



See the INSTRUCTIONS for more information about selected portions of this application.
 Questions on completing this application? Contact the Facilities Construction Branch at 502/564-3410, ext. 559.

I. CONSTRUCTION PROJECT INFORMATION

Project Name: _____
 Project City/County: _____
 Name of WWTP: _____
 KPDES Number of WWTP, if known (for modifications to an existing plant): KYO _____
 Estimated cost of WWTP improvements and sewer line extension: \$ _____
 Project is: WWTP Only WWTP with sewer lines
 Minor Modification to WWTP (Complete only Sections I, II, IV A, B, C, E3, H1, VII, VIII)

II. APPLICANT INFORMATION

Applicant (Entity paying for construction): _____
 Street Address: _____
 City, State, Zip: _____
 Will ownership be transferred? Yes. Name of new owner: _____ No

III. PRELIMINARY SUBMITTAL

Has a Preliminary Submittal been made with all the information in this section? [See 401 KAR 5:005, Section 3]
 Yes. Name of project: _____
 County and Location of project, then skip to next section: _____
 No. Provide the information below that has not been previously submitted (use additional pages, as necessary). Place a **check** () by the items included in the application or an **N/A** if the item is not applicable to the project.
 ___ A. A copy of a 7½ minute USGS topographic map, with the WWTP, any proposed sewer lines, service area, and discharge location identified.
 ___ B. For a WWTP located within a planning area, a letter from the regional or facility planning agency stating the proposed WWTP is compatible with the regional facility plan or the water quality management plan.
 ___ C. For a WWTP located within a planning area, a demonstration that a connection to the regional facility is not available.
 ___ D. For a regional WWTP, a water quality management plan that is in compliance with **401 KAR 5:006**.

IV. DESIGN CONSIDERATIONS

A. PLANS AND SPECIFICATIONS. Provide at least three sets of detailed plans and specifications, which must comply with **401 KAR 5:005** and “**Recommended Standards for Wastewater Facilities**” (“**Ten States’ Standards**”), 1990 edition. If other current engineering practices were used in the design, indicate source and for what portion. **[Section 7]**

B. DESIGN ENGINEER, if the WWTP design capacity is greater than 10,000 gpd or if the sewer lines associated with the WWTP will become part of a sewer system served by a regional facility. **[Section 6]**

P.E.’s Name/Firm: _____

Street Address: _____

City, State, Zip: _____ Phone: _____

C. CONFORMITY TO PLANS AND SPECIFICATIONS. Provide name of person who will inspect and certify that the constructed facility conforms to the approved plans and specifications. If the WWTP’s design capacity is greater than 10,000 gpd, or if the sewer lines will become part of a sewer system served by a regional facility, this person must be a professional engineer (P.E.). **[Section 3]**

Name/Firm: _____

Street Address: _____

City, State, Zip: _____ Phone: _____

D. DESIGN CAPACITIES. Provide the following design capacities, in million gallons per day or pounds per day. **[Section 3]**

Average Daily Flow: _____ MGD Influent BOD: _____ lb/day

Peak Daily Flow: _____ MGD Influent SS: _____ lb/day

Peak Hourly Flow: _____ MGD Influent NH₃-N: _____ lb/day

E. Design Criteria. Provide the following information (use additional pages, as necessary). Place a **check** by the items included in the application or an **N/A** if the item is not applicable to the project.

____ 1. A schematic drawing of the facility layout and explanation of the proposed facility and method of operation. **[Section 3]**

____ 2. WWTP’s Reliability Category, Grade One, Two, or Three: _____. Include a detailed description of the reliability measures that will be used for the WWTP. **[Sections 3 and 13]**

____ 3. A discussion of the design criteria used to size the unit processes. **[Section 3]**

F. LABORATORY SERVICES. Give name of laboratory that will provide services for self-monitoring and process control. **[Section 3]**

Firm Name: _____

Street Address: _____

City, State, Zip: _____

G. SITE LOCATION. Place a **check ()** by the items that are included in this application or an **N/A** if the item is not applicable to the project.

____ 1. Include a plat or survey clearly indicating the site’s boundaries, position of proposed facility in reference to the boundaries, and position of dwellings within 200 feet of the WWTP. **[Section 3]**

____ 2. If an open-top WWTP is closer than 200 feet to the closest dwelling, include what structure or other measures will be used for noise and odor control. **[Section 4]**

____ 3. For a WWTP with a spray irrigation system, if the distance from the spray field to the property boundary is less than 20 feet, include what protective measures will be used to inhibit spray from crossing property boundary. **[Section 21]**

H. OTHER INFORMATION TO BE SUBMITTED WITH APPLICATION. Place a **check ()** by the items that are included in this application or an **N/A** if the item is not applicable to the project.

- ___ 1. If modifying or replacing an existing WWTP or sewer line, a closure plan indicating how the new facility will be constructed without a by-pass to a stream and the procedures that will be used for abandoning the existing facility. **[Section 3]**
- ___ 2. A Sludge Management Plan for WWTPs, including the sludge processing method and how sludge will be ultimately disposed. **[Section 3]**
- ___ 3. If the discharge point does not coincide with a blue line on a USGS map, a copy of a recorded deed, recorded other right of ownership, or recorded right of easement for a corridor to the nearest blue line stream. **[Section 3]**
- ___ 4. A description of and detailed specifications for the flow measuring device. **[Section 7]**
- ___ 5. If the WWTP discharges to a sinkhole or sinking stream, a plan for a groundwater tracer study (or a previously conducted groundwater tracer study). **[Section 4]**

V. SEWER LINES

Include the following items for projects that include sewer lines. If project is for only a WWTP, skip to next section. Place a **check ()** by the items that are included in this application or an **N/A** if the item is not applicable to the project.

- ___ A. If the project includes a pump station, the pump performance curve. **[Section 8]**
- ___ B. If the project includes gravity sewer lines or force mains, a plan view and profile view for each. **[Section 6]**
- ___ C. A demonstration that the sewer system has adequate capacity to treat the current and the anticipated flow to the WWTP and that the sewer system is not subject to excessive infiltration or excessive inflow. **[Section 8]**
- ___ D. A demonstration that the WWTP has adequate capacity to transport the anticipated flow to the WWTP and the WWTP is not subject to excessive infiltration or excessive inflow. **[Section 8]**

VI. OTHER REQUIRED APPLICATIONS

- ___ A. If the WWTP has a discharge, complete and file with this application: KPDES Application (KPDES Form 1); and Form A, B, C, or Short Form C, as applicable.
- ___ B. If the WWTP does not have a discharge, complete and file with this application the "No Discharge Operating Permit Application, Form ND."

VII. FEES

Fees. Check or money order must be made payable to "**Kentucky State Treasurer**" for the total amount. **Fees do not apply** for a municipality, sanitation district, or other publicly owned facility. **[Section 5]**

WWTP Category: _____ Amount: \$ _____
Sewer Line Category: _____ Amount: \$ _____
Total Amount: \$ _____

VIII. CERTIFICATION

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision. The information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine or imprisonment or both for known violations. **[Section 2]**

Applicant's Name and Official Title (Type or Print)	Phone Number (Include area code)
Signature	Date

INSTRUCTIONS--Form W-1

Listed below are explanations of selected questions on Form W-1. If you need further information about any item, contact the **Facilities Construction Branch, Wastewater Facilities Review Section, at 502/564-3410, ext. 559**. If you have a touch-tone telephone, you may dial directly, **502/564-2225, ext. 559**. Send completed application with applicable enclosures and applicable permit fee to the Division of Water, KPDES Branch, 14 Reilly Road, Frankfort, KY 40601. The complete requirements for construction permits are in Kentucky's administrative regulation **401 KAR 5:005**; definitions for terms are in **401 KAR 5:001**. Specific cites to **401 KAR 5:005** are given for selected items.

I. CONSTRUCTION PROJECT INFORMATION

Project Name Describe the facility served by the proposed WWTP. For example, Knoll Subdivision, Jones' Lane, Smith's Market.

II. APPLICANT INFORMATION

Name Name of the entity paying for construction, not the funding agency (KIA, Rural Development Administration (former FmHA, etc.) or the contractor.

Address Mailing address, not the project location.

Ownership Transfer If the WWTP will be transferred to a municipality or other regional facility, give name of entity that will be the new owner. Upon transfer, the NEW owner must submit to the Division of Water a "Change in Ownership Certification", available from the KPDES Branch. The applicant will remain the responsible party until the transfer is completed.

III. **PRELIMINARY SUBMITTAL.** Prior to the formal submittal of plans and specifications, entities may submit preliminary information to receive a preliminary determination of the suitability of the proposed WWTP location. If a preliminary submittal was made, provide the name of the project and the county under which the information was submitted. Verify that all the items were previously submitted. If not, then include the items that were not previously submitted in this application.

A. USGS 7½ minute topographic maps are available from the Economic Development Cabinet, Map Sales Office, 133 Holmes Street, Frankfort, KY 40601, phone **502/564-4715**.

C. If the WWTP is located within a planning area, the applicant must demonstrate that a connection to the regional facility is not available; that is, the connection is more than one mile away and it is not cost-effective to connect to the regional facility. The distance shall be measured along the most feasible route of connection to a point where the downstream sewer has capacity to carry the additional flow. The distance of one mile does not apply to a WWTP with a design capacity of 1,000 gpd or less.

IV. DESIGN CONSIDERATIONS

A. **Plans and Specifications.** Any deviations from "Ten States' Standards," 1990 edition, must be submitted to the Division of Water in writing with the basis for the deviation, supported by current engineering practice. Other alternative measures may be approved if the applicant submits the basis for the alternatives, and the alternatives provide sufficient treatment.

B. **Design Engineer.** If the WWTP has a design capacity of 10,000 gpd or more, or the proposed sewer line extension will become part of a sewer system served by a regional facility, the plans and specifications must be prepared, stamped, signed, and dated by a professional engineer, licensed to practice in Kentucky. Give the name, firm, and address of the design engineer.

D. If the WWTP serves a single family residence, skip this item.

E. Design Criteria.

1. If the WWTP serves a single family residence, submit a schematic drawing of the facility layout and skip items 2 and 3.

2. Reliability requirements apply only to specific facilities. **See 401 KAR 5:005, Section 13.**

H. Other Information.

4. All WWTPs must have a flow measuring device which measures flow within 10% of the actual flow. A WWTP with a design capacity of 50,000 gpd or more must have an indicating, totalizing, and recording flow measuring device.

5. If the proposed WWTP discharges to a sinkhole or disappearing stream, contact the Division of Water, Groundwater Branch, to determine if a groundwater tracer study is necessary for the proposed discharge site or if one has already been performed for the site.

V. SEWER LINES

C & D. An example of the necessary demonstrations would be letters from the owner of the sewer system (C) and the WWTP (D) stating that each had sufficient capacity to transport the current and anticipated flow and that neither is subject to excessive infiltration or excessive inflow. Applicants may provide other demonstrations.

VII. FEES

Construction permit fees are listed in **401 KAR 5:005**. The construction permit fee must be submitted with the completed permit application. If the project is for only a WWTP and it requires a concurrent KPDES permit application, refer to the fees in the Instructions for the KPDES Permit Application (KPDES Form 1). There are separate fees if the WWTP includes sewer lines, force mains, and pump stations that are located off the WWTP property. In that situation, the WWTP fee is to be determined, and the sewer line fee is to be determined. The total amount to be submitted is the sum of those two fees. The fee must be a check or money order, payable to the **Kentucky State Treasurer**, for the total amount. Fees are not applicable if the **applicant** (entity paying for construction) is a publicly owned facility. Examples are DOT rest areas, school facilities, and regional airport authorities.

<u>Fee for WWTP:</u>		<u>Fee for Sewer Lines Located off the WWTP Property:</u>	
Small WWTP for Qualified Non-Profit Organization*: (WWTP with design capacity less than 10,000 gpd)	\$ 50	Facility for Qualified Non-Profit Organization*: (Pump station or sewer line or force main)	\$ 50
Minor Modification to a WWTP:	200	Small Facility:	200
Small WWTP: (WWTP with design capacity less than 10,000 gpd)	450	(Pump station or sewer line or force main less than 2,500 ft. in length)	
Intermediate WWTP: (WWTP with design capacity from 10,000 to 49,999 gpd)	900	Intermediate Facility:	400
Large WWTP: (WWTP with design capacity of 50,000 gpd or more)	1,800	(Pump station or sewer line or force main 2,500 to 5,000 ft. in length)	
		Large facility:	800
		(Pump station or sewer line or force main more than 5,000 ft. in length)	

Enter the category (small, intermediate, large, minor modification, etc.) and the dollar amount submitted. When determining the fee category, **add** the total lengths of **all** pipe to be installed.

*To qualify for the \$50 fee, non-profit organizations must submit proof that they qualify for the reduction under Section 501(c)(3) of the Internal Revenue Code.