

# 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, 4<sup>th</sup> 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 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's 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. To be eligible for construction funding, a community must achieve a minimum total score of two hundred (200) CIP points for Operation & Maintenance Best Practices by the application deadline. In addition, to be considered, a community must have a minimum of eight (8) points in each of the Worker's Compensation Insurance and Payroll Liability Insurance Best Practices categories.
3. The project being requested, when construction is complete, must fund only fully functional facilities that will 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, a 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 attachment is required for specific points to be awarded:

- **Written description of the water and sewer facilities in your community** - If existing facilities in your community consist of only individual household wells and septic systems

### 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

- Provide 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
<b>First Service:</b> 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
<b>Regulatory Compliance:</b> Majority of project costs are associated with addressing “verified” facility-related regulatory compliance. (DEC drinking water or wastewater program verification required)	B
<b>Essential Upgrades:</b> 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
<b>Beneficial Upgrades:</b> 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
<b>Desired Upgrades:</b> Majority of project costs are associated with upgrades that are not considered “Essential Upgrades” or “Beneficial Upgrades” as defined above.	E

Village Safe Water Program  
Capital Improvement Project Application

**Scoring Criteria for Construction Project Applications**

Category	Criterion	CIP Points
Health Impact (limited to one)	<b>First Service:</b> 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
	<b>Regulatory Compliance:</b> Majority of project costs are associated with addressing “verified” facility-related regulatory compliance. (DEC drinking water or wastewater program verification required)	300
	<b>Essential Upgrades:</b> 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
	<b>Beneficial Upgrades:</b> 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
	<b>Desired Upgrades:</b> 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*
<b>Total Possible Points</b>		<b>1000</b>

\* 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
Technical	Operator Certification <i>(limited to one)</i>	Utility has more than one operator certified to the level of the system.	40
		Primary operator is certified to the level of the water system, and the backup operator holds some level of certification in water treatment or distribution.	28
		Primary operator is certified to the level of the water system, and the backup operator holds no certification, or there is no backup operator.	20
		Utility has one or more operators certified at some level in water treatment or distribution.	12
		Utility has no certified operators.	0
	Preventive Maintenance Plan <i>(limited to one)</i>	Utility has a written PM plan; PM is performed on schedule; records of completion are submitted on a quarterly basis and have been verified.	100
		Utility has a written PM plan, but performance of PM and record keeping are not consistent.	60
		Utility has no PM plan or performs no PM.	0
	Compliance <i>(limited to one)</i>	Utility had no Monitoring and Reporting violations during the past year.	40
		Utility had up to five Monitoring and Reporting violations during the past year.	20
Utility had more than five Monitoring and Reporting violations during the past year.		0	
Managerial	Utility Management Training <i>(limited to one)</i>	A person who holds a position of responsibility for management of the utility has completed a DCRA approved Utility Management course or other utility management training course within the last five years.	20
		A person who holds a position of responsibility for management of the utility has not completed a DCRA approved Utility Management course or other training within the last five years.	0
	Meetings of the Governing Body <i>(limited to one)</i>	The utility owner's governing body meets routinely, consistent with the local ordinance/bylaw requirements and receives a current report from the operator.	20
		The utility owner's governing body meets routinely consistent with the local ordinance/bylaw requirements.	8
		The utility owner's governing body does not meet.	0

## Local Capacity Scoring Criteria for Construction Project Applications

(continued)

Financial	Budget <i>(limited to one)</i>	Utility owner and the Utility have each adopted a realistic budget, and budget amendments are adopted as needed. Accurate monthly budget reports are prepared and submitted to the governing body.	60	
		Either the Utility or the Utility owns has adopted and implemented a budget; the other has not.	52	
		Either the Utility or the Utility owner has adopted a budget, but it is not being implemented.	40	
		Utility owner and the Utility have not adopted a budget.	0	
	Revenue <i>(limited to one)</i>	Utility is collecting revenue sufficient to cover the Utility's operating expenses and contribute to a repair and replace account.	80	
		Utility is collecting revenue sufficient to cover expenses.	60	
		Utility has a fee schedule and a collection policy that is followed.	20	
		Utility has no fee structure or collection policy.	0	
	Worker's Compensation <i>(limited to one)</i>	Utility has had a worker's compensation policy for all employees for the past two years and has a current policy in place.	20	
		Utility has a current worker's compensation policy in place for all employees.	8	
		Utility has no worker's compensation policy.	0	
	Payroll Liability Compliance <i>(limited to one)</i>	Utility has no past due tax liabilities and is current with all tax obligations.	20	
		Utility owes back taxes but has a signed payment agreement, is current on that agreement, and is up-to-date with all other tax obligations.	8	
		Utility is not current with its tax obligations and/or does not have a signed repayment agreement for back taxes owed.	0	
	<b>Total Possible Local Capacity Points</b>			<b>400</b>