

**State of Alabama**  
**Alabama Department of Environmental Management**  
**Clean Water State Revolving Fund Program**



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## CWSRF Intended Use Plan



**Fiscal Year 2020**

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## **I. Introduction:**

As required by Title VI of the Clean Water Act, each year the Department must prepare an Intended Use Plan (IUP) identifying the projected uses of funds available in its Clean Water State Revolving Fund (CWSRF). This Intended Use Plan (IUP) serves as a basis for the development of the capitalization grant payment schedule.

The State of Alabama will receive an EPA Capitalization Grant of \$17,770,000 from EPA that will be used to provide low interest financial assistance for the CWSRF program. The 20% State matching fund requirement for the capitalization grant is \$3,554,000 and will be fulfilled by an overmatch of State Match Bonds issued in previous years' and a contribution from ADEM State Enforcement Action (see Projected Sources). The capitalization grant funds for the CWSRF and the 20% State matching funds will be distributed as outlined by this plan.

In accordance with the Clean Water Act (CWA) Amendments of 1987, the Department proposes the following plan for the intended use of the CWSRF funds for FY 2020 as required by Section 606(c) of the CWA.

## **II. Program Goals:**

### **A. Short Term Goals:**

1. To provide CWSRF assistance to the extent there are sufficient eligible project applications, not less than 10% of the CWSRF Capitalization Grant for projects to address green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities. These four categories of projects are the components of the Green Project Reserve.
2. To provide CWSRF loans with additional subsidization in the form of principal forgiveness for not less than 10% (\$1,777,000) of the CWSRF Capitalization Grant.
3. To implement the State's CWSRF in compliance with Title VI of the Clean Water Act and to ensure conformance with Federal crosscutting issues as required by the 1987 Clean Water Act amendments.
4. To ensure compliance with the "first use" requirements which require that CWSRF assistance be available to projects which are members of the National Municipal Policy (NMP) universe; projects which have legally enforceable compliance schedules.
5. To achieve statewide compliance with Federal and State water quality standards, particularly with the NMP as rapidly as possible.
6. To protect the public health and the environment and promote the completion of cost-effective wastewater treatment facilities.

### **B. Long Term Goals:**

1. To maintain the CWSRF program and the fiscal integrity of the fund.
2. To provide a self-perpetuating source of financial assistance for the construction of public wastewater treatment and transport facilities needed to meet water quality standards and provide capacity for future growth.
3. To assure that all Municipal NMP facilities achieve compliance as soon as possible.
4. To assure that all municipal facilities achieve compliance with final effluent limits as soon as possible.

5. To assist in the maintenance of water quality standards wherever such standards are adversely affected by municipal wastewater point sources.
6. To meet public health and environmental needs of those communities with malfunctioning on-site treatment systems that are either identified as a health hazard by the State Health Department or that adversely affect water quality.

**III. Sources and Use of the Funds:**

The Department is expected to fund FY 2020 projects using a combination of interest earnings on the Fund, repayments from direct loans and the EPA Capitalization Grant. Match for the EPA Grant will be fulfilled by overmatch of State Match Bonds issued in previous years. The estimated sources and uses of funds in the FY 2020 CWSRF program are as follows:

Sources:

2020 EPA CWSRF Cap Grant:	\$17,770,000
Direct Loan Repayments, Interest Earnings and Unobligated Funds:	\$79,513,051
State Match	\$3,554,000
<hr/>	
	Total: \$100,837,051

Uses:

Project Assistance:	\$99,790,000
Administrative Costs:	\$1,047,051
<hr/>	
	Total: \$100,837,051

Projects on the CWSRF Project List are ranked by their respective priority point rating and may be funded according to availability of funds. Projects that are not funded from the Project List may be funded in subsequent years.

The amount reserved for administrative costs is equal to 1/5 percent per year or the Total New Position (\$523,525,413 as of the most recent audited financial statements).

The rate of cash draws from the federal capitalization grant will be based on dollar-for-dollar draws of direct loan projects. Consistent with EPA policy, draws from the federal grant for these direct loan projects are required to be proportional to the disbursement of state match funds to borrowers for eligible project costs. The State intends to manage its disbursements to borrowers to insure that State funds are spent first in order to ensure that the proportionality requirement is met expeditiously. This technique is necessary to ensure that direct loan borrowers funded from federal capitalization grants are able to receive requisitioned funds in a timely manner. It should be noted that overmatch from previous years' programs will be used to match the grant in addition to the appropriation provided by the State Legislature.

Additionally, in accordance with 40 CFR 35.3530, the Alabama Department of Environmental Management (the Department) plans to transfer up to \$72,952,803 from the CWSRF to the Drinking Water State Revolving Fund (DWSRF). Funds transferred from the CWSRF to the DWSRF are to be used to fulfill the DWSRF infrastructure financing demand.

**IV. Water Resources Reform and Development Act**

The Water Resources Reform and Development Act (WRRDA) was enacted on June 10, 2014 and brought several changes to the CWSRF program.

**A. Fiscal Sustainability Plans**

The Federal Water Pollution Control Act (FWPCA) Section 603(d)(1)(E) requires a recipient of a loan for a project that involves the repair, replacement, or expansion of a publically owned treatment works to develop and implement a Fiscal Sustainability Plan (FSP) or certify that it has developed and implemented an FSP. This provision applies to all loans for which the loan recipient submitted an application on or after October 1,2014.

The Alabama CWSRF program provides all assistance by purchasing outstanding debt obligations (bonds) from the borrower, thus this requirement does not apply. The Alabama CWSRF program commonly refers to these bond purchase agreements as “loans”, though they are not loans as defined by EPA.

## **B. Architectural and Engineering (A/E) Services Procurement**

For any capitalization grant awarded after October 1, 2014, the State must ensure that all A/E contracts for projects identified as using funds directly from each year’s capitalization grant (i.e. equivalency projects) comply with the elements of the procurement processes for A/E services as identified in 40 U.S.C. 1101 et seq., or an equivalent State requirement. The Alabama CWSRF requires its recipients to comply with the *September 30, 2014 Alabama CWSRF A/E Procurement Requirements* (See Attachment 3).

## **C. Cost and Effectiveness Certification**

Section 602(b)(13) requires that CWSRF recipients certify that the recipient has studied the cost and effectiveness of the project and selected the project that maximizes the potential for efficient water use, reuse, recapture and conservation, and energy conservation. The Alabama CWSRF program is requiring each recipient of CWSRF funding to provide a certification in compliance with 602(b)(13). This certification can be found on page 14 of the CWSRF Loan Application (Form 339 M-2).

## **D. Additional Subsidy and Affordability**

Additional subsidy in the form of principal forgiveness shall be made available in total of the required amount for the States 2020 Capitalization Grant Appropriation (\$1,777,000) or the cap set at 603(i)(3) of the Federal Water Pollution Control Act, whichever is less. Additional subsidy will be provided in rank order to projects as determined by the Affordability Measure for Alabama. In addition, additional subsidy would be provided to an eligible project that meets Section 603(i)(1)(B) Clean Water Act requirements at a greater than 50% project cost ratio. Each project may receive up to a maximum of 50% of the allowable cost in principal forgiveness or a maximum of \$500,000 until the amount has been allocated. The Affordability Measure Guidelines for Alabama can be found on Attachment 4.

## **E. Extended Term Financing**

Section 603(d)(1)(A) authorizes CWSRF loans to be made for a term not exceeding the lesser of 30 years or the useful life of the project. At this time, Code of Alabama 22-34-11(c) prohibits the Alabama CWSRF from providing any loan that exceeds 20 years in repayment length.

## **V. Project Selection and Methods of Distribution of Funds**

### **A. Priority List**

In order to be considered for CWSRF assistance, projects must be on or added to the Priority List and have a proposed project schedule that coincides with the availability of CWSRF funds. The CWSRF project list was developed by identifying the priority point rating for each proposed project. (See Attachment 5) The funding of such projects is also subject to the availability of funds.

### **B. Additional Subsidization:**

Additional subsidy in the form of principal forgiveness shall be made available in total of the required amount of the 2020 Capitalization Grant Appropriation or the cap set at 603(i)(3) of the Federal Water

Pollution Control Act, whichever is less. The attached project list attachment includes projects that may receive principal forgiveness based the subsidy criteria. The Department has authority to provide additional subsidization by the Code of Alabama Section 22-34-3(a).

### **C. Green Project Reserve:**

The EPA capitalization grant requires that, to the extent there are sufficient eligible project applications, not less than 10% of funds provided by the 2020 Capitalization Grant for projects must be used for projects that address green infrastructure, water or energy efficiency, or other environmentally innovative activities. These four categories of projects are the components of the Green Project Reserve (GPR). The Department actively solicited for green infrastructure projects. This solicitation included a notice posted on the ADEM website as well as a notice sent to approximately 1,000 addresses on the Department's contact list including all incorporated towns and all county governments. The project fundable list identifies eight projects that have a component for GPR totaling \$34,327,670 (see Attachment 1).

### **D. Prevailing Wages**

Davis-Bacon wage requirements apply for fiscal year 2020 and each fiscal year thereafter and the requirements of section 513 of the Federal Water Pollution Control Act (33 U.S.C. 1372) shall apply to the construction of treatment works carried out in whole or in part with assistance made available by the CWSRF as authorized by title VI of that Act (33 U.S.C. 1381 et seq.). The Department will include in all loan agreements and procurement contracts terms and conditions requiring compliance with this requirement.

### **E. Inadequate Allocations:**

If the actual federal CWSRF allocations are less than anticipated by the Department in the development of the CWSRF priority list, the Department may find it necessary to reduce their commitments to projects on the priority list. The Department may take formal action to reduce the number of commitments in accordance with subparagraph 3) of this paragraph.

- 1). The Department may redistribute the CWSRF funds allocated to each project.
- 2). The Department may redistribute funds from lower priority projects to higher priority projects.
- 3). The Department may bypass projects on the priority list in accordance with Section H, below.

### **F. Unanticipated and Uncommitted Funds:**

If unanticipated or uncommitted funds become available, the Department may take action to distribute them in accordance with subparagraphs 1-2 of this paragraph:

- 1). The Department may use the unanticipated or uncommitted funds to fund the highest priority project(s) from the priority list.
- 2). The Department may use the unanticipated or uncommitted funds to increase the amount of funds allocated to CWSRF fundable projects or to provide increased assistance to projects which have already received CWSRF assistance.

Additionally, supplemental loans may be made to previous recipients as needed to complete segmented projects or to cover unanticipated cost overruns.

### **G. Project Bypass/Reallotment:**

The Department may bypass any project on the CWSRF priority list that is not, in the Department's opinion, making satisfactory progress in satisfying requirements for CWSRF assistance. Bypassed

projects will be removed from the priority list. In determining whether or not a project is making satisfactory progress in satisfying the requirements for CWSRF assistance, the Department shall use the criteria contained in subparagraphs 1-6 of this paragraph. Funds released through project bypass will be considered as uncommitted and available for redistribution in accordance with this section.

- 1). Any project on the CWSRF Priority List may be bypassed if the applicant fails to submit a complete CWSRF application.
- 2). The Department may use individual project schedules developed by the Department to determine whether or not the project is making satisfactory progress during the fiscal year.
- 3). In order to comply with EPA certification restrictions related to equivalency requirements, it may be necessary to bypass projects which have not complied with Title II requirements and other federal authorities.
- 4). Any project on the CWSRF Priority List may be bypassed if the applicant fails to demonstrate the ability to repay the loan.
- 5). To maintain the fiscal integrity of a leveraged loan program or provide funds for new construction, the Department may choose to bypass projects which involve refinancing of existing debt.
- 6): Projects may be removed from the priority list at the request of the applicant or if the Department finds that the project is ineligible for CWSRF assistance.

#### **VI. Certifications:**

1. The Department certifies that this IUP will be subject to public review and comment with a public notice period of 30 days.
2. The Department certifies that all wastewater facility projects in this IUP are on the CWSRF Priority List.
3. The Department certifies that it will enter into binding commitments for 120% of each payment under the CWSRF capitalization grant within one (1) year after receipt of each payment.
4. The Department certifies that it will expend all funds in the CWSRF in an expeditious and timely manner.
5. The Department certifies that all wastewater facilities in the state are in compliance with enforceable requirements or are making progress toward meeting those requirements except as specifically noted in the IUP.
6. The Department certifies that all facilities funded by the CWSRF shall complete a NEPA-like environmental review process.
7. The Department certifies that it will comply with all requirements of the 1997 Operating Agreement with EPA.
8. The Department certifies that it will complete a Benefits Assessment worksheet for each loan agreement executed in order to comply with EPA environmental results reporting requirements.

#### **VII. Program Income:**

The Alabama Water Pollution Control Authority, with ADEM as its agent, assesses an annual fee based on outstanding loan principal. These fees vary based on the fiscal year to which the loan agreement was secured and are collected twice a year when the recipient initiates repayment of the loan. In accordance with *Guidance on Fees Charged by States to Recipients of Clean Water State Revolving Fund Program Assistance*, published October 20, 2005, fees collected from loans sourced from

outstanding grants will be used for administration of the SRF fund only. All other fees will be used to provide fee income for the Department's CWSRF Direct Loan Fund and assist in the implementation of the Department's Water and Field Operations Divisions.

The Department expects to receive fees during FY 2020 as follows:

Total Program Income	Program Income Collected During Grant Period	Program Income Collected After Grant Period
\$2,930,872.18	\$0.00	\$2,930,872.18

**VIII. Estimated CWSRF Capitalization Grant Schedules:**

**A. Estimated Grant Draw Schedule**

**B. Estimated Grant Disbursal Schedule**

Fiscal Year	Month	Draw	Fiscal Year	Month	Payment
2021	Oct	\$1,480,833	2021	Oct	\$1,480,833
2021	Nov	\$1,480,833	2021	Nov	\$1,480,833
2021	Dec	\$1,480,833	2021	Dec	\$1,480,833
2021	Jan	\$1,480,833	2021	Jan	\$1,480,833
2021	Feb	\$1,480,833	2021	Feb	\$1,480,833
2021	Mar	\$1,480,833	2021	Mar	\$1,480,833
2021	Apr	\$1,480,833	2021	Apr	\$1,480,833
2021	May	\$1,480,833	2021	May	\$1,480,833
2021	Jun	\$1,480,833	2021	Jun	\$1,480,833
2021	Jul	\$1,480,833	2021	Jul	\$1,480,833
2021	Aug	\$1,480,833	2021	Aug	\$1,480,833
2021	Sept	\$1,480,833	2021	Sept	\$1,480,833
Total		\$17,770,000	Total		\$17,770,000

Payments are defined as increases to the amount of funds available from the federal SRF capitalization grant. This draft payment schedule is based on the State's projection of binding commitments and disbursements from the SRF to the members of the SRF project list. The disbursement schedule will essentially coincide with the grant payment schedule as ACH draw requests will be processed only upon submittal of payment requests from loan recipients for actual costs incurred. Funds from the ACH will be disbursed to the recipient immediately. The disbursement of funds will be in proportion to the amount of state and federal funds provided by the grant and state match. This will be ensured by disbursing all state match funds prior to drawing capitalization grant funds for project disbursements.

**C. Capitalization Grant Budget Periods:**

2020 EPA CWSRF Capitalization Grant

October 1, 2020 through September 30, 2024

# **Attachment 1**

**Attachment 1 - Project Priority List**

County Served	Applicant Name	NPDES Permit Number(s)	Priority Point Rank	Assistance Amount	Subsidization Amount (Principal Forgiveness)	* GPR Component Costs	* GPR Type	* GPR Categorical Project	Estimated Construction Start Date
Conecuh	City of Evergreen - Supplemental		Supp	\$350,000					
Cullman	Cullman, Utilities Board of The City of - Supplemental	AL0050423	Supp	\$5,500,000					
Mobile	Mobile - MP supplemental	AL0023094 AL0023086 ALSI9949612	Supp	\$36,000,000					
Calhoun	Anniston Water Works & Sewer Board - SUPPL	AL0022195	Supp	\$16,500,000		\$5,094,417	Water/Energy Efficiency	Y	
Marshall	Arab Sewer Board - SUPPL	AL0056626	Supp	\$3,500,000		\$17,931,500	Water Efficiency	Y	
Lauderdale	Florence, City of	AL0023884	180	\$7,500,000		\$1,433,000	Energy Efficiency	Y	10/1/2020
Randolph	Wedowee, Town of	AL0024171	160	\$1,010,000					4/1/2021
Jackson	Scottsboro Water, Sewer & Gas Board	AL0031372	155	\$5,000,000		\$6,787,641	Water/Energy Efficiency	Y	3/1/2021
Baldwin	Daphne, Utilities Board of the City of	AL0027561	145	\$4,800,000		\$1,700,000	Energy/Water Efficiency	Y	9/1/2020
Franklin	Red Bay, The Sewage Disposal Board of the City of	AL0021245	130	\$665,000	\$93,000				4/26/2021
Russell	Phenix City Department of Public Utilities	AL0022209	115	\$9,101,000	\$500,000				7/1/2021
Autauga	Prattville, City of	N/A	115	\$597,000	\$298,000	\$596,440	Green Infrastructure	Y	8/1/2020
Pike	Troy	AL0032310	95	\$2,618,000	\$500,000				7/1/2021
Shelby	Pelham, City of	AL0054666	80	\$1,875,000					1/1/2021
Lauderdale	Lexington, Town of	AL0072834	75	\$500,000					6/1/2021
Talladega	Childersburg Water Works, Sewer & Gas Board	N/A	70	\$774,000	\$386,000	\$773,402	Water Efficiency	Y	3/1/2021
Autauga	Prattville, City of	AL0026654	70	\$3,500,000		\$11,270	Water Efficiency	Y	8/1/2020

**Totals:      \$99,790,000      \$1,777,000      \$34,327,670**

\* Green Project Reserve (GPR) - green infrastructure, water or energy efficiency, or environmentally innovative activities.

## **Attachment 2**

## Attachment II

### **Troy Walnut Creek WWTP Improvements**

The City of Troy proposes improvements to its existing WWTP in an effort to improve the City's ability to manage waste streams. The proposed project consists of upgrades to the existing wastewater treatment facility to sustainably meet near term and long-term NPDES permit requirements. In addition to main trunk line cleaning, the following improvements will be completed at the City's WWTP: construction upgrades to the headworks bypass and oxidation ditch splitter box, installation of a backup generator, clarifier rehabilitation, construction of biosolids handling equipment, and the acquisition of additional data collection equipment for the incoming trunk lines.

### **Anniston Choccolocco Creek WWTP Biosolids Improvements and Ft. McClellan WWTP Improvements (Supplemental)**

The Anniston Water Works & Sewer Board proposes a project to provide wastewater treatment improvements to its wastewater collection system and the Choccolocco Creek and Ft. McClellan WWTPs. Proposed improvements at the Choccolocco Creek WWTP will consist of the replacement of odor control equipment and electrical system improvements. The Ft. McClellan WWTP will receive upgrades to the headworks, aeration basins, clarifiers and disinfection facility to meet regulatory compliance requirements. Various pumping station equipment upgrades will also be performed in the wastewater collection system. Completion of all proposed improvements will provide for a more efficient and reliable wastewater treatment system for the Anniston service area by reducing energy and other operational costs while maintaining regulatory compliance.

### **Arab Wastewater System Improvements (Supplemental)**

The Arab Sewer Board proposes a project to provide upgrades to the Gilliam Creek and Riley Maze WWTPs and collection system. Proposed improvements will consist of upgrades to the sludge processing and chlorination facilities as well as the installation of more than 48,000 LF of gravity sewer line associated with both WWTPs. The improvements represent a comprehensive corrective action response to a recent Consent Order for permit violations. Completion of these improvements will provide increased treatment reliability and effluent flow quality to the local surface waters, resulting in permit compliance.

### **Childersburg Sewer System Improvements**

The City of Childersburg proposes a project to improve the existing stormwater drainage system in the city. Proposed improvements (primarily in the southwestern portion of the city) will consist of construction of a stormwater retention pond and installation of larger stormwater drainage piping with related appurtenances. Completion of these improvements will significantly reduce residential flooding due to the increased pipe size. Moreover, residential properties, creeks and the Coosa River will experience reduced silt and chemical accumulations from reduced stormwater overflows and runoff.

### **Evergreen Wastewater Treatment Plant Upgrade (Supplemental)**

The City of Evergreen proposes to upgrade the wastewater treatment plant to provide additional treatment. Improvements include rehabilitating the inside of the lagoon dikes, replacement of aerators with energy efficient aerators, addition of a dissolved air flotation unit for effluent treatment, cleaning primary cells, replacement of lagoon inlet piping, and replacing inlet pump station with an energy efficient pump station. Completion of these improvements will enable the treatment plant to meet the current NPDES permit requirements and eliminate the violations which have been occurring, provide more efficient treatment, prevent deterioration of the lagoon dikes, and improve the quality of the effluent.

## **Attachment II**

### **Pelham 2020 Wastewater Collection System Improvements (Multi-Year Capital Plan)**

The City of Pelham proposes a project to clean and rehabilitate its sanitary wastewater collection system. The proposed improvements will consist of system-wide TVI (television video inspection) of gravity sewer pipes and manholes in developing a comprehensive database integrated with The City's GIS (Geographic Information System) network. System deficiencies deemed priorities will be repaired immediately. Other deficiencies will be catalogued individually based on geographic area, whereby repairs can be planned regarding area, budget, timing and priority for the most cost-efficient approach to improvement. Most repairs will be performed in-place and will be coordinated with The City's paving program to further minimize costs with the least disturbance to newly paved streets. Completion of these improvements will allow The City to maintain regulatory compliance by significantly reducing high volumes of I/I (Inflow/Infiltration) with heavy rainfall events. Moreover, this systematic approach will allow for the retirement of existing sewer system bond debt and should minimize cost effects on the current sewer rate structure.

### **Scottsboro Wastewater System Improvement Project**

The Waterworks, Sewer & Gas Board of the City of Scottsboro proposes a project to provide upgrades to its wastewater treatment system for improved system operation and regulatory compliance. Proposed improvements will consist of the installation of a new pump in the Bob Jones Lift Station. Also, to improve the hydraulic capacity of the Scottsboro Southside WWTP (Wastewater Treatment Plant), a new 24-inch force main will be constructed parallel to the existing Bob Jones Force Main to WWTP. These improvements will allow the pumps to function in a cyclical fashion instead of continuous operation, allowing the new pump to provide standby service. Likewise, the WWTP will experience hydraulic process improvement, including decreased flooding, inaccurate flow directions and inadequate disinfection with the improved lift station pumping system. Various electrical system improvements will also be performed at both facilities to accommodate the proposed improvements, including replacement of the existing back up power supply at the lift station. Lastly, the proposed project will include the diversion of wastewater currently being treated at the Goosepond Island WWTP to the Scottsboro Southside WWTP if preliminary evaluations and studies are conclusive. Completion of the proposed improvements fulfill a portion of The Board's long-range improvement plan per enforcement action imposed by The Department. Overall, the improvements will address excessive SSOs (sanitary sewer overflows) due to excessive I/I (Infiltration/Inflow) of much-deteriorated sewer collection lines from significant wet weather events. Disinfection compliance violations will also be significantly reduced.

### **Daphne Various WRF & Sanitary Sewer System Improvements**

The Utilities Board of the City of Daphne proposes a project that will improve infrastructure and operations at the Daphne Utilities Water Reclamation Facility. Proposed improvements include replacement of manual bar screen, UV disinfection upgrades, new filtration equipment, vortex grit system, and a collection system rehab. This will help rehabilitate aging infrastructure in the sanitary sewer collection system and assist with I & I reduction.

### **Red Bay Sewer Line Rehabilitation**

The Sewage Disposal Board of the City of Red Bay proposes a project to improve and rehabilitate the existing gravity trunk sewer lines in its sewer system. The proposed improvements will consist of replacement of 2,000 L.F. of gravity sewer lines and manholes, construction of new manholes, sewer service reconnections, sewer lateral reconnection, and upgrades to the control panel at the lagoon. Completion of this proposed project will reduce the inflow/infiltration (I/I), reduce oxygen demand at the lagoon and maintain current and future regulatory compliance.

## Attachment II

### **Wedowee Sewer System Improvements**

The Town of Wedowee proposes a project to provide improvements to its sanitary sewer system. Proposed improvements will include sludge removal, land application of biosolids, and new aeration equipment at the Wedowee Lagoon. Additionally, system-wide smoke testing, flow testing, and repairs will be conducted throughout the sewer collection system with point repairs performed as necessary. . Completion of the proposed improvements represent corrective action responses to a recent enforcement action (issued by The Department) for multiple permit violations. Moreover, these improvements will provide increased treatment reliability and effluent flow quality to local surface waters, resulting in The Town meeting current and future wastewater flow demands as well as regulatory compliance requirements.

### **Phenix City Wastewater System Improvements**

The Phenix City Department of Public Utilities proposes a project to provide improvements to Phenix City wastewater systems. The project includes upgrades and expansion of the WWTP in order to expand flow capacity and sewer collection system rehab. The project also includes the installation of approximately 3000 feet of new 24 inch gravity sewer. Improvements will increase treatment capacity and reduce overflows associated with rain inflow and infiltration.

### **Cullman System Improvements(Supplemental)**

The City of Cullman proposes a project to improve and rehabilitate several mini basins that have been identified to be major contributors of rain-dependent inflow and infiltration (I/I). The project is part of a four-year capital improvement plan that will include replacement of 18-inch Derby Creek vitrified clay trunk sewer, rehabilitation of remaining aerial sewers, manhole replacement and rehabilitation, lateral service connections and lining and point repairs. Completion of this proposed project will allow The City of Cullman to maintain regulatory compliance by significantly reducing sanitary sewer overflows (SSO) due to high volumes of I/I with heavy rainfall events.

### **Lexington System Improvements**

The Town of Lexington proposes a project to upgrade four collection sewage lift stations, replacement of aeration system and improvements to sewer system. The proposed improvements will consist of electrical panel upgrades at Lift Station #1 and Lift Station #2, pump and electrical upgrades at Lift Station #4 and Lift Station #5, replacement of aeration system and curtain walls at the lagoon and repair collection sewer lines. Completion of this proposed project will allow the Town of Lexington to maintain current and future regulatory compliance and reduce inflow/infiltration (I/I).

### **Mobile Wastewater Capital Improvement Master Plan (Supplemental)**

The Mobile Board of Water and Sewer Commissioners proposes implementation of Mobile's CWSRF Master Plan Phase I (Years 2019-2023) to include: replacement of dewatering system and construction of new chlorine building at Williams WWTP; addition to Eslava Creek Severe Weather Attenuation Tank (SWAT) storage and conveyance; installation of Williams WWTP to Eslava Creek parallel sewer main; slip-lining of Pre-stressed Concrete Cylinder Pipe (PCCP) Halls Mill Connection to South Broad Street and from South Broad Street to Williams WWTP; refurbishment of existing Three-Mile Creek SWAT Tank; replacement of headworks, renovations to Maintenance Building, replacement of Digester Dome, and additional access driveway at Smith WWTP; and Lift Station SCADA Programming. Proposed improvements will insure continued compliance with existing regulations and demands and provide increased efficiency and dependability to the Board's overall wastewater collection and treatment system.

## Attachment II

### **Prattville Washington Street Sanitary & Storm Sewer Improvements**

The City of Prattville proposes a project that will improve the sanitary sewer collection system and drainage capabilities of the project area. Improvements include replacing the existing sanitary sewer along Washington Street and Easy Street, and installing a new storm sewer in the same area. Improvements will keep roadways from flooding and will ensure necessary rehab of aging infrastructure.

### **Prattville Maple Street Clean Drainage Rehabilitation**

The City of Prattville proposes a project that will improve drainage off of Maple Street in Prattville into Autauga Creek. Proposed improvements include construction of a green drainage system for this street that will include permeable pavement, natural storm water filtration and detention that will keep the roadway from flooding and will ensure that the storm water discharge into Autauga Creek is clean and free of pathogens associated with asphalt roadways.

### **Florence Capital Improvement Plan**

The City of Florence proposes a long range project to upgrade the wastewater treatment plant, replace and rehabilitate lift stations and the collection system. The proposed project will be completed based on priority and the top priority improvements consists of replace influent lift station barscreens, conveyors and mixers, replace lime stabilization and blending units, replace polymer storage and feed system, replace primary scum pumps, lines and strainer, demolish old influent lift station and lagoon generator, install new smaller blowers with VFDs and install new aeration basin mixers at the Cypress Creek Wastewater Treatment Plant, replace concrete sewer lines, replace aerial creek crossings, replacing portions of the Cox Creek, Eastern Industrial Park and Western Industrial Park and Sweetwater Interceptors, upgrade pumps at Veteran's Drive Lift Station; upgrade McFarland Park Lift Station #2 and Briar Cliff Lift Stations. Completion of this project will reduce sanitary sewer overflows (SSO), reduce inflow/infiltration (I/I), maintain current and future regulatory compliance and improve the treatment plant's energy efficiency.

## **Attachment 3**

## Alabama CWSRF A/E Procurement Requirements

*Effective September 30, 2014 for all assistance agreements directly made available from the FY 15 (and later) capitalization grant.*

It is the intent of the Alabama Clean Water SRF program that all assistance recipients select architectural & engineering services based on qualifications of the selected firm, not price. This reinforces Canon IV of the Board of Engineers and Land Surveyors' Code of Ethics, contained in the Board's regulations at 330-X-14-.05 (f):

*The engineer or land surveyor shall not participate in or implement procurement practices (bid submittals) which do not first determine the qualifications of the engineer or land surveyor prior to entering into fee negotiations for services being sought. An engineer or land surveyor having submitted a statement of qualification and performance data, and having first been judged as the qualified individual or firm to provide the services required for the proposed project, may proceed to negotiate a contract with a client and establish compensation or fees for the required services.*

*Should the engineer or land surveyor be unable to negotiate a satisfactory contract with the client for any reason, the engineer or land surveyor shall withdraw from further consideration for the engineering or land surveying services. Another engineer or land surveyor may then be selected for negotiations of a contract for the services on the stated project.*

*Examples include but are not limited to, simultaneous negotiations or solicitation of fee proposals by the client from two or more engineers or land surveyors constitutes "bidding" and participation by a licensee is prohibited.*

Use of a qualifications-based selection is also required by the Alabama Board for Registration of Architects, at 100-X-5-.10:

*Architects are encouraged to seek professional employment on the basis of qualifications and competence for proper accomplishment of the work. This procedure restricts the architect from submitting a price for services until the prospective client has selected, on the basis of qualifications and competence, one architect or firm for negotiations.*

CWSRF assistance applicants are required to certify the following:

1. That the applicant sought the most-qualified firm for professional services, by issuing a Request for Proposals (RFP) or a Request for Qualifications (RFQ).
2. That the applicant made a good faith effort to seek proposals or qualifications from at least 3 firms, as evidenced by a public notice, advertisement, or other appropriate means.
3. That the applicant evaluated the proposals or qualifications and selected a firm based on professional competency, past performance, specialized experience, and other factors deemed critical for success of the project.

4. That only upon making a selection based on qualifications did the applicant negotiate a contract and determine compensation. (If the applicant was unable to negotiate a contract with the most qualified firm, the applicant may then negotiate with the next-most-qualified firm)

## **Attachment 4**

Alabama Clean Water State Revolving Fund  
Additional Subsidization and Affordability Criteria

Effective September 30, 2015

**Purpose:**

This document establishes the additional subsidization and affordability criteria for the Alabama Clean Water State Revolving Fund. The criteria is effective September 30, 2015, and may be modified from time-to-time upon notice.

**Background:**

Section 603(i) of the Federal Water Pollution Control Act states the following:

*Additional Subsidization-*

*(1) IN GENERAL- In any case in which a State provides assistance to a municipality or intermunicipal, interstate, or State agency under subsection (d), the State may provide additional subsidization, including forgiveness of principal and negative interest loans--*

*(A) to benefit a municipality that--*

*(i) meets the affordability criteria of the State established under paragraph (2);  
or*

*(ii) does not meet the affordability criteria of the State if the recipient--*

*(I) seeks additional subsidization to benefit individual ratepayers in the residential user rate class;*

*(II) demonstrates to the State that such ratepayers will experience a significant hardship from the increase in rates necessary to finance the project or activity for which assistance is sought; and*

*(III) ensures, as part of an assistance agreement between the State and the recipient, that the additional subsidization provided under this paragraph is directed through a user charge rate system (or other appropriate method) to such ratepayers; or*

*(B) to implement a process, material, technique, or technology--*

*(i) to address water-efficiency goals;*

*(ii) to address energy-efficiency goals;*

*(iii) to mitigate stormwater runoff; or*

*(iv) to encourage sustainable project planning, design, and construction.*

**(2) AFFORDABILITY CRITERIA-**

**(A) ESTABLISHMENT-**

*(i) IN GENERAL- Not later than September 30, 2015, and after providing notice and an opportunity for public comment, a State shall establish affordability criteria to assist in identifying municipalities that would experience a significant hardship raising the revenue necessary to finance a project or activity eligible for assistance under subsection (c)(1) if additional subsidization is not provided.*

*(ii) CONTENTS- The criteria under clause (i) shall be based on income and unemployment data, population trends, and other data determined relevant by the State, including whether the project or activity is to be carried out in an economically distressed area, as described in section 301 of the Public Works and Economic Development Act of 1965 (42 U.S.C. 3161).*

**(B) EXISTING CRITERIA-** *If a State has previously established, after providing notice and an opportunity for public comment, affordability criteria that meet the requirements of subparagraph (A)--*

*(i) the State may use the criteria for the purposes of this subsection; and*

*(ii) those criteria shall be treated as affordability criteria established under this paragraph.*

**(C) INFORMATION TO ASSIST STATES-** *The Administrator may publish information to assist States in establishing affordability criteria under subparagraph (A).*

**(3) LIMITATIONS-**

**(A) IN GENERAL-** *A State may provide additional subsidization in a fiscal year under this subsection only if the total amount appropriated for making capitalization grants to all States under this title for the fiscal year exceeds \$1,000,000,000.*

**(B) ADDITIONAL LIMITATION-**

*(i) GENERAL RULE- Subject to clause (ii), a State may use not more than 30 percent of the total amount received by the State in capitalization grants under this title for a fiscal year for providing additional subsidization under this subsection.*

*(ii) EXCEPTION- If, in a fiscal year, the amount appropriated for making capitalization grants to all States under this title exceeds \$1,000,000,000 by a percentage that is less than 30 percent, clause (i) shall be applied by substituting that percentage for 30 percent.*

**(C) APPLICABILITY-** *The authority of a State to provide additional subsidization under this subsection shall apply to amounts received by the State in capitalization grants under this title for fiscal years beginning after September 30, 2014.*

*(D) CONSIDERATION- If the State provides additional subsidization to a municipality or intermunicipal, interstate, or State agency under this subsection that meets the criteria under paragraph (1)(A), the State shall take the criteria set forth in section 602(b)(5) into consideration.*

**Discussion:**

On June 10, 2014, the Water Resources Reform and Development Act of 2014 was signed into law. Among the provisions of the Act is the new Section 603(i), which details how a state Clean Water State Revolving Fund (CWSRF) program may provide additional subsidization. It also requires that each program establish an affordability requirement that can be a consideration in granting additional subsidization.

The American Recovery and Reinvestment Act of 2009 was the first time that Congress applied the principle of principal forgiveness to the CWSRF. In response, the Alabama CWSRF program utilized additional subsidization in the form of principal forgiveness as way to construct green infrastructure.

In Alabama, green infrastructure (stormwater) projects are constructed very infrequently, even though stormwater runoff is a major source of pollutants. Many local communities lack a dedicated revenue stream to pay for stormwater projects; thus, the CWSRF program has applied principal forgiveness to these projects in order for them to be economically viable. It is hoped that in time, the success of these projects will encourage the construction of more improvements without the need for additional subsidy. The Alabama CWSRF intends to continue this practice to ensure nonpoint source projects are constructed along with the traditional point source projects.

In previous years, the amount of additional subsidization was set by Congress through the annual appropriations process. The amount available varied from year to year and may have been subject to a minimum or maximum. Under the new 603(i)(3), a state may provide up to a maximum of 30% of its capitalization grant, if the total appropriations equal or exceed \$1.3 billion. The Alabama program elects to provide a maximum of \$1 million per year in principal forgiveness, subject to the 603(i)(3) maximum.

Individual assistance agreements will be subject to a project maximum of 50% principal forgiveness. The project priority list will be used to determine which projects are provided principal forgiveness, starting with the highest-ranked green infrastructure (stormwater) project.

603(i)(2) also requires state CWSRF programs to establish affordability criteria. The criteria *“shall be based on income and unemployment data, population trends, and other data determined relevant by the State”*. Traditionally, affordability has been determined by the CWSRF through a comparison of median household income and annual sewer use charges. The new requirements take a broader approach, focusing more on income and employment of the affected population. In response, the Alabama CWSRF program will utilize the county poverty rate (a measure that compares household income to the number of persons in the household), county unemployment rate, and statewide population trend to determine if a project is affordable. Although this measure will not be used for additional subsidy, it will be tracked and it is hoped that as green infrastructure projects build momentum it may be possible to transition to applying subsidy to projects deemed unaffordable.

**Final Criteria for Additional Subsidy and Affordability:**

Additional subsidy in the form of principal forgiveness shall be made available in a total amount per year not to exceed \$1 million, or the cap set at 603(i)(3), whichever is less. To be eligible for additional

subsidy, the primary purpose of the project must be to construct green infrastructure intended to mitigate or prevent stormwater pollution. Each project may receive a maximum of 50% of the allowable cost in principal forgiveness. Funding will be provided in rank order on the project priority list, until the maximum amount has been allocated.

The Affordability Measure for Alabama will be calculated as the sum of the following:

1. Poverty Rate Value: The poverty rate of the county served by the project minus the statewide poverty rate;
2. Unemployment Rate Value: The unemployment rate of the county minus the statewide unemployment rate; and
3. If the statewide population has increased over the two most recent 10-year census estimates, the population trend value shall be 1; if it has decreased the population trend value shall be 2.

Projects with an Affordability Measure of more than 10.0 are considered unaffordable according to the criteria.

## **Attachment 5**



# Form 340: Clean Water State Revolving Fund Preapplication

The purpose of this preapplication is to gather information concerning potential projects eligible for funding from the Clean Water State Revolving Fund (CWSRF). The CWSRF was established through amendments to the Clean Water Act (CWA) to provide low-interest rate financing for construction of publicly owned treatment works (as defined in Section 212 of the Clean Water Act) or other projects that are designed to improve water quality. This information will be used to develop a priority list of projects that will be eligible for assistance from the CWSRF. 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) 271-7913



Clean Water  
 State Revolving Fund

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	
Population Served by the Project	AL House District(s)	AL Senate District(s)
Names and 12-digit HUC Codes of Watersheds Impacted	NPDES Permit Number of Facility (if applicable)	

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

1. Give a brief description of the proposed project and attach a copy of the preliminary engineering report or environmental information document.
  
2. Give an estimated cost outline for the entire project. If available, give line item breakdowns.
  
3. List all other funding sources to be utilized to complete this project.

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

4. Provide a proposed project schedule.

Activity	Date
Complete Project Planning	
Initiate Project Design	
Plans & Specifications Submitted to ADEM	
Bid Opening	
Notice to Award	
Notice to Proceed	
Start Construction	
Complete Construction	

5. Provide demographic information about the affected community.

Median Household Income	Source/Date
Unemployment Rate	Source/Date
Population Trend Over 10 Years ( $\pm\%$ )	Source/Dates

## Priority Ranking System

The following factors are used to rank the proposed project, and will ultimately determine if it falls in the fundable portion of the priority list. 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 Facility is under formal enforcement action by ADEM and is currently in significant non-compliance. The project will bring the facility into compliance. (A copy of the enforcement order must be attached)	50
2 Project is a voluntary effort to resolve violations and will mitigate the issuance of a formal enforcement action. *	40
3 The facility is currently in compliance with permit limits, but will fall out of compliance 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. Water Quality Improvement Criteria (Maximum: 135 points)

Ranking Criteria	Point Value
1 Project will significantly address water quality standards in a water body that*:	
a) Has an approved TMDL	25
b) Is subject to a draft TMDL, dated 0-2 years from present	15
c) Is subject to a draft TMDL, dated 3-5 years from present	10
d) Is subject to a draft TMDL, dated 6-10 years from present	5
2 Project will implement TMDL(s) for*:	
a) Pathogens (i.e., fecal coliform/E. coli)	5
b) Mercury	15
c) Nutrients (i.e., phosphorous, nitrogen)	10
d) Organic Enrichment/Dissolved Oxygen	5
e) Ammonia (toxicity)	5
f) Siltation (sediment)	15
3	
a) Project will benefit a Category 5 or Category 4 listed water body.	5
b) Project takes place in an EPA-identified priority watershed and reduces/eliminates one or more sources of impairments (point and nonpoint source).*	5
c) Project will improve water quality in an Outstanding Alabama Water (OAW)*.	5
d) Project will improve water quality in an Outstanding National Resource Water (ONRW)*.	5

4	Project will upgrade or replace existing failing or inadequate decentralized wastewater treatment systems, or construct septage treatment facilities that are crucial to the proper operation of decentralized wastewater treatment systems.*	10
5	Project will protect a public drinking water source from contamination that will negatively impact public health.*	15
6	Project will implement a National Estuary Program Comprehensive Conservation Management Plan*	10
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 provide supporting documentation to receive credit.

**C. Water/Energy Efficiency Rating (Maximum: 65 points)**

	Ranking Criteria	Point Value
1	Project incorporates energy efficient design considerations with established objectives and targets for energy reduction opportunities, performed energy audits or developed energy conservation plans.*	5
2	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 POTW.	10
3	Project implements upgrades to pumps and treatment processes which result in: <ul style="list-style-type: none"> <li>a) 20 percent or greater reduction in energy consumption at a POTW.*</li> <li>b) less than a 20 percent reduction in energy consumption at a POTW.*</li> </ul>	10 5
4	Infiltration/Inflow correction projects that save energy from pumping and result in reduced treatment costs, and I/I projects in cases where excessive groundwater infiltration is contaminating the influent. Applicant must attach a detailed analysis that outlines the costs versus savings to reduce Infiltration/Inflow within the collection system to receive credit.	10
5	Projects that incorporate recycling and/or reuse of gray water or wastewater.	20
6	Production of treated effluent for groundwater recharge, industrial operations, or agricultural purposes.	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.		

\*Applicant must provide supporting documentation to receive credit.

**D. Stormwater Management Criteria (Maximum: 50 points)**

	<b>Ranking Criteria</b>	<b>Point Value</b>
1	Project will implement stormwater harvesting and reuse.	10
2	Project incorporates wet weather management systems including: permeable pavement, bioretention, tree plantings, green roofs, rain gardens and other practices that can be designed to mimic natural hydrology and reduce effective imperviousness.	10
3	Project will create riparian buffers, floodplains, vegetated buffers and additional streambank restoration methods.	10
4	Project supports wetland protection or restoration, including constructed wetlands.	10
5	Downspout disconnection to remove stormwater from sanitary sewers and manage runoff onsite.	5
6	Project incorporates green streets for new development, redevelopment or retrofits.	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.		

**E. Agricultural and Nonpoint Source Pollution Criteria (Maximum: 35 points)**

	<b>Ranking Criteria</b>	<b>Point Value</b>
1	Project addresses water quality impacts associated with farming operations by: <ul style="list-style-type: none"> <li>a) Implementing water-saving irrigation systems in farms currently using inefficient watering systems.</li> <li>b) Implementing methods to reduce soil and stream bank erosion.</li> <li>c) Utilizing BMPs including no-till farming practices, rotational grazing, cropland conversion and winter cover crops.</li> <li>d) Utilizing alternative watering sources including effluent or grey water reuse.</li> </ul>	5 10 10 10
2	Project addresses water quality impacts associated with animal feeding operations by: <ul style="list-style-type: none"> <li>a) Developing a Nutrient Management Plan.</li> <li>b) Establishing heavy-use protection areas.</li> <li>c) Implementing onsite waste management systems for manure and poultry litter; including recycling, spreading, and storage systems, and digester gas technologies.</li> <li>d) Utilizing dead bird composters and/or incinerators.</li> <li>e) Implementing BMPs (including exclusion fencing and stream crossings).</li> </ul>	10 5 10 5 5
Circle the point value(s) that apply to the project and enter the total points claimed here (maximum credit 35 points). If none of the above criteria apply, enter zero.		

**F. Sustainability Criteria (90 possible bonus points)**

	<b>Ranking Criteria</b>	<b>Point Value</b>
1	Project incorporates one or more of the following planning methodologies:	
	a) Comprehensive Land Use Plan (must designate areas where public infrastructure will and will not be supported)	5
	b) Asset Management Plan	10
	c) Watershed Management Plan	5
	d) Nutrient Management Plan	5
	e) Nutrient Trading	5
	f) Open Space Preservation	5
	g) Integrated Water Resource Plan that stresses water efficiency, reuse and conservation	5
2	Project includes one or several of the following design considerations:	
	a) Site fingerprinting for minimized landscape disturbance and sustainable landscape design.	5
	b) LEED certified or other ADEM-approved green building techniques for POTWs.	5
	c) Minimizes the environmental and water quality impact of construction through the use of clean fuel construction vehicles, construction waste reduction and other innovative methodologies.	5
	d) Project envelope is located in a previously developed area.	5
	e) Use of environmentally friendly post-consumer recycled or reclaimed materials.	5
3	Project implements 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	Project will utilize one or more of the following water conservation strategies:	
	a) Development of a water conservation program.	5
	b) Incorporates sustainable water pricing practices and rate structures.	10
	c) Completion of EPA's Water Quality Scorecard (see <a href="http://www.epa.gov/smartgrowth/water_scorecard.htm">http://www.epa.gov/smartgrowth/water_scorecard.htm</a> ).	5

Circle the point value(s) that apply to the project and enter the total points claimed here (maximum bonus credit 100 points). If none of the above criteria apply, enter zero.

--

**G. Growth Criteria (50 possible bonus points)**

	<b>Ranking Criteria</b>	<b>Point Value</b>
1	Project includes a significant growth component. (See instructions)	0
2	Project does not include a significant growth component. (See instructions)	50

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: Water Quality (135 points maximum)	
Part C: Water/Energy Efficiency (65 points maximum)	
Part D: Stormwater Management (50 points maximum)	
Part E: Agricultural/Non-Point Source (35 points maximum)	
Part F: Sustainability (90 bonus points maximum)	
Part G: Growth (50 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/Environmental Information Document – 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, including all affected water bodies.
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 Drinking Water State Revolving Fund projects. Use Form 370.

The Clean Water State Revolving Fund is only open to public bodies. This includes any county, state agency, incorporated city or town, or their instrumentality created by or pursuant to state law and having jurisdiction over the disposal of sewage, industrial wastes, or other wastes. It also includes a combination of two or more of the foregoing having such jurisdiction.

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

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: Shades Creek Streambank Restoration Project.

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

**Applicant:** Enter the name of the public body that will be the recipient of CWSRF 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.

**Population:** Enter the population served by the applicant. If the project does not benefit the entire service area, also enter the actual population served by the project.

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

**HUC Codes:** Enter the 12-digit HUC codes for all water bodies impacted by the project. For information on where to find HUC codes, please visit [adem.alabama.gov/programs/water/srf.cnt](http://adem.alabama.gov/programs/water/srf.cnt).

**NPDES Permit Number:** If the project involves an NPDES-permitted facility, enter the permit number. This would include improvements to collection systems that feed wastewater treatment plants.

## PAGE 2

- 1. Project Description:** Provide a brief description of the proposed project (one paragraph or less). For infrastructure projects including POTW's, a copy of the preliminary engineering report or EID 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.
- 2. Cost Outline:** Provide estimated costs for all project components. Give as much detail as possible.
- 3. Other Funding:** If funding sources other than the CWSRF will be used to finance any portion of the project costs, provide the name(s), amount(s), and any available commitment dates.

4. **Project Schedule:** Provide an estimated project schedule (for planning purposes, you may assume that the CWSRF 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.
5. **Demographic Information:** Provide median household income, unemployment rate, and population trend for the affected community, including 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, and also to determine project affordability.

PAGE 3

- A. **Enforcement and Compliance Rating Criteria:** To qualify for credit, the project must improve or replace an ADEM-permitted facility. For the maximum point value of 50, the project must be in significant noncompliance with effluent limitations and under a formal enforcement action including a notice of violation, consent order, administrative order, or litigation. 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 permitted facility within its permit limits. All other projects will be awarded zero points.
- B. **Water Quality Improvement Criteria**
  1. For projects to receive credit for this criterion, the primary purpose of the project must be to improve water quality in a receiving stream that is subject to an approved TMDL, or is subject to a draft TMDL as listed. See [adem.alabama.gov/programs/water/srf.cnt](http://adem.alabama.gov/programs/water/srf.cnt) for more information.
  2. To receive credit, the project must implement a TMDL as listed. Attach documentation that shows the project will significantly reduce pollutants for one or more of the pollutants shown.
  3. See [adem.alabama.gov/programs/water/srf.cnt](http://adem.alabama.gov/programs/water/srf.cnt) for information on listed water bodies.

PAGE 4

4. To receive credit, the applicant must provide documentation showing the condition of decentralized systems to be upgraded or replaced. To receive credit for septage facilities, the primary purpose of the project must be to address the proper operation of decentralized facilities by constructing septage treatment plants. The upgrade or construction of wastewater treatment plants for reasons not directly linked to the proper operation of decentralized facilities will receive no credit for this criterion.
5. To receive credit for this criterion, the applicant must provide documentation that the project will remove a significant risk of contamination to a public drinking water source that will negatively impact public health.
6. The applicant must provide a letter of support/concurrence for the project from the Mobile National Estuary Program or other documentation from the Mobile NEP that clearly shows the project will implement a National Estuary Program CCMP.
- C. **Water/Energy Efficiency Rating**
  1. Be sure to include a copy of the audit or plan for credit.
  2. The renewable energy project must be owned by the Publicly-Owned Treatment Works.
  3. Energy savings must be at a POTW only. 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.
  4. For I/I projects to receive credit, there must be a cost-effectiveness analysis attached that shows the reduced energy costs over the design life equal or exceed the total cost of the project.
  5. Water recycling or reuse must be a primary objective of the overall project to receive credit.
  6. To receive credit, the applicant must have applicable commitments and approvals necessary to use the treated effluent for groundwater recharge, industrial operations, or agricultural purposes. Merely providing sufficient treatment for the speculative use of effluent will not receive credit.

PAGE 5

- D. **Stormwater Management Criteria:** The practices listed must be a primary purpose of the project to receive credit. Incidental use of the practices will not receive credit.
- E. **Agricultural and Nonpoint Source Pollution Criteria:** The practices listed must be a primary purpose of the project to receive credit. Incidental use of the practices will not receive credit.

PAGE 6

- 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.
- G. **Growth Criteria:** If the project includes any of the following components, enter a point value of 0:
- New (not a replacement) wastewater treatment plant (excluding decentralized systems).
  - Upgraded/expanded/replacement wastewater treatment plant where the purpose of the project is to increase the design flow or projects where the design flow of the facility incidentally increases by more than 20%.
  - Collection system improvements that increase design flow (excluding rehabilitation projects where the original design flow is restored).
  - New or expanded collection systems.
  - Any POTW project that serves future growth.

If none of the criteria above apply, the project will be awarded points as shown.

PAGE 7

Enter the points claimed from A. through G. 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.