

**Alaska Department of Environmental Conservation
SRF LOAN - MBE/WBE UTILIZATION FORM**

ADEC Financial Assistance Agreement Number: _____

PART 1. (Reports are required even if no procurements are made during the reporting period.)

1A. FEDERAL & STATE FISCAL YEAR	1B. REPORTING PERIOD: Semi Annual (Oct-Mar) Semi Annual (Apr-Sep) Check if this is the last report for the project (Project completed)
1C. REVISION OF A PRIOR REPORT? Yes No Year: _____ Year/Half: _____	BRIEFLY DESCRIBE THE REVISIONS YOU ARE MAKING:
2A. LOAN RECIPIENT NAME AND ADDRESS	
2B. LOAN RECIPIENT REPORTING CONTACT: Name: E-mail:	2C. PHONE: Fax:
3A. TOTAL LOAN ASSISTANCE AGREEMENT AMOUNT \$ _____	3B. If NO procurement and NO accomplishments were made this reporting period, check and skip to Block No. 4. (<u>Procurements</u> are all expenditures through contract, order, purchase, lease or barter of supplies, equipment, construction, or services. <u>Accomplishments</u> , in this context, are procurements made with MBEs and/or WBEs.) If YES, go to "Part 2." on page 2 and list accomplishments during this reporting period. No
4. COMMENTS: (If no MBE/WBE procurements were accomplished during the reporting period, please explain what steps you are taking to achieve the MBE/WBE Program requirements specified in the terms and conditions of the Assistance Agreement.)	
5. NAME OF RECIPIENT'S AUTHORIZED REPRESENTATIVE	TITLE
6. SIGNATURE OF RECIPIENT'S AUTHORIZED REPRESENTATIVE	DATE

MBE/WBE PROCUREMENTS MADE DURING REPORTING PERIOD
ADEC Financial Assistance Agreement Number: _____

PART 2.

1. Procurement Made By		2. Business Enterprise		3. \$ Value of Procurement	4. Date of Award MM/DD/YY	5. Type of Product or Services (Enter Code)	6. Name/Address/Phone Number of MBE/WBE Contractor or Vendor
SRF Loan Recipient	Prime	Minority	Women				

Type of product or service codes:

1 = Construction

2 = Supplies

3 = Services

4 = Equipment

Instructions:

A. General Instructions:

The ADEC/EPA MBE/WBE utilization form must be completed by SRF loan recipients, which involves procurement of supplies, equipment, construction or services.

Recipients are required to report semi-annually and annually, per the terms and conditions of the financial assistance agreement. Final submission dates are April 30 and October 30. MBE/WBE program requirements, including reporting, are material terms and conditions of the financial assistance agreement.

B. Definitions:

Procurement is the acquisition through contract, order, purchase, lease or barter of supplies, equipment, construction or services needed to accomplish SRF loan assistance programs.

A *contract* is a written agreement between a loan recipient and another party (also considered "prime contracts") and any lower tier agreement (also considered "subcontracts") for equipment, services, supplies, or construction necessary to complete the project. This definition excludes written agreements with another public agency. This definition includes personal and professional services, agreements with consultants, and purchase orders.

A *minority business enterprise* (MBE) is a business concern that is (1) at least 51 percent owned by one or more minority individuals, or, in the case of a publicly owned business, at least 51 percent of the stock is owned by one or more minority individuals; and (2) whose daily business operations are managed and directed by one or more of the minority owners.

U.S. citizenship is required. Recipients shall presume that minority individuals include Black Americans, Hispanic Americans, Native Americans, Asian Pacific Americans, or other groups whose members are found to be disadvantaged by the Small Business Act or by the Secretary of Commerce under section 5 of Executive order 11625. The reporting contact at EPA can provide additional information.

A *woman business enterprise* (WBE) is a business concern that is, (1) at least 51 percent owned by one or more women, or, in the case of a publicly owned business, at least 51 percent of the stock is owned by one or more women and (2) whose daily business operations are managed and directed by one or more of the women owners.

Business firms which are 51 percent owned by minorities or women, but are in fact managed and operated by non-minority individuals do not qualify for meeting MBE/WBE procurement goals. U.S. Citizenship is required.

The following affirmative steps for utilizing MBEs and WBEs must be documented. Such documentation is subject to State and EPA review upon request:

1. Include of MBEs/WBEs on solicitation lists.
2. Assure that MBEs/WBEs are solicited once they are identified.
3. Divide total requirements into smaller tasks to permit maximum MBE/WBE participation, where feasible.
4. Establish delivery schedules which will encourage MBE/WBE participation, where feasible.
5. Encourage use of the services of the U.S. Department of Commerce's Minority Business Development Agency (MBDA) and the U.S. Small Business Administration to identify MBEs/WBEs.
6. Require that each party to a subgrant, subagreement, or contract award take the affirmative steps outlined here.

C. Instructions for Part I:

- 1a. Specify State and Federal fiscal years this report covers. The State fiscal year runs from July 1st through June 30th. The Federal fiscal year runs from October 1st through September 30th.
- 1b. Check applicable reporting box period. Also indicate if this is the last report for the project.
- 1c. Indicate if this is a revision to a previous year or quarter, and provide a brief description of the revision you are making.
- 2a-c. Identify the organization which is the recipient of the financial assistance and the person to contact concerning this report.
- 3a. Provide the total amount of the Loan Assistance Agreement.
- 3b. Self-explanatory.
4. If there were no MBE/WBE accomplishments this reporting period, please briefly explain what steps you are taking in furtherance of the MBE/WBE

requirements specified in the terms and conditions of the Assistance Agreement.

5. Name and title of official administrator or designated reporting official.
6. Signature and month, day year report submitted.

D. Instructions for Part II:

For each MBE/WBE procurement made under this assistance agreement during the reporting period, provide the following information:

1. Check whether this procurement was made by the SRF loan recipient or the prime contractor.
2. Check either the MBE or WBE column. If a firm is both an MBE and WBE, the recipient may choose to count the entire procurement towards EITHER its MBE or WBE accomplishments. The recipient may also divide the total amount of the procurement (using any ratio it so chooses) and count those divided amounts toward its MBE and WBE accomplishments. If the recipient chooses to divide the procurement amount and count portions toward its MBE and WBE accomplishments, please state the appropriate amounts under the MBE and WBE columns on the form. **The combined MBE and WBE amounts for that MBE/WBE contractor must not exceed the "Value of the Procurement" reported in column #3**
3. Dollar value of procurement.
4. Date of award, shown as month, day, and year. Date of award is defined as the date the contract or procurement was awarded, **not** the date the contractor received payment under the awarded contract or procurement, unless payment occurred on the date of award. **(Where direct purchasing is the procurement method, the date of award is the date the purchase was made)**
5. Using codes at the bottom of the form, identify type of product or service acquired through this procurement (eg., enter 1 if construction, 2 if supplies, etc).
6. Name, address, and telephone number of MBE/WBE firm.