

Alaska State Revolving Fund - Checklist: Loan Application

| APPLICATION | <input type="checkbox"/> Original <input type="checkbox"/> Amendment # _____ | Document Date | Comments/Questions |
|-----------------------------------|--|---|---------------------------|
| <input type="checkbox"/> | Application form complete via OASys with all required supporting documents (Hardcopy not accepted.) <i>Required documents listed below can attach to online submittal.</i> | | Click here to enter text. |
| <input type="checkbox"/> | Attorney certification noting ability to incur debt (example template letter provided). | | Click here to enter text. |
| <input type="checkbox"/> | Assembly/Council resolution for both application and execution of loan (examples for reference). | | Click here to enter text. |
| <input type="checkbox"/> | Lobbying certification (EPA 6600-06) - EPA form confirming no lobbying will be done with SRF funds. | | Click here to enter text. |
| <input type="checkbox"/> | Disclosure of lobbying activities : Required if borrower engages in any lobbying. Document via email if otherwise. | | Click here to enter text. |
| <input type="checkbox"/> | Financial information required to initiate financial capacity assessment, along with audited financial statements and current budget. | | Click here to enter text. |
| Construction Related Files | | <input type="checkbox"/> NA for planning/design | |
| <input type="checkbox"/> | Environmental Review Checklist : If a determination from a federal agency is available, please submit. | | Click here to enter text. |
| <input type="checkbox"/> | Engineer's detailed construction cost estimate : Used to support project costs, project scope and provide proof of planning. | | Click here to enter text. |
| <input type="checkbox"/> | Useful Life Certification : For construction, a minimum useful life of the improvements must be certified by an Alaska registered professional engineer. This will be used to determine the design life of a drinking water project. | | Click here to enter text. |
| <input type="checkbox"/> | Green Project Assessment form : Energy/Water Efficient Project (must be included if the project includes a green component). | | Click here to enter text. |
| Drinking Water only | | <input type="checkbox"/> NA | |
| | Technical, Managerial, Financial Capacity Worksheet | | Click here to enter text. |
| Clean Water only | | <input type="checkbox"/> NA | |
| <input type="checkbox"/> | Cost and Effectiveness Assessment : Documents that the economic and environmental costs and benefits of incorporating water/energy efficiency/reuse, stormwater capture were designed into the SRF project | | Click here to enter text. |
| <input type="checkbox"/> | Fiscal sustainability plan certification : For asset inventory, condition evaluation and management, water/energy efficiency. <i>(Not applicable to non-point source projects.)</i> | | Click here to enter text. |
| <input type="checkbox"/> | Provide facility plan and Inflow/Infiltration analysis reports. <i>(Only Wastewater Treatment Facility construction loans.)</i> | | Click here to enter text. |

Attachments to SRF Application Checklist:

1. Attorney certification
2. Assembly/Council resolution
3. Lobbying certification (EPA 6600-06)
4. Disclosure of lobbying activities
5. Environmental Review Checklist
6. Engineer's detailed construction cost estimate example
7. Useful Life Certification
8. Green Project Assessment
9. Technical, Managerial, Financial Capacity Worksheet
10. Cost and Effectiveness Assessment
11. Fiscal sustainability plan certification

Attorney Certification Example

Date

Alaska Department of Environmental Conservation
State Revolving Fund Program
555 Cordova Street, 4th Floor
Anchorage, AK 99501

Re: Request for \$ _____ from the Alaska State Revolving Fund Program

To Whom It May Concern:

I certify that the City and Borough of _____, a home-rule municipality of the State of Alaska, is authorized to incur the debt described in Resolution Number _____, a copy of which is enclosed. This loan request, in the amount of \$ _____, is for funding the _____ project.

Signature

Municipal Attorney

State Revolving Fund (SRF) Loan Application: Sample Resolution for Publicly Owned Entities

As part of the State Revolving Fund loan application process, a resolution authorizing the application for and acceptance of financial assistance must be adopted by the local governing body (city council or borough assembly). The resolution must:

- (1) authorize the SRF loan application process, and
- (2) authorize a designated representative of the local government to execute the loan agreement.

The resolution requirement can be fulfilled with one document that both authorizes the application for, and the execution of, the SRF loan agreement. This single resolution is required before the application can be considered complete.

A two-step resolution process is also acceptable in which the initial resolution authorizes the application for an SRF loan, and a subsequent resolution authorizes execution of the loan agreement. In this two-step process, the initial resolution is required before the application is considered complete, and the second resolution is required before the loan agreement can be executed by the SRF Program.

The examples provided here are for demonstration and are not intended to be a required template. Each community may have specific local procedures and requirements for authorizing and accepting debt obligations. Signed and dated resolutions must reference the project and the correct loan amount.

Sample resolution authorizing the application for, and execution of, a State Revolving Fund loan

RESOLUTION Number

A Resolution of *City or Borough Name*, Alaska, authorizing the *City Manager / Borough Manager* to apply to the State of Alaska, Department of Environmental Conservation (ADEC) for a loan from the *Alaska Drinking Water Fund / Alaska Clean Water Fund* for the project entitled *Project Name*.

WHEREAS, the *Project Name* project would include the following work: *insert project description*; and

WHEREAS, the *City or Borough Name*, seeks to obtain the necessary financial assistance for the project; and

WHEREAS, the State of Alaska, Department of Environmental Conservation (ADEC) is able to offer funding through the *Alaska Drinking Water Fund / Alaska Clean Water Fund*; and

WHEREAS, the project currently is included on an *Alaska Drinking Water Fund / Alaska Clean Water Fund* project priority list for the current fiscal year; and

WHEREAS, the loan of up to *\$X,XXX,XXX* would be repaid over no more than a *XX*-year term, with a finance rate calculated pursuant to *18 AAC 76.080 (for a Clean Water loan) or 18 AAC 76.255 (for a Drinking Water loan)*; and

WHEREAS, upon receiving the loan agreement document, *assembly / council* authorization will be required by ordinance to borrow the money,

NOW, THEREFORE, BE IT RESOLVED that the *City or Borough Name* authorizes the *City Manager / Borough Manager* to apply to the State of Alaska, Department of Environmental Conservation (ADEC) for a loan from the *Alaska Drinking Water Fund / Alaska Clean Water Fund* for the project entitled *Project Name*.

The *City or Borough Name* authorizes the *City / Borough Manager* to execute the loan agreement which will become a binding obligation in accordance with its terms when signed by both parties. The *City / Borough Manager* is authorized to represent the *City or Borough Name* in carrying out the City's / Borough's responsibilities under the loan agreement. The *City / Borough Manager* is authorized to delegate responsibility to appropriate *City / Borough* staff to carry out technical financial, and administrative activities associated with the loan agreement.

Adopted by a duly-constituted quorum of the *Borough Assembly / City Council* on this *XXth* day of *Month, Year*.

Sample resolution authorizing the application for a State Revolving Fund loan:

RESOLUTION Number

A Resolution of *City or Borough Name*, Alaska, authorizing the *City Manager / Borough Manager* to apply to the State of Alaska, Department of Environmental Conservation (ADEC) for a loan from the *Alaska Drinking Water Fund / Alaska Clean Water Fund* for the project entitled *Project Name*.

WHEREAS, the *Project Name* project would include the following work: *insert project description*; and

WHEREAS, the *City or Borough Name*, seeks to obtain the necessary financial assistance for the project; and

WHEREAS, the State of Alaska, Department of Environmental Conservation (ADEC) is able to offer funding through the *Alaska Drinking Water Fund / Alaska Clean Water Fund*; and

WHEREAS, the project currently is included on an *Alaska Drinking Water Fund / Alaska Clean Water Fund* project priority list for the current fiscal year; and

WHEREAS, the loan of up to *\$X,XXX,XXX* would be repaid over no more than a *XX*-year term, with a finance rate calculated pursuant to *18 AAC 76.080 (for a Clean Water loan) or 18 AAC 76.255 (for a Drinking Water loan)*; and

WHEREAS, upon receiving the loan agreement document, *assembly / council* authorization will be required by ordinance to borrow the money,

NOW, THEREFORE, BE IT RESOLVED that the *City or Borough Name* authorizes the *City Manager / Borough Manager* to apply to the State of Alaska, Department of Environmental Conservation (ADEC) for a loan from the *Alaska Drinking Water Fund / Alaska Clean Water Fund* for the project entitled *Project Name*.

Adopted by a duly-constituted quorum of the *Borough Assembly / City Council* on this *XXth* day of *Month, Year*.

Sample ordinance authorizing the execution of a loan agreement:

ORDINANCE Number

WHEREAS, on *Date*, the *City Council or Borough Assembly* adopted Resolution *Number* that authorized the *City Manager / Borough Manager* to apply to the Alaska Department of Environmental Conservation (ADEC) for a low-interest loan through the *Alaska Drinking Water Fund / Alaska Clean Water Fund* for the *Project Name*; and

WHEREAS, the ADEC has authorized a loan for the *Project Name* project in the amount of up to *\$X,XXX,XXX;* and

WHEREAS, *assembly / council* authorization is required by ordinance when borrowing money,

NOW, THEREFORE, BE IT ORDAINED BY THE *CITY / BOROUGH NAME, ALASKA*:

The *City or Borough Name* authorizes the *City / Borough Manager* to execute the loan agreement which will become a binding obligation in accordance with its terms when signed by both parties. The *City / Borough Manager* is authorized to represent the *City or Borough Name* in carrying out the City's / Borough's responsibilities under the loan agreement. The *City / Borough Manager* is authorized to delegate responsibility to appropriate *City / Borough* staff to carry out technical financial, and administrative activities associated with the loan agreement.

Adopted by a duly-constituted quorum of the *Borough Assembly / City Council* on this *XXth* day of *Month, Year*.



EPA Project Control Number

CERTIFICATION REGARDING LOBBYING

CERTIFICATION FOR CONTRACTS, GRANTS, LOANS AND COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31 U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Typed Name & Title of Authorized Representative

Signature and Date of Authorized Representative

The public reporting and recordkeeping burden for this collection of information is estimated to average 15 minutes per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

| | | |
|--|---|--|
| 1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance | 2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award | 3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____ |
| 4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, <i>if known</i> : Congressional District, if known: | 5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known: | |
| 6. Federal Department/Agency: | 7. Federal Program Name/Description: CFDA Number, <i>if applicable</i> : _____ | |
| 8. Federal Action Number, if known: | 9. Award Amount, if known: \$ _____ | |
| 10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i> | b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i> | |
| 11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. | Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____ | |
| Federal Use Only: | | Authorized for Local Reproduction Standard Form LLL (Rev. 7-97) |

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

State Revolving Fund (SRF) Environmental Review Checklist

Alaska Department of Environmental Conservation – SRF Program

The following checklist outlines the information needed to initiate the environmental review process and serves as a request for categorical exclusion. ADEC will review the submitted information and notify the applicant of the type of environmental documentation required, if any. Please email the completed form and attachments to adele.fetter@alaska.gov or mail to: SRF Program, ADEC, 555 Cordova St, Anchorage, AK 99501.

| | | |
|--|---|--|
| Municipality or Entity | | |
| Project Name | | |
| ADEC Project Number | | |
| Construction Start Date: | | |
| <p>PROJECT DESCRIPTION: Provide a description of the project scope including what is proposed to be constructed, replaced, or upgraded, specific construction methods to be used, estimated dimensions (length, width, and depth) of excavated and disturbed areas, and the proposed construction schedule if construction will be phased.</p> | | |
| | | |
| Indicate if any of the following ancillary impacts will result from the proposed project. Check all that apply. | | |
| <input type="checkbox"/> Borrow pits | <input type="checkbox"/> Pavement replacement (street, driveway, sidewalk) | |
| <input type="checkbox"/> Staging area for equipment/materials | <input type="checkbox"/> New access for roads or utility lines | |
| <input type="checkbox"/> Temporary or permanent easement | <input type="checkbox"/> Demolition of existing structures (partial or entire) | |
| <input type="checkbox"/> None of the above | | |
| <p>PROJECT MAP/AREA OF DISTURBANCE: Provide a recent aerial photograph or map with the marked boundaries of the projects area. The map should include labeled location(s) of all proposed construction. Include any ancillary impacts listed above as applicable. If a specific area has yet to be defined, please mark a larger area that will include the final project area.</p> | | |
| <input type="checkbox"/> A copy of the project map is attached to this environmental review checklist. | | |
| Approximate size of the total project area (acres) | | |
| Approximate area to be impacted by ground disturbance (excavation, grading, tree removal, etc.) (acres) | | |
| HISTORIC PROPERTIES | | |
| Has the State Historic Preservation Officer (SHPO) been consulted regarding the proposed project? | <input type="checkbox"/> Yes – send a copy of the consultation/concurrence to the SRF Program | <input type="checkbox"/> No – provide reason below |
| | | |

State Revolving Fund (SRF) Environmental Review Checklist

Alaska Department of Environmental Conservation – SRF Program

| | | |
|---|------------------------------|-----------------------------|
| WETLANDS | | |
| Are wetlands present in the project area? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| What information was used to determine the presence or absence of wetlands present in the project area? Examples may include online mapping tools, wetland inventory reports prepared for the project, or other assessments. | | |
| | | |
| Will the construction activities impact a wetland or water body? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| If yes, describe the construction activities that will impact the wetland or water body and describe any coordination completed with the US Army Corps of Engineers or Alaska Department of Fish and Game regarding permitting requirements, if applicable. | | |
| | | |
| FLOODPLAINS | | |
| Will construction occur within a 100-year floodplain? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Is a FEMA Flood Insurance Rate Map (FIRM) available for this location? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| If a floodplain map is not available, what information was used to determine the presence or absence of floodplains? | | |
| | | |
| If construction occurs within a 100-year floodplain, describe the construction activities in the floodplain. | | |
| | | |
| If construction occurs within the floodplain, will pre-construction contours be restored after the construction is complete? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Describe any coordination with the local floodplain management agency, and provide a copy of permits or permit applications, if applicable. | | |
| | | |

State Revolving Fund (SRF) Environmental Review Checklist

Alaska Department of Environmental Conservation – SRF Program

| | | |
|---|------------------------------|-----------------------------|
| CONTAMINATED SITES - ADEC Contaminated Sites Database Search | | |
| Are there any contaminated sites near the project area? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| If yes, list the distance and direction from the project area. Also describe any coordination completed with the ADEC Contaminated Sites Program. | | |
| | | |
| Environmental Review Checklist preparer (name, title): | | |
| Email: | | |
| Phone: | | |
| Date completed: | | |

Attachments:

- Project map (required)
- Wetlands map (if applicable)
- Floodplain map (if applicable)
- SHPO coordination/concurrence letter (if available)

Please email the completed form and attachments to adele.fetter@alaska.gov
or mail to SRF Program, ADEC, 555 Cordova St, Anchorage, AK 99501.

Example Project

Cost Estimate Date:

| # | Work Description (Unit Bid Price in Words) | Units | Est. Quantity | Engineers | |
|----|---|---------|---------------|----------------|-----------------|
| | | | | Unit Bid price | Total Bid Price |
| 1 | Mobilization/Demobilization | LS | 1 | \$ - | \$ - |
| 2 | Construction Survey | LS | 1 | \$ - | \$ - |
| 3 | Traffic Maintenance | LS | 1 | \$ - | \$ - |
| 4 | Prepare and Implement SWPPP | LS | 1 | \$ - | \$ - |
| 5 | Clearing and Grubbing | LS | 1 | \$ - | \$ - |
| 6 | Seeding (Type 1) | 1000 SF | 400 | \$ - | \$ - |
| 7 | Top Soil | 1000 SF | 400 | \$ - | \$ - |
| 8 | Wetlands Restoration | LS | 1 | \$ - | \$ - |
| 10 | F&I 18-inch CMP | LF | 600 | \$ - | \$ - |
| 11 | F&I 24-inch CMP | LF | 100 | \$ - | \$ - |
| 12 | Imported Fill (Type II) | CY | 2000 | \$ - | \$ - |
| 13 | Imported Fill (Type III) | CY | 800 | \$ - | \$ - |
| 14 | F&I Road Crossing Drain Rock | 200 | 200 | \$ - | \$ - |
| 15 | F&I 12-inch HDPE Water Main | LF | 3775 | \$ - | \$ - |
| 16 | F&I 12-inch HDPE Water Main Lowland Section | LF | 600 | \$ - | \$ - |
| 17 | F&I 12-inch GV, VB and Marker | EA | 8 | \$ - | \$ - |
| 18 | F&I Std. Fire Hydrant Assy. | EA | 6 | \$ - | \$ - |
| 19 | F&I Std. Fire Hydrant Assy. On Piling Foundation | EA | 2 | \$ - | \$ - |
| 20 | F&I 1-inch Water Service | EA | 32 | \$ - | \$ - |
| 21 | F&I 3-inch Road Crossing Casing and Boring for Water Service | EA | 20 | \$ - | \$ - |
| 22 | Connect New 12-inch Main to Existing 12-inch Main | LS | 2 | \$ - | \$ - |
| 23 | F&I 3-inch HDPE Low Pressure Sewer Force Main | LF | 4300 | \$ - | \$ - |
| 24 | Board Insulation | BF | 2000 | \$ - | \$ - |
| 25 | F&I 1 1/4-inch HDPE Low Pressure Sewer Force Main Service | EA | 32 | \$ - | \$ - |
| 26 | F&I 4" Road Crossing Casing and Boring for Low Pressure Sewer | EA | 12 | \$ - | \$ - |
| 27 | F&I ARV Vault on Low Pressure Sewer Force Main | LS | 1 | \$ - | \$ - |
| 28 | Sewer Manhole | LS | 1 | \$ - | \$ - |

Subtotal All Construction \$ -

Cost summaries:

| | | | |
|--------------------------------------|------|----------------------------|------|
| Water Construction | \$ - | Sewer Construction | \$ - |
| contingency (10%) utility relocation | \$ - | design (8%) | \$ - |
| | \$ - | contingency (10%) | \$ - |
| pipe oversizing reimbursement | \$ - | | \$ - |
| city admin (5%) | \$ - | city admin (5%) | \$ - |
| inspection/contract admin (4%) | \$ - | contract admin (4%) | \$ - |
| Total Water Project | | Total Sewer Project | |
| \$ - | | \$ - | |

Alaska Drinking Water Fund

Alaska Department of Environmental Conservation
Division of Water - State Revolving Fund Loans Program
555 Cordova St
Anchorage, AK 99501



Useful Life Certification

Project: _____

ADWF Loan No: _____ Community: _____

In accordance with Section 1452(f)(1) of the Safe Drinking Water Act, as amended by America's Water Infrastructure Act of 2018:

I hereby state that this project will result in infrastructure with a **minimum useful life of** _____ **years** as determined in accordance with generally accepted engineering principles and practices within this state and taking into account both the specific climatic and other environmental conditions of the infrastructure's site as well as the infrastructure's full, anticipated design use.

Professional Engineer's Signature & Official Seal

Date

Alaska Clean Water Fund

Alaska Department of Environmental Conservation
Division of Water - State Revolving Fund Program
555 Cordova Street
Anchorage, AK 99501



Useful Life Certification

Project: _____

ACWF Loan No: _____ Community: _____

In accordance with Section 603(d)(1)(A)&(B) of the Clean Water Act, as amended:

I hereby state that this project will result in infrastructure with a **minimum useful life of** _____ **years** as determined in accordance with generally accepted engineering principles and practices within this state and taking into account both the specific climatic and other environmental conditions of the infrastructure's site as well as the infrastructure's full, anticipated design use.

Professional Engineer's Signature & Official Seal

Date



STATE OF ALASKA
ALASKA CLEAN/DRINKING WATER FUND
GREEN PROJECT ASSESSMENT FORM

As applicable under the EPA annual capitalization grants provided to the Alaska Clean Water Fund and Alaska Drinking Water Fund loan programs, a portion of funds appropriated may be for projects that address green infrastructure, water or energy efficiency improvements or other environmentally innovative activities.”

For more information on green infrastructure development, please review the following EPA web site:
<https://www.epa.gov/green-infrastructure>

For projects to qualify as green, technical and financial aspects are assessed. The technical information can come from a variety of sources such as maintenance or operation records, engineering studies, project plans or other applicable documentation to identify problems (including any data on water and/or energy inefficiencies) in the existing facility, and clarify the technical benefits from the project in water and/or energy efficiency terms. Financial justifications show estimated savings to a project based on the technical benefits, and demonstrate that the green component of the project provides a substantial savings and environmental benefit.

GENERAL INFORMATION

Name of Community _____

Address _____

Contact Name _____ Title _____ Telephone (907) _____

PROJECT INFORMATION

Project Name _____ Location _____

Project Type: _____ New Construction _____ Upgrades
 _____ Stormwater Infrastructure _____ Energy Efficiency Project
 _____ Water Efficiency Project _____ Innovative Environmental Project

PROJECT & GREEN COMPONENT COSTS

| | <u>TOTAL PROJECT COSTS</u> | <u>TOTAL “GREEN” COMPONENT COSTS</u> |
|--|---------------------------------------|---|
| Administration | \$ _____ | \$ _____ |
| Legal | \$ _____ | \$ _____ |
| Preliminary Studies/Reports | \$ _____ | \$ _____ |
| Engineering Design | \$ _____ | \$ _____ |
| Inspection/Surveying/Construction Management | \$ _____ | \$ _____ |
| Construction | \$ _____ | \$ _____ |
| Equipment | \$ _____ | \$ _____ |
| Contingencies | \$ _____ | \$ _____ |
| Other _____ | \$ _____ | \$ _____ |
| Total Costs | \$ _____ | \$ _____ |

GREEN PROJECT CATEGORY & COSTS

Green Project Description: _____

Identify the most appropriate “Green” Clean Water or Drinking Water category project type.

ENERGY EFFICIENCY – the use of improved technologies and practices to reduce the energy consumption of water quality projects.

- _____ Wastewater/water utility energy audits _____ Clean power for public owned facilities
- _____ Leak detection equipment _____ Retrofits/upgrades to pumps & treatment processes
- _____ Replace/rehabilitation of distribution _____ Other: _____

WATER EFFICIENCY – the use of improved technologies and practices to deliver equal or better services with less water.

- _____ Water meters _____ Fixture Retrofit _____ Landscape/Irrigation
- _____ Graywater or other water recycling _____ Replace/rehabilitation of distribution
- _____ Leak detection equipment _____ OTHER: _____

GREEN INFRASTRUCTURE – Practices that manage and treat stormwater and that maintain and restore natural hydrology by infiltrating, evapotranspiring and capturing and using stormwater.

- _____ Green Streets _____ Water harvesting and reuse
- _____ Porous pavement, bioretention, trees, green roofs, water gardens, constructed wetlands
- _____ Hydromodification for riparian buffers, floodplains, and wetlands
- _____ Downspout disconnection to remove stormwater from combined sewers and storm sewers
- _____ OTHER: _____

ENVIRONMENTALLY INNOVATIVE PROJECTS – Demonstrate new/innovative approaches to managing water resources in a more sustainable way. This may include projects that achieve pollution prevention or pollutant removal with reduced costs and projects that foster adaptation of water protection programs and practices to climate change.

- _____ Wetland restoration _____ Decentralized wastewater treatment solutions
- _____ Water reuse _____ Green stormwater infrastructure _____ Water balance approaches
- _____ Adaptation to climate change _____ Integrated water resource management
- _____ OTHER: _____

CERTIFICATION STATEMENT:

I certify the above information is current and accurate.

Name

Title

Signature

Date



**ALASKA DRINKING WATER FUND PROGRAM
DEPARTMENT OF ENVIRONMENTAL CONSERVATION
CAPACITY ASSESSMENT WORKSHEET FOR POTENTIAL
PROJECTS**

The 1996 amendments to the federal Safe Drinking Water Act require Alaska to assess the capacity of potential recipients of loans from the Alaska Drinking Water Fund (ADWF). By capacity, EPA means the technical, financial and managerial capabilities of a water system for proper long-term operations. If a loan applicant is found lacking in these areas, we may not be able to provide financial assistance from the ADWF unless the capacity of the system is guaranteed.

Consequently, we are asking for detailed information from potential loan applicants to help us in this assessment. Such things as financial records, enterprise fund budgets and audits, along with detailed planning and engineering information for your system will help ensure our ability to provide you this loan for your project.

The following is an outline of our assessment process. Please carefully review and complete these worksheets and make sure the information you provide us is current and accurate.

TECHNICAL CAPACITY ASSESSMENT

We intend to use the following questions and answers to help us evaluate your systems technical capacity. These questions address the physical components of your drinking water system and are related to water treatment facilities, water sources, storage and pumping capacity and water distribution capacity. Pertinent technical documentation such as engineering feasibility studies and reports should be provided as appropriate.

- 1.) **Are the existing water treatment facilities adequate and functional?**
Please provide a description of the system and the proposed project.
Will this system likely meet federal and state drinking water regulations expected to be enacted within the next four years? *This includes the ICR, Groundwater Disinfection Rule and Enhanced Surface Water Treatment Rule.*

- 2.) **Is the existing water source developed and protected?**
Will this system likely meet future source protection requirements?

- 3.) **Is the current system able to meet peak demand flow and pressure in all points of the treatment and distribution system?**
What is the current peak demand and minimum pressure at peak demand?
Does the system experience seasonal or periodic difficulties?
When was the last leak detection survey? Please describe any corrections made.

4.) Does the system employ, or have access to, the correct level of certified or qualified operators?

Under State regulation, all water systems serving more than 500 people are classified as to complexity and require either a I,II,III or IV level operator or a qualified surface water system operator.

Please provide the name and certification number of your lead certified operator or operators in charge of your water treatment and water distribution systems.

5.) Has the water system been out of compliance with federal or state drinking water regulations within the past year?

Please provide any compliance or enforcement actions taken recently such as Notices-of-Violation (NOVs), Compliance-Order-By-Consent (COBCs), boil water notices and the most recent sanitary survey.

FINANCIAL CAPACITY ASSESSMENT

Financial capacity is assessed by examining the fiscal condition and financial management aspects of the system. Financial aspects relate to the systems ability to raise the necessary funds to ensure proper operation and maintenance, including long-term depreciation and reserve accounts. Financial management refers to the management of those fiscal aspects.

If a system is regulated by the Alaska Public Utilities Commission (APUC), information contained in the application for the current Certificate Of Public Convenience And Necessity or the annual APUC Report may help demonstrate financial capacity. A copy of the annual report to the APUC may also contain the necessary information related to financial capacity. For example, if a system is applying for the APUC certificate, a copy of the application package should be submitted for review with the ADWF loan application. If a system already has a current APUC Certificate, a copy of the annual report to the APUC should be submitted for review with the ADWF loan application.

For those systems that are not regulated by the APUC, have not completed an application package for certification by APUC, or have not submitted an annual report to the APUC, the following questions will help us evaluate the financial aspects of the system. These questions relate to total user charge revenues and total system expenses, other revenue streams, fairness and affordability of user charges, cash budgeting, preparation and use of annual and capital budgets, and periodic financial audits

1.) Does the water system have user ordinances and a rate structure?

How often are the rates reviewed or updated? When was the last update?

2.) Does the water system revenue from user charges meet or exceed system expenses?

Please submit your water utility budget documents that clearly show revenue and expenses.

3.) Are other funds contributed to water system operations to offset expenses?

4.) How affordable are water system rates?

What are the estimated residential rates per household (after the project) compared with the median household income and other similar system rates?

- 5.) **Does this system use an annual budget?**
- 6.) **Does the system include a cash budget within the annual budget for operations and emergency purposes?**
- 7.) **Does the system use a capital budget?**
- 8.) **Does this system use a capital improvement plan?**
- 9.) **Does this system undertake regular financial audits?**
Please provide the most recent financial audit of the water utility accounts, including any appropriate state single audit documents along with the auditor management letters.
- 10.) **How will this loan be repaid?**
Please describe how this loan debt will be retired. If user fees are proposed as the repayment source, how much will rates need to be increased to retire this loan?

MANAGERIAL CAPACITY ASSESSMENT

Managerial capacity is assessed by evaluating managerial qualifications and experience, organizational structure, the compliance history of the system, training programs offered, preventive maintenance programs, and documentation of ownership and responsibility.

The following questions help us to assess the systems managerial capacity and address the following aspects of system management:

- 1.) **How is the water system managed?**
Who is the system owner(s) and manager?
Does the system utilize personnel and policy procedures or manuals?
Does the system require or encourage continuing education for personnel?
What type of organizational structure exists?
- 2.) **Does the system have written operation and maintenance manuals?**
- 3.) **Does the system employ, as needed, the services of a professional engineer?**
- 4.) **Does the system have up-to date record or as-built drawings?**
- 5.) **Does the system implement a preventative maintenance program?**
- 6.) **Does the system have an emergency operating plan and safety program?**
- 7.) **What types of public outreach education programs are implemented?**
- 8.) **What professional organizations are operators & system managers members of?**

Alaska Clean Water Fund

Alaska Department of Environmental Conservation
Division of Water - State Revolving Fund (SRF) Program
555 Cordova Street
Anchorage, AK 99501



Cost and Effectiveness Certification

The project representative must check both boxes below and the form must be signed by both the project representative and the professional engineer for the project.

- 1) The municipality has studied and evaluated the cost and effectiveness of the processes, materials, techniques, and technologies for carrying out the proposed project or activity for which the assistance is sought under the Alaska Clean Water Fund (Alaska Statute 46.03.032); and
- 2) The municipality has selected, to the maximum extent practicable, a project or activity that maximizes the potential for efficient water use, reuse, recapture, and conservation, and energy conservation, taking into account:
 - a) The cost of constructing the project or activity.
 - b) The cost of operating and maintaining the project or activity over the life of the project or activity.
 - c) The cost of replacing the project or activity.

Project Information

Project Name: _____

ACWF Loan Number: _____

Municipality Name: _____

Certification

We certify that the project has completed both requirements (1) and (2) as checked above.

Project Representative

Print Name: _____

Signature: _____

Date (mm/dd/yyyy): _____

Professional Engineer

Print Name: _____

Signature: _____

Date (mm/dd/yyyy): _____

Fiscal Sustainability Plan Certification

The 2014 Clean Water Act amendments require recipients of Alaska Clean Water Fund loans for projects involving a publicly owned treatment works to certify that they have developed and implemented a Fiscal Sustainability Plan (FSP) or another plan that meets minimum requirements, or that they will prepare an FSP. The minimum required elements for an FSP are listed in Section 603(d)(1)(E) of the Clean Water Act. Loan recipients shall develop and implement a FSP that includes the following:

- An inventory of critical assets that are part of the system. Critical assets are those that are necessary for sustained system performance.
- An evaluation of the condition and performance of critical assets
- A plan for maintaining, repairing and replacing critical assets and for funding those activities; and
- An evaluation and implementation plan for water and energy conservation.

The FSP requirement applies to all publicly owned treatment works construction or design/construction projects funded in-part or in-full with State Revolving Fund (SRF) loans. The FSP must cover the entire system for which funding is provided. The “entire system” is defined in the following manner:

| If the SRF funding is for: | FSP must cover these minimum required elements: |
|--|--|
| Collection system only | Entire collection system |
| Treatment system only | Entire treatment system |
| Collection system and treatment system | Entire collection system and entire treatment system |

Check the appropriate statement and sign below.

- By signing below, the loan recipient certifies a Fiscal Sustainability Plan (FSP) has been developed and implemented that meets the minimum required elements listed above. The FSP certification statement must be submitted before a loan agreement is offered. The FSP will be available for ADEC review during a site visit or inspection.

The FSP includes: Collection system Treatment System Both collection & treatment systems

- By signing below, the loan recipient agrees to develop and implement a Fiscal Sustainability Plan (FSP) that will meet the minimum required elements listed above. The certification statement must be submitted before a loan agreement is offered. The FSP must be completed prior to final disbursement. The FSP will be available for ADEC review during a site visit or inspection.

The FSP will include: Collection system Treatment System Both collection & treatment systems

Signature

Date

Name

Title

Utility/Loan Recipient

Project Name

Office Use: Loan Agreement #