2. Credit may be claimed if the interconnection provides an additional source to a water system or portion of a water system that is served by only one source.
- F. **Sustainability Criteria:** Use of the techniques and design considerations listed can result in significant bonus points for the project ranking. Note: Credit for completing the EPA Water Quality Scorecard will only be awarded once per community. Subsequent years' applications will receive credit only if the applicant demonstrates improvement in their score.

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G. Reporting Criteria (Note that these values are deductions from the total points awarded to the project)

1. If, over the past 12 months from submittal of this preapplication, the system was cited by ADEM for late reports or a monitoring/reporting violation, ten points must be deducted. "Cited" includes issuance of a warning letter, Notice of Violation, consent order, administrative order, or litigation.
2. If the applicant was asked over the past four years to complete a survey for the Drinking Water Needs Survey or the Clean Watershed Needs Survey, and failed to do so, twenty points must be deducted. Example: Two years ago the Cameron Water Works was sent a Drinking Water Needs survey, but did not participate. Twenty points would be deducted from the Cameron Water Works' score.

H. Affordability Criteria: Be sure your calculations are based on the average annual household water bill, not the monthly water bill.

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I. Infrastructure Improvement Criteria: For each applicable component, add the applicable points to the total. To receive credit, the component must be a significant portion of the project. Example: installation of a new water storage tank with a fence, security light, and connection to an existing SCADA system would receive credit for the tank only (10 points) since the security and SCADA portions of the work are incidental.

J. Project Readiness: To receive bonus credit, project planning must be complete and biddable plans and specifications will be submitted to ADEM within 60 days of submittal of this application.

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Enter the points claimed from A. through J. Be sure to note the limits on points from each category. Sum the points and enter the total as shown.

Note: The final point determination is made by the Alabama Department of Environmental Management. Any points claimed that cannot be satisfactorily justified will be deducted from the total.

Be sure to submit two (2) complete, signed copies with all attachments.

This form must be signed by an official of the public body that is authorized to sign funding applications.