

RETURN APPLICATION TO:
 Virginia Department of Health
 Office of Drinking Water
 109 Governor Street, 6th Floor
 Richmond, VA 23219
 (Voice: 804-864-7501)
 (FAX: 804-864-7521)

**VIRGINIA DEPARTMENT OF HEALTH (VDH)
 OFFICE OF DRINKING WATER (ODW)**

NOTE: Submit two complete and signed applications and two copies of all required attachments.

**2021 APPLICATION FOR PLANNING & DESIGN FUND PROGRAM
 FINANCIAL ASSISTANCE**

Application also available at:
<https://www.vdh.virginia.gov/drinking-water/fcap/drinking-water-funding-program/>

Year-Round Submittals Accepted

WATERWORKS NAME: _____

PWSID #: _____

PROPOSED PROJECT NAME: _____

Section A: Preliminary Questions

- Complete Table 1 in order to determine if you are eligible and/or ready to apply for funds:

Table 1: Pre-Requirements for Applying

| Yes / No | # | Question |
|----------|---|---|
| _____ | 1 | Is the waterworks either classified as a Community or a nonprofit, Nontransient Noncommunity waterworks? |
| _____ | 2 | Does the waterworks serve a total population of ≤ 10,000 people; Or, does the project have a design benefit population of ≤ 10,000 people? |
| _____ | 3 | Are the waterworks and owner in good standing to receive state or federal funds (VDH operations fees paid, non-debarment or suspension)? |
| _____ | 4 | Is this a public waterworks owned by other than state, federal, or tribal ownership? |
| _____ | 5 | Has the project application been approved by a controlling board, council, president, etc. of each waterworks that is applying for funding? |
| _____ | 6 | Does the applicant or waterworks have documented evidence of issues that affect or could affect the waterworks ability to comply with state or federal drinking water regulations? |
| _____ | 7 | Has the waterworks excluded incurred expenses from this application? |
| _____ | 8 | Has the waterworks had a Preliminary Engineering Conference (PEC) with the field office to discuss the project or has the field office indicated in writing that a PEC is not required? |

If the answer to any question above is a NO, STOP, as you are not eligible / not ready to apply for funds. If all responses to the questions in Table 1 are YES, the waterworks and project are eligible / ready to apply to the Planning & Design Fund Program. Note that in 2021 VDH will only award funding for projects that address documented health-based issues.

- Provide a **brief summary** of the project including the problem(s) that the project will address and/or solve, what the project will entail, the amount of time expected to complete it, and desired outcomes: _____

Section B: Submittal Information

I. APPLICATION PREPARER INFORMATION

1. Firm / Individual Name: _____
2. Address: _____
3. Contact Person: _____
 - a. Telephone Number: _____
 - b. Alternate Phone Number: _____
 - c. Email Address: _____

II. APPLICANT DETAILS

1. Waterworks
 - a. City / County: _____
 - b. Waterworks type: Community Nonprofit, nontransient noncommunity (NTNC)
If nonprofit NTNC, attach proof of nonprofit status (Required).
 - c. Waterworks existing or proposed: Existing Proposed
If proposed, when will the proposed system begin serving water to the public? _____
 - d. Waterworks owned by: Municipality (Town/County) Service Authority
 Non-Profit Entity Private Entity
Note: State or Federally-Owned Waterworks are not eligible for funding through this program.
2. Legal Owner(s) of Waterworks making application:
 - a. Address: _____
 - b. Contact Person: _____
 - i. Telephone Number: _____
 - ii. Alternate Phone Number: _____
 - iii. Email Address: _____
3. Are multiple owners involved in this project? No Yes
4. If multiple owners are involved, document each in Table 2.

Table 2: Collaborating Owners

| Owner Name | Waterworks / Utility Represented | PWSIDs Represented | Agreement/ Resolution/ Contract Attached |
|------------|----------------------------------|--------------------|--|
| | | | |
| | | | |
| | | | |

5. Has each participating entity (waterworks owner/board/etc.) approved this application?
 - Yes: *If Yes Include Attach Signed Resolution(s) or Letter(s) of Intent for single-entity projects. For multi-entity projects, provide documentation of the legal arrangement between the owners (e.g., agreement, joint resolution, or contract). (Required).*
 - No: *If No, explain (Required): _____*

6. Complete Table 3 with the waterworks name, PWSID #, and the design benefit population. Provide additional details in Section E.

Table 3: Project Design Benefit Population

| Waterworks Name | PWSID | Design Benefit Population |
|--|-------|---------------------------|
| | | |
| | | |
| | | |
| Total Design Benefit Population | | |

Note: Projects with a design benefit population of greater than 10,000 people are not eligible for this funding program. See instructions for details.

7. Median Household Income- Complete either a or b. Documentation of MHI figures **must** be attached (question c)
- a. *Using Census Tract data:* What is the Median Household Income (MHI) for the county or the smallest census tract or tracts that contain the project area: \$ ____; Source of the MHI data: ____
 - b. *Using Income Survey data:* What is the MHI for the project benefit area, calculated using income surveys: \$ ____; Data provided/summarized in Attachment ____ (*Required if this method is used*) Documentation for at least 75% of all affected customers must be included
 - c. Documentation provided in Attachment ____ (name of attachment) **Required**
8. Has the Applicant excluded all incurred expenses from this project? (Refer to Section A)
- Yes No *If No, these expenses must be removed before submitting the application.*

Section C: Project Summary

1. Proposed Project Name: _____
2. Location of Project (i.e. locality, city, county): _____
3. Type of Project:

| | |
|---|---|
| <input type="checkbox"/> Preliminary Engineering Report | <input type="checkbox"/> Leak Detection |
| <input type="checkbox"/> Engineering Plans & Specifications | <input type="checkbox"/> Pilot Study of Treatment |
| <input type="checkbox"/> Source Evaluation/Replacement/Addition | <input type="checkbox"/> Consolidation |
| <input type="checkbox"/> Distribution System Evaluation | <input type="checkbox"/> Other: _____ |
4. Does the project involve environmental review?
 No Yes *If Yes, costs associated with environmental review must be covered by non-VDH funds.*
5. Has the waterworks had a Preliminary Engineering Conference (PEC) with the field office to discuss the project or has the field office indicated in writing that a PEC is not required?
 No *If No, this project is not eligible. Contact the field office to address this issue before proceeding.*
 Yes *If Yes, attach a copy of the notes from the PEC or the written documentation from the field office that a PEC is not required.*
6. Summarize evidence of noncompliance with state or federal drinking water regulations or issues that may result in non-compliance with regulations. Documentation must be included with Sections D and E of the Application.

Section D: Issues Addressed by Project

The chart in this section includes issues that may or may not be addressed by the project. Answer “Yes/No or NA” for each “Issue to be addressed” in Table 4. A “Yes” response indicates the project addresses that particular issue. For each issue that addressed by the project, provide a brief description attach documentation. In 2021, VDH will only award funding for projects that address documented health-based issues.

Table 4: Issues Addressed by Project

| | Yes/No or NA | Issue to be addressed by project | Brief Description of issue including dates | Attachment (name) |
|------------------------|--------------------------------------|--|--|-------------------|
| Acute Health Risk | | Waterworks under formal enforcement action, Commissioner-declared health hazard, or emergency declaration | | |
| | | Surface Water Treatment Rule violations | | |
| | | Revised Total Coliform Rule violations (PMCL) | | |
| | | Nitrate violations | | |
| | | Continuous boil water notices | | |
| Chronic Risk | | Formal enforcement actions (e.g., consent order, special order, court order) or Commissioner’s letter | | |
| | | Lead and Copper Action Level exceedances | | |
| | | Primary Maximum Contaminant Level (PMCL) violations | | |
| Public Health Concerns | | Formal Enforcement Actions, Commissioner’s Letter, or Warning Letter | | |
| | | Inadequate treatment | | |
| | | Inadequate source quality | | |
| | | Inadequate source quantity | | |
| | | Inadequate storage and/or distribution system pressure | | |
| | | Will extend water supply to homes (not served by a waterworks) that have inadequate private water sources | | |
| | | Will prevent or resolve conditions that favor the entrance of contaminants into the distribution system, including water loss $\geq 40\%$ in a defined pressure zone | | |
| | Documented inadequate well condition | | | |

Supporting documentation for any issue marked “Yes” above is **required**. Failure to provide documentation will result in the application being incomplete. Supporting documentation includes letters from VDH, Notices of Violation, Sanitary Surveys, licensed professionals reports, chemical results, photos, and other inspections. *An applicants’ written description of the problem does not constitute documentation.*

Section E: Detailed Project Description, Timing, and Cost

I. DETAILED PROJECT DESCRIPTION

- Describe, in **detail**, the project being proposed: the problem(s) that the project will address and/or solve, what the project will entail, the amount of time expected to complete it, and desired outcomes: _____
NOTE: Distribution-system projects submitted for funding through this program shall not be broken into smaller, separate projects for the same single distribution zone.
- Explain how this project will impact the waterworks ability to comply with state or federal drinking water standards and/or regulations: _____
- Has the waterworks previously attempted to solve the problem?
 No *If no, explain why not:* _____
 Yes *If Yes, describe what was done, when it was done, what the outcome was, and how it was funded:* _____
- Complete Table 5 using project-specific numbers of connections, population, and percentages:

Table 5: Connections and population impacted by the proposed project.

| | Waterworks Connections | | Population Served | | % of Connections Metered | |
|--|------------------------|---------|-------------------|---------|--------------------------|---------|
| | Current | Future* | Current | Future* | Current | Future* |
| Residential | | | | | | |
| Non-Residential | | | | | | |
| Total | | | | | | |
| Describe which of the waterworks connections will be affected by this Project: | | | | | | |

*"Future" in the chart above represents projections following the *completion* of the project

- If new connections are projected to be added to the waterworks in the context of this project, does the waterworks have user agreements in place to ensure that the connections will be made?
 No new connections added with this project.
 Yes *If Yes, attach a copy of the user agreements (Required)*
 No *If No, explain:* _____
- Does this project include regionalization or consolidation as a part of the project in order to address health issues?
 Yes *If Yes, explain:* _____
 No *If No, explain:* _____
- Additional relevant information (optional): _____

II. PROJECT TIMING

- Describe short-term benefits of the completed project: _____
- Describe long-term benefits of the completed project: _____

3. If this project is needed before future improvements can be made at the waterworks, describe the timing and connection between the Planning & Design Fund Program activities and future modifications/construction/etc. at the waterworks: _____
4. Will this project address a problem that, if left unaddressed, is highly likely to worsen and put water service/quality/quantity at risk? (Meaning: Is it proactive?)
 - No
 - Yes *If Yes*, describe the situation and how this project will prevent future escalation of the problem: _____

III. PROJECT COST

1. Provide details on the estimated cost of the project. In determining the total cost of the project, secure estimates from appropriate vendors to support the amount requested, and include them with the application.

Table 6: Project Cost Estimate

| Project Components | Estimated Cost |
|----------------------------------|-----------------|
| _____ | \$ _____ |
| _____ | \$ _____ |
| _____ | \$ _____ |
| <i>TOTAL PROJECT COST</i> | \$ _____ |

2. Describe how the cost of the project was determined. Attach copies of estimates if available:

Section F: Proposed Financing

PART 1: Calculation of Funding Request:

Complete Table 7. Non-VDH funding includes all secured funds, either directly from the waterworks or from other entities used for the total cost of this project. Detail costs in Part 2 of this section. Note that non-VDH funds must pay for environmental reviews, when required. If an environmental review is part of the overall project, account for funding as “Non-VDH funding”.

Table 7: Funding Request

| | |
|--------------------------------------|-------|
| Total Cost of Project from Section E | \$ |
| Non-VDH Funding Secured | (\$) |
| Amount Requested from VDH | \$ |

PART 2: Non-VDH Funding

In Tables 8 and 9 below, document all non-VDH funding sources used for the project including amounts and status. Reflect all secured funding in Part 1 (above) also. “Status of Funding” should be sufficiently descriptive as to describe the current state of the funding source.

Table 8: Local or Other Grant Funds:

| Source of Funds (Name of Entity) | Amount | Status of Funding |
|----------------------------------|--------|-------------------|
| | \$ | |
| | \$ | |
| | \$ | |

Table 9: Loan Funds:

| Source of Funds (Name of Entity) | Amount | Status of Funding |
|----------------------------------|--------|-------------------|
| | \$ | |
| | \$ | |
| | \$ | |

PART 3: Complete Exhibit A

Exhibit A brings together project scope, timeline, expenses and funding. Exhibit A (at the end of this application packet) includes a summary of all key activities, expenses, and the timeline associated with the project. The financial portion of Exhibit A should match what is reflected in Parts 1 and 2 (above). Failure to include a complete Exhibit A will result in the application being rejected.

Complete: *Exhibit A: Summary of Project, Including Timeline and Expenses.*

Section G: Water Rates & Fees

The information in this section applies to the design benefit population, though it may be for the entire waterworks if there is only one schedule of rates and fees. If more than one waterworks is involved in the Project, attach responses to each of these questions for the design benefit population at each participating waterworks. VDH reserves the right to decide if funding is contingent upon adjusting water rates and/or requiring savings for financial reserves.

1. Describe or attach the current water rate schedule: _____
2. Date water rates were last adjusted? _____ Describe the adjustment: _____
3. What is the connection fee for water? \$ _____
4. What is the availability fee for water? \$ _____
5. What is the average residential monthly water bill: \$ _____
6. Calculate the percent of MHI required for an average monthly residential bill:
 - a. Refer back to Section B, Question 7: What is the MHI: \$ _____
 - b.
$$\frac{(\text{Average Residential Monthly water bill} \times 12 \text{ months/year}) \times 100}{\text{MHI / year}} = \text{_____ \% MHI}$$
7. Provide details regarding customer billing:
 - a. Billing Frequency: Monthly Quarterly Other: _____
 - b. Charges are based on: Metered Usage Fee/Service Charge Other: _____
 - c. If bills are based on usage, how frequently are meters read: Monthly Quarterly Other: _____
 - d. If "Other" is selected for any question above, explain: _____
8. Are billing / meter reading procedures the same for residential and non-residential service connections?
 Yes No *If No, Explain:* _____
9. Will completion of the proposed project result in a change in water rates, fees, billing, or meter reading within 5 years after completing the project?
 No Yes *If Yes, Explain:* _____

Section H: Sustainability

1. Percent (%) water loss (loss due to leaks) based on the past 18 months: _____
If project addresses water loss, documentation of water loss must be included in the project description and also attached.
2. Does the waterworks have a current Asset Management Plan (AMP)?
 No
 Yes *If Yes, briefly describe the AMP and specify when it was updated: _____*
3. Does the waterworks have an emergency reserve fund?
 No *If No, explain how emergency expenses are handled: _____*
 Yes *If Yes, briefly describe what reserves are maintained: _____*
4. Does the waterworks have a detailed budget?
 No *If No, explain: _____*
 Yes *If Yes, attach a copy of the most recent budget: _____*
5. Does the waterworks have audited financial statements or a CAFR?
 No *If No, explain: _____*
 Yes *If Yes, attach a copy of the most recent document: _____*
6. Does the waterworks complete periodic water audits?
 No *If No, explain: _____*
 Yes *If Yes, attach a copy of the most recent water audit: _____*

Section I: Application Certification

Sharing of Application Information:

VDH may share information from this application with other funding entities in an effort to improve sharing of information, partnerships, and assisting you in seeking other funding opportunities.

Do you have any objections? Yes, I object. No, I have no objections.

Application Certification:

Submittal of this application is only a starting point for discussion and is not a binding agreement on either party. Incomplete information may result in the delay or rejection of the application request.

The undersigned authorized representative(s) of the waterworks making application certifies that the information contained herein and the attached statements and exhibits are true, correct, and complete to the best of his or her knowledge and belief. The undersigned agrees to clarify or supplement information pertaining to this application upon request. The undersigned recognizes that the information contained herein may be subject to state Freedom of Information Act requirements. The undersigned acknowledges that a part of any interest required on a closed loan can be used by VDH to support the drinking water program.

Primary Applicant:

NAME and TITLE: _____

ORGANIZATION: _____

SIGNATURE: _____ DATE: _____

Collaborating Applicants:

NAME and TITLE: _____

ORGANIZATION: _____

SIGNATURE: _____ DATE: _____

NAME and TITLE: _____

ORGANIZATION: _____

SIGNATURE: _____ DATE: _____

Reminders:

Submit all attachments, documentation, and necessary forms. VDH will consider up to three applications per regulated waterworks submitted through the Planning & Design Fund Program application process in any funding year. However, funding offers will be limited to a maximum of two active funding offers per Public Water System Identification Number per funding year. ODW intends these funds to position waterworks for application for construction funding for larger projects. The applicant shall not scope distribution-system projects into separate smaller projects for the same single distribution zone. Complete projects awarded Planning & Design Funds within 15 months of signing of the contract, and therefore, be achievable within that timeframe. Projects that exceed the 15-month timeframe may have funding withdrawn.

All recipients must comply with the Virginia Public Procurement Act, our program requirements, and procurement procedural guidelines.

EXHIBIT A

SUMMARY OF PROJECT, INCLUDING TIMELINE AND EXPENSES

Applicant: _____

Project Number: PF - _____

Project: _____

Summarize the the problem(s) that the project will address, what the project will entail, and expected outcomes:

Provide a budget that reflects all eligible costs associated with the project:

| ACTIVITY | ESTIMATED COST | START DATE | PROJECTED COMPLETION DATE |
|----------------------------------|----------------|----------------------|---------------------------|
| | \$ | | |
| | \$ | | |
| | \$ | | |
| | \$ | | |
| | \$ | | |
| | \$ | | |
| | \$ | | |
| | \$ | | |
| | \$ | | |
| | \$ | | |
| TOTAL Project Cost = | \$ _____ | Additional Comments: | |
| Non-VDH Funding Secured = | (\$ _____) | | |
| VDH Funding Requested = | \$ _____ | | |

*VDH reserves the right to bypass the planning fund applications and withdraw funding if the above schedule is not met.
Make any requests for changes to this schedule in writing to Barry.Matthews@vdh.virginia.gov. All program requirements apply.*