



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.		<input type="text"/>

*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"> a) 20 percent or greater reduction in energy consumption at a POTW.* b) less than a 20 percent reduction in energy consumption at a POTW.* 	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.		<input type="text"/>

*Applicant must provide supporting documentation to receive credit.

D. Stormwater Management Criteria (Maximum: 50 points)

	Ranking Criteria	Point Value
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)

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

	Ranking Criteria	Point Value
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 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 100 points). If none of the above criteria apply, enter zero.

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G. Growth Criteria (50 possible bonus points)

	Ranking Criteria	Point Value
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.

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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.

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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.

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.

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- 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.

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- 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 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 for information on listed water bodies.

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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.

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- 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.

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- 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.

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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.