

Village Safe Water Capital Improvement Project Application Application Instructions for Construction Projects

- The CIP “Application” for construction funding is only a few pages long and consists mainly of applicant contact information and a list of attachments.
- Most required information is found in the “Sanitation Needs Report” for the community, which is available on the Village Safe Water website.
- The Sanitation Needs Report is generated automatically from data in the Sanitation Deficiency (SDS) System, and all of the information included in the Sanitation Needs Report has already been entered by agency engineers, consulting engineers, or community representatives into the SDS system.

To apply for construction funding:

- Review the Eligibility Requirements, and make sure that all the requirements are met, or will be met, by the application deadline.
- Print and review the information included in the Sanitation Needs Report for your community. Your Sanitation Needs Report can be viewed or obtained:
 - Through the VSW CIP website
 - By calling the agency engineer assigned to your community
 - By calling VSW at (907) 269-7502

The first section of the Sanitation Needs Report includes information about the sanitation project needs in your community. The last section provides operation and maintenance capability information about the existing water and sewer system in your community.

- If you are submitting an electronic application, you will be asked to select a project from the Sanitation Needs website.
- If you are submitting a paper application, the Sanitation Needs Report for your community must be attached to the Capital Improvement Project Application for Construction Projects.
- **Applications and all required attachments must be received before 5:00 p.m. on the application deadline.**
- There are THREE WAYS applications can be submitted:
 - ✓ Electronically, via the Online Application System accessible through the VSW website. (Electronic applications are encouraged.)
 - ✓ In person – Drop off the application package, including all attachments, at the address provided below.
 - ✓ Mail the application package, including all attachments, to the address provided below.
- Faxes will not be accepted.
- Submit applications in person or by mail to:

*Village Safe Water Program
Attention: CIP Application
555 Cordova Street, 4th Floor
Anchorage, AK 99501-2617*

Application Scoring

- All applications received before the deadline will be considered for scoring by applying the eligibility criteria. All eligible applications will be scored.
- A scoring committee will score the applications according to established scoring criteria. The scoring committee is made up of representatives from the Alaska Department of Environmental Conservation Village Safe Water (VSW) Program, the Alaska Department of Commerce Community and Economic Development, the US Environmental Protection Agency, the US Department of Agriculture Rural Development, the Indian Health Service, and the Alaska Native Tribal Health Consortium (ANTHC).
- Preliminary scores will be provided by mail to the applicant contact and by e-mail to the current agency engineer (VSW or ANTHC) assigned to the community. Scores will not be provided to consultants.
- If the applicant believes that a scoring error has occurred, they will be provided with an opportunity to inform VSW about the potential error. Only information submitted with the original application will be considered when finalizing the application score.
- The scoring committee will consider information about potential errors and will provide a final score to the applicant.

Eligibility Requirements for Construction Applications

Eligibility Criteria for All Applications

1. To be eligible for funding under the Village Safe Water Program, the applicant must be:
 - an *unincorporated community* with between 25 and 1000 people;
 - a *first class or home rule city* with not more than 1000 residents; or
 - a *second class city or Metlakatla* (no population limit).
2. Applications must be complete and include all required attachments.

Eligibility Criteria for All Construction Projects

1. Communities with a project on the Multi Year Priority List are not eligible to apply for additional funding. (The current Multi Year Priority List is posted on the VSW web site.)
2. A Management Capacity Assessment must be completed by the Rural Utility Business Advisor (RUBA) program, and all *Essential Indicators* must be met by the application deadline for an application to be considered eligible for construction funding.
3. The project being requested, when construction is complete, must fund only fully functional facilities that provide improved water/sewer or solid waste services to existing, year-round occupied homes.
4. The funding request must be limited to water/sewer facilities OR solid waste facilities. Funding requests for a combination of water/sewer and solid waste facilities will not be scored.

5. Sanitation Facilities Planning Information (required to establish eligibility)

If the total estimated cost of the requested funding is greater than \$2 million, the scope of the funding request must be included in a *current, completed, and approved* planning document, that is, Preliminary Engineering Report (PER), Feasibility Study, or Master Plan.

- ✓ “Current” means the conditions, costs, and decisions included in the plan are still valid.
- ✓ “Completed” means the plan is final and published.
- ✓ “Approved” means the plan is listed on the approved plan list on the VSW website.

If your community has not completed a plan and is requesting \$2 million or more, you are encouraged to apply for planning, not construction, funds.

In addition, the following attachments must be included with the application:

- **A copy of the Executive Summary or Recommended Alternative Section** - from a *current, completed* Preliminary Engineering Report, feasibility study, or master plan and
- **A Letter of Approval** from VSW - for the planning document (*if the document is not currently listed on the Approved Plan List posted on the VSW website*).

If your community is requesting less than \$2 million and a plan has not been written for the project, you are encouraged to apply for both planning and construction funds. For information on planning requirements, see *Information about Village Safe Water Planning Requirements*.

Application Instructions for Construction Projects

Community Name: The name of the community where the facilities will be constructed.

Applicant: The name of the city, tribe, or organization applying for project funding. This will normally be the owner and operator of the facilities being requested. Please review the eligibility criteria provided with these instructions.

Community Contact & Title: The name and title of the person responsible for this grant application. This must be a representative (employee or elected official) of the applicant.

Address: The applicant's mailing address.

Phone: Contact phone number for the person filling out the application.

Fax: Contact fax number for the person filling out the application.

Email: E-mail address for the person filling out the application, if one is available. *This is where the preliminary score will be sent.* Preliminary scores will also be sent to the current agency engineer (VSW or ANTHC) assigned to the community.

If there is no e-mail address available for the Applicant Contact, simply state "none available". Do not provide an e-mail address for a consultant.

Sanitation Facilities Planning Information

Indicate whether the requested funding for your community exceeds \$2 million.

If the answer is "Yes", the scope of your funding request must be included in a *current, completed* Preliminary Engineering Report (PER), feasibility study, or master plan for your application to be considered eligible.

- ✓ "Completed" means the plan is final and published.
- ✓ "Current" means the conditions, costs, and decisions included in the plan are still valid.

If your community has not completed a plan, you are encouraged to apply for planning funds.

If your community is requesting less than \$2 million and a plan has not been written for the project, you are encouraged to apply for both planning and construction funds. For information on planning requirements, see *Information about Village Safe Water Planning Requirements*.

Application Instructions for Construction Projects (continued)

Instructions for List of Attachments

- Provide a complete list of all attachments (and number of pages) included with this application.
- The table identifies each of the attachments required for all applications – please provide the number of pages for each of these required attachments.
- In addition to the required attachments, list all other attachments, along with the associated number of pages.

Paper applications require the following attachments:

- **The Sanitation Needs Report for your community** -- This report includes the scope description and cost estimate for all sanitation facility needs in your community, and indicates which projects are included in this year's funding request.

Information in the Sanitation Needs Report was entered by the agency project engineer assigned to your community.

The Sanitation Needs Report for your community can be obtained by calling the agency engineer assigned to your community or, on the internet, via the VSW website.

Sanitation Needs Reports and lead agency project engineer assignments can also be requested by calling (907)269-7502. Reports can be e-mailed or faxed to communities.

- **A map showing proposed facilities** – At a minimum, the map must be 8½" x 11", reproducible quality, include a north arrow, and identify existing and proposed facilities.

Electronic applications require the following attachments:

- **A map showing proposed facilities** – At a minimum, the map must be 8½" x 11", reproducible quality, include a north arrow, and identify existing and proposed facilities.

If funding needs exceed \$2 million:

If the funding requested exceeds \$2 million, the following additional attachments must be included with the application:

Application Instructions for Construction Projects (continued)

1. **A copy of the Executive Summary or Recommended Alternative Section** - from a *current, completed* Preliminary Engineering Report, feasibility study, or master plan and
2. **A Letter of Approval** from VSW - for the Preliminary Engineering Report, feasibility study, or master plan (*if the planning document is not currently listed on the Approved Plan List posted on VSW website*).

The following attachments are required for specific points to be awarded:

- **Documentation of the Collection Rate** - To receive Collection Rate points.
- **Documentation of any facility-related, regulatory compliance needs** – For Tier B (Regulatory Compliance) Health Impact points to be awarded. An example is a letter or Notice of Violation from ADEC concerning the deficiency.
- **Written description of the water and sewer facilities in your community** - If existing facilities in your community consist of no more than a washeteria, honey buckets, and/or individual household wells and septic systems, in order to receive all possible O&M points.

Page 4: Other Information

The information requested on this page is available from the project engineer assigned to work with your community.

Related Projects: Information about the relation of this project to any non-sanitation infrastructure projects

- Briefly describe any other infrastructure projects (not water, sewer or solid waste projects) with approved funding that are closely related to this project.
- Examples might include a boardwalk project associated with a water/sewer haul system, or a housing project associated with water and sewer service lines.
- Information must include scope, total cost, funding source and construction schedule.

Ongoing Funding: Information about any other ongoing sanitation facility construction projects

- Provides information about any fully-funded construction scheduled for the next calendar year construction season.
- Information must include scope, total cost, and source of funding.

Guide to Your Community Sanitation Needs Report

Section 1 of Sanitation Needs Report: Sanitation Project Needs

This section of the Sanitation Needs Report may be comprised of several pages, and includes information about the needs, houses to be served, estimated costs, and related projects for each individual project phase.

Project/Phase Name: A descriptive title for the specific project for which funding is requested.

Existing Deficiencies (Project Needs)

- Explanation of why this project is needed. This does not describe the scope – the scope description is provided below.
- Includes specific system deficiencies, pollution hazards, and/or public health risks that the project will address.

Proposed Facilities (Overview of Proposed Project Scope)

- Provides a broad sketch of the scope of this project.
- Specifies the individual scope items which are included in the cost table.

Section 2 of Sanitation Needs Report: Cost Estimate

This table lists the scope items, health impacts, and the total cost associated with the project.

- **Scope Item** Uses only the scope items provided in the Sanitation Deficiency System application. General construction costs associated with administration, freight, mobilization, etc. are distributed proportionately among these scope items.
- **Quantity:** Lists the number of units (linear feet, gallons, feet, etc.) associated with each scope item.
- **Units:** Lists the type of units associated with each scope item.
- **Total Cost** (of the entire project).
- **Health Impact Tier**
 - ✓ Lists only one of the public health improvement impact tiers for each scope item included in the table.
 - ✓ If more than one health impact tier applies to a single scope item, lists the one that fits best. (Any code can be used for water and sewer improvements, but only “D” can be used for solid waste facility improvements.)
 - ✓ Documentation is required for any Tier B (Regulatory Compliance) Health Impact outcomes points to be awarded.

Description of Health Impact	Health Impact Tier
First Service: Majority of project costs are associated with providing fully piped, closed haul, or onsite water and wastewater service to homes not previously served at the proposed service level.	A
Regulatory Compliance: Majority of project costs are associated with addressing “verified” facility-related regulatory compliance. (DEC drinking water or wastewater program verification required)	B
Essential Upgrades: Majority of project costs are associated with water/sewer system upgrades or replacement of existing system components that have exceeded their capacity or design life, resulting in present and continuous compromises in health benefits of system and representing a clear and substantial health hazard.	C
Beneficial Upgrades: Majority of project costs are associated with upgrades to increase operational efficiencies or system component upgrades that address intermittent compromises affecting the health benefits of the system. Includes all solid waste improvements.	D
Desired Upgrades: Majority of project costs are associated with upgrades that are not considered “Essential Upgrades” or “Beneficial Upgrades” as defined above.	E

Last Section of Sanitation Needs Report: O&M Capability Criteria

This section of the Sanitation Needs Report contains information about the Operation and Maintenance capability indicators for your community.

- Communities with systems that do not require operators and managers (e.g. individual wells and septic systems) will receive maximum points for O&M Capability criteria, **only if a written description of the water and sewer facilities in your community is attached to the application**. Please name this attachment “**Existing Facilities**” if included.

Operator Certification:

Primary Operator Water Treatment Certification

- Name of the Primary Operator for your water/sewer utility - This is the operator with primary responsibility for your water/sewer utility, and he must be currently employed.
- Current Certification Number held by your Primary Operator – The State of Alaska certification must have been awarded on or before the application deadline.
- Level of Water Treatment Certification – Indicates which level of water treatment certification is currently held by your Primary Operator, if any.
- All information will be validated by the DEC Operator Certification and Training Program and DEC Remote Maintenance Worker Program.

Backup Operator Certification

- Name of the Backup Operator for your water/sewer utility - This is the operator with secondary responsibility for your water/sewer utility, and he must be currently employed.
- Current Certification Number held by your Backup Operator – The State of Alaska certification must have been awarded on or before the application deadline.
- Level of Water Treatment Certification – Indicates which level of water treatment certification is currently held by your Backup Operator, if any.
- All information will be validated by the DEC Operator Certification and Training Program and DEC Remote Maintenance Worker Program.

Utility and Financial Management:

Utility Management Training

- Utility Manager Name for your water/sewer utility - This is the person with responsibility for managing your water/sewer utility, providing financial oversight, managing personnel, and performing long range planning.
- Phone Number – Of your Utility Manager.
- Name of Training – Any DCCED-approved management training courses completed by the Utility Manager. In lieu of this, college-level management course(s) may have been listed.
- Start Date of Training - The date(s) that the course listed above began.
- Sponsor – RUBA, Tribal Health Consortium, Training Consultant, etc.
- All information will be validated by the DCCED Rural Utility Business Advisor Program.

Collection Rate

- Box has been checked if:
 - ✓ The documented collection rate is equal to or greater than 85%.
 - ✓ Your system uses a pre-paid method for collecting.
 - ✓ Your utility does not charge users for the service, but relies upon contractually obligated contributions from another entity (for example a memorandum of agreement with the tribe or City) **AND** contributions were paid at the 85% level.
 - ✓ Water and sewer facilities in your community consist of no more than a washeteria, watering point, honeybuckets, and/or individual household wells and septic systems. **In this case, you must attach a brief written description of the facilities in your community.**
- No points will be awarded for Collection Rate, if:
 - ✓ Your collection rate is less than 85%.
 - ✓ Necessary documentation is not submitted to verify your collection rate.
 - ✓ Your piped or flush-haul system does not collect user fees or have contractually obligated payments from another entity.

Regulatory Compliance

- Your application did not receive points if your system is on the current Significant Non-Compliance List because of operation-related violations, for example, because your operator failed to do required water tests.
- All verification information was obtained from the ADEC Drinking Water Program.
- More information about your system's regulatory compliance, including any violations and listings on the Significant Non-Compliance List, is available from the ADEC Drinking Water Program at (907) 269-2007, or by accessing the web-site for operation-related Significant Non-Compliance, which is updated quarterly. The web-site address is:

<http://dec.alaska.gov/eh/dw/dwmain/SNC.htm>

Water System Fluoridation

- These points are not included in the CIP scoring criteria. They are only awarded for projects eligible for funding from the Indian Health Service.

Instructions for Collection Rate Documentation (Including contractually obligated payments)

- The collection rate must be calculated and documented using the period of July 1 of the previous calendar year – June 30 of this calendar year.
- The rate must be calculated by dividing the amount collected from customers during that period by the amount billed to customers for the period.
- If you have a “combined” rate that includes garbage haul or other services, and you cannot break out the separate services, you must include the entire amount billed/collected.
- If your utility collects contractually obligated fees from other entities, you must submit a copy of the contract, and show receipts for payments of at least 85% of required amounts for the July 1-June 30 period.

Example:

The tribal council signed an agreement that it will contribute \$500/month to help pay for the cost of the utility. For the July 1 – June 30 period, you need to show a “billed” amount of \$6,000 and payments equaling at least 85% of \$6,000 or \$5,100.

- You may use either customer names or customer identification numbers, but whatever system you use must be able to trace individual customer accounts.
- Your collection rate report must show the total amount billed, total amount received, and balance due for each customer. Totals for all three columns must be calculated in your report.
- **Your report does not need to match the format used in the example, but any report generated must have the same information in similar format. Copies of individual billings, customer account cards, or individual page printouts are not acceptable.**
- Pre-paid systems such as PowerStats or WaterStats do not need to complete this form, but need to state the brand of system that they are using.

Example of Collection Rate Report

Utility Name: Windy Pass			
Collection Summary Report for July 1, 201Y – June 30, 201X			
	<u>Total Billed</u>	<u>Total Received</u>	<u>Balance Due as of 6/30/201X</u>
Page 1	\$11,700.00	\$10,090.00	\$5,670.00
Page 2			
Page 3			
Page 4			
Totals of All Pages	\$11,700.00	\$10,090.00	\$5,670.00
Collection Rate	86.24%	(= \$10,090 / \$11,700)	

Utility Name: Windy Pass			Page 1 of 4
Collection Detail Report for July 1, 201Y – June 30, 201X			
Customer Name or ID	Total Billed	Total Received	Balance Due as of 6/30/201X
WPS001	\$300.00	\$240.00	\$120.00
WPS002	\$300.00	\$300.00	\$0.00
WPS003	\$300.00	\$300.00	\$0.00
WPS004	\$300.00	\$300.00	\$0.00
WPS005	\$300.00	\$300.00	\$0.00
WPS006	\$300.00	\$300.00	\$0.00
WPS007	\$300.00	\$300.00	\$0.00
WPS008	\$300.00	\$0.00	\$1,700.00
WPS009	\$300.00	\$200.00	\$500.00
WPS010	\$300.00	\$350.00	\$50.00
WPS011	\$300.00	\$300.00	\$0.00
WPS012	\$300.00	\$300.00	\$0.00
WPS013	\$300.00	\$300.00	\$0.00
WPS014	\$300.00	\$300.00	\$0.00
WPS015	\$300.00	\$300.00	\$0.00
WPS016	\$300.00	\$300.00	\$0.00
WPS017	\$300.00	\$300.00	\$0.00
WPS018	\$3,000.00	\$2,700.00	\$300.00
WPS019	\$1,800.00	\$1,500.00	\$300.00
WPS020	\$1,800.00	\$1,200.00	\$2,700.00
Page Totals	\$11,700.00	\$10,090.00	\$5,670.00

Village Safe Water Program
Capital Improvement Project Application

Scoring Criteria for Construction Project Applications

Category	Criterion	CIP Points
Health Impact (limited to one)	First Service: Majority of project costs are associated with providing fully piped, closed haul, or onsite water and wastewater service to homes not previously served at the proposed service level.	350
	Regulatory Compliance: Majority of project costs are associated with addressing “verified” facility-related regulatory compliance. (DEC drinking water or wastewater program verification required)	300
	Essential Upgrades: Majority of project costs are associated with water/sewer system upgrades or replacement of existing system components that have exceeded their capacity or design life, resulting in present and continuous compromises in health benefits of system and representing a clear and substantial health hazard.	175
	Beneficial Upgrades: Majority of project costs are associated with upgrades to increase operational efficiencies or system component upgrades that address intermittent compromises affecting the health benefits of the system. Includes all solid waste improvements.	50
	Desired Upgrades: Majority of project costs are associated with upgrades that are not considered “Essential Upgrades” or “Beneficial Upgrades” as defined above.	0
Project Status & Relationship to other Projects	Project is related to other funded, non-sanitation infrastructure project(s)	75
	Other existing, mobilized water & sewer project(s) funded and scheduled for construction next calendar year	100
Application Quality	Information is complete and consistent throughout, and supports the goal of providing safe, sustainable water supply and sewage disposal to community residents.	75
Local Capacity	See Local Capacity Scoring Criteria details below	400*
Total Possible Points		1000

* Maximum number of points available for this criterion. Partial points may also be awarded.

Village Safe Water Program
Capital Improvement Project Application

Local Capacity Scoring Criteria for Construction Project Applications

Category	Criteria	CIP Points
Primary Operator Certification <i>(limited to one)</i>	Primary Operator is certified at the required water treatment level	105
	Primary Operator is certified for water treatment at any level	70
	Primary Operator is certified for water distribution, or waste water treatment or collection, at any level	20
Backup Operator Certification <i>(limited to one)</i>	Backup Operator is certified at the required water treatment level	35
	Backup Operator is certified for water treatment or distribution, or wastewater treatment or collection, at any level	20
Utility & Financial Management	Utility Manager has completed a DCCED-Approved Utility Management course or other college-level management training course	60
	Collection Rate is 85% or greater (documentation required)	75
Regulatory Compliance	System is not on the current Significant Non-Compliance List for violation of any operation-related violation(s)	125
Total Possible Local Capacity Points		400