

State of Alabama
Alabama Department of Environmental Management
Clean Water State Revolving Fund (CWSRF) Loan Program



Loans and Operator Certification Section
 Permits and Services Division
 Alabama Department of Environmental Management
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Clean Water
State Revolving Fund

Pre-Application Form

This form must be received by December 31st, to be considered for funding.
 Please refer to the attached instructions when completing this form.

Project Name	Loan Amount Requested \$
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Applicant	County
Name and Title of Contact Person	Telephone
Street Address or Post Office Box	FAX
City, State, and Zip	Email

Consulting Engineer	Telephone
Firm	FAX
Street Address or Post Office Box	Email
City, State, and Zip	

ADEM FORM 340 m1 11/06

Please break down the total project costs in percentages according to the needs categories which best describe your project (see instructions for descriptions of needs categories; sum of categories should equal 100%):

_____ %	Secondary Treatment (Category I)
_____ %	Advanced Treatment (Category II)
_____ %	Infiltration/Inflow Correction (Category IIIA)
_____ %	Replacement/Rehabilitation of Sewers (Category IIIB)
_____ %	Collector Sewers (Category IVA)
_____ %	Interceptor Sewers (Category IVB)

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. (See instructions.)

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

3) Please list all funding sources that to be utilized to complete this project. List each source and funding amount. (If a commitment has been secured from any of these funding sources, list the commitment date and attach a copy of the commitment letter.)

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

4) What is the proposed project schedule? If actual dates are available, please include them in the appropriate column.

Activity	Proposed Dates	Actual Dates
Complete Project Planning		
Initiate Project Design		
Plans & Specs Submitted to ADEM		
Bid Opening		
Notice to Award		
Notice to Proceed		
Start Construction		
Complete Construction		

If the proposed project involves more than one construction contract, please attach schedules for each construction contract.

ADDITIONAL INFORMATION

Please provide responses to the following questions. This information must be provided to include the project in the CWSRF Priority List for funding.

For projects constructing new wastewater treatment facilities:

Name of water body receiving treated waste discharge: _____
 Design flow rate of new facility (MGD) _____
 Sewered population to be served by the new facility: _____
 NPDES permit number for the new wastewater treatment facility, if issued: _____
 If an NPDES permit has not been issued, enter date that permit application was submitted to ADEM for processing: _____

All other projects:

Name of treatment facility most impacted by this project¹: _____
 NPDES permit number of the wastewater treatment facility most impacted by this project¹: _____
 Estimated population served by the wastewater treatment facility most impacted by this project¹: _____
 If the project involves new sanitary sewers, give the population affected by failed septic systems (noted by local Health Department as "health hazards") that, as a result of this project, will be connected to sanitary sewers²: _____
 For new sanitary sewers, enter the estimated flow to be added to the wastewater treatment facility: _____
 For new sanitary sewers, enter the estimated BOD₅ loading (ppd) to be added to the wastewater treatment facility: _____
 Estimated amount of septage discharged to wastewater treatment facility, in gallons per day³: _____
 If the project includes work to address sanitary sewer overflows (SSOs), please enter the percentage of the total loan amount addressing this concern: _____

¹ If the project addresses more than one facility, select the one scheduled to receive more improvements in dollars by this project. Even if no improvements to the facility itself are planned, select the one that will receive increased flows from new sewers, decreased flow from sewer rehabilitation, or any other collateral benefit or impact.
² If no data is available from surveys, the consulting engineer may estimate this figure.
³ This information is used by ADEM to determine population equivalents.

Signature of Authorized Representative	Print or Type Name
Title	Date

This form should be signed by the person who is authorized to execute contracts on behalf of the applicant jurisdiction. A resolution or certified copy of the minutes of the meeting, at which the submission of this pre-application was authorized, should also be attached. **THREE SIGNED COPIES** should be mailed to the address shown on Page 1 of this form.

CWSRF PRE-APPLICATION FORM INSTRUCTIONS

Applicant should be the legal name of the jurisdiction filing the form.

The contact person should be the person that the Department or Authority may contact should questions arise over information that has been submitted.

The project cost percentages indicated should be calculated as a percentage of the total loan amount requested, and should include engineering costs and contingencies if these costs are requested for funding. These percentages should sum to 100%.

Needs Categories are used to designate the categories of projects that are potentially eligible for Federal financial assistance under the Clean Water Act. The valid Needs categories are as follows:

- Secondary Treatment (Category I): The minimum level of treatment which must be maintained by all treatment facilities, except those facilities granted waivers under Section 301(h) of the Clean Water Act. Treatment levels are specified in terms of the concentration of conventional pollutants in the wastewater being discharged from a facility. Secondary treatment requires an 85 percent reduction in conventional pollutant concentration in the wastewater treated by a facility. Typically, an NPDES permit will include limits of 30/30 (BOD₅ and TSS concentration) Needs reported in this category are necessary to attain secondary treatment. Needs to attain incremental reductions in conventional pollutant concentrations beyond secondary treatment requirements are included in Category II.
- Advanced Treatment (Category II): A level of treatment more stringent than secondary treatment. Advanced treatment requires greater than 85 percent reduction in conventional pollutants, or a significant reduction in non-conventional pollutants present in the wastewater treated by a facility. Needs reported in this category are necessary to attain incremental reductions in pollutant concentrations beyond basic secondary treatment.
- Infiltration/Inflow Correction (Category IIIA): The penetration into a sewer system of water other than wastewater from the ground through such means as defective pipes or manholes (infiltration) or from sources such as drains, storm sewers, and other improper entries into the system (inflow). Included in this category are costs for correction of sewer system infiltration/inflow problems. Costs also are reported for preliminary sewer system analysis and for detailed sewer system evaluation surveys.
- Replacement/Rehabilitation of Sewers (Major Rehab) (Category IIIB): Reinforcement or reconstruction of structurally deteriorating sewers. This category includes cost estimates for rehabilitation of existing sewer systems beyond those for normal maintenance. Costs are reported if the corrective actions are necessary to maintain the structural integrity of the system.
- Collector Sewers (Category IVA): Pipes used to collect and carry wastewater from an individual source to an interceptor sewer that will convey the wastewater to a treatment facility. This category includes the costs of constructing new collector sewer systems and appurtenances.
- Interceptor Sewers (Category IVB): Major sewer lines receiving wastewater flows from collector sewers. The interceptor sewer carries wastewater directly to the treatment plant or to another interceptor. This category includes costs for constructing new interceptor sewers and pumping stations necessary for conveying wastewater from collector sewer systems to treatment facilities or to another interceptor.

Question 1: The narrative of the project should clearly define the scope of the proposed project. Additionally, a brief engineering report should be attached to the pre-application form. An engineering report is defined as a project analysis which includes flow projections, population projections, estimated costs of wastewater treatment and transport works and any other information pertinent to the proposed project.

Questions 2 & 3: These responses should demonstrate to the Department that overall project financing has been given thorough consideration. In addition, if more than the CWSRF loan will be used to finance the project please indicate each source and the amount of funds. For each source identified also indicate whether or not a funding commitment has been received. (If a commitment has been received, please list the commitment date and attach a copy of the commitment letter.)

Recommended Preliminary Engineering Report Outline:

A. EXISTING ENVIRONMENT

1. Location of the Project Area(s).
 - a. With relation to the City/Town/Service Area.
 - b. With relation to the County and State borders.
 - c. In relation to the nearest metropolitan statistical area.
 - d. Plotted on the most current USGS Quadrangle Map (with the name, number, scale and revised date of the quadrangle used).

B. EXISTING FACILITIES

1. Name, type and NPDES compliance status of all WWTFs that will be treating wastewater from this project.
2. Number of residents served and number of residents not served by public sewer system.
3. Name and type of industrial users served by public sewer with amount of wastewater treated (daily average). Discuss any impacts due to industrial loading.
4. Approximate disposition of existing collection and interceptor lines.

C. NEED FOR PROPOSED FACILITIES

1. Documentation of public health problems that will be corrected by the proposed project.
 - a. From the local public health agency, concerned citizens, ADEM, other governmental agencies, or the Consulting Engineer. (Examples include fish kills, on-site septic system failures, well contamination, Infiltration/Inflow or Sanitary Sewer Overflow occurrences)
2. Lack of treatment capacity.
 - a. Include need(s) to increase capacity and a discussion of historical (seasonal) flow data.
3. Lack of treatment capability/quality, to include:
 - a. Discussion of NPDES violation to which the City/Town/Board/Authority is a party.
 - b. Discussion of any Administrative or Consent Order to which the City/Town/Board/Authority is a party.

D. PROPOSED FACILITIES AND PROPOSED FUNDING

1. Proposed Facilities
 - a. Wastewater Treatment Facilities (WWTFs) to be constructed/upgraded/modified/affected.
 - I. Include average daily flow for both current and design years.
 - II. Include daily peak and minimum flow for both current and design years.
 - III. Include expected influent and effluent characteristics (BOD, TSS, DO, etc.) for both the current and design years to include any special considerations (extreme PH, high Ammonia, etc.).
 - IV. Identify the receiving stream and watershed, if new WWTF.
 - V. Identify any land that must be obtained in order to construct/modify facility.
 - VI. Identify the method of sludge disposal and any items to satisfactorily carry out the disposal (purchase more land, new permits for landfilling, etc.)
 - VII. Delineate any or all steps that have been, or will be, taken in order to comply with Part 503, The Standards for the Use or Disposal of Sewage Sludge and other requirements, as necessary.
 - b. Include good Vicinity Map(s) that
 - I. Clearly show(s) the project area(s) in relation to nearby roads and streets.
 - II. Include(s) a North Arrow and Graphical Scale.
 - III. Clearly show(s) the location of the project area(s) by coordinates (State Plane Coordinates NAD83 (92 Corrections) or Metes and Bounds tied to the Rectangular Grid system of the State of Alabama or UTM Coordinates.