

State of Alabama
Alabama Department of Environmental Management
Drinking Water State Revolving Fund (DWSRF) Loan Program



Loans and Operator Certification Section
Permits and Services Division
Alabama Department of Environmental Management
Post Office Box 301463
Montgomery, Alabama 36130-1463

(334) 271-7796
(334) 271-7950 FAX

DWSRF Loan Application



Applicant: _____
Project Name: _____
Project Number: _____

Notes:

1. This application must be submitted no later than **May 1st**.
2. Submit two complete copies, with attachments, to the address shown above. At least one copy should contain original signatures and be notarized as shown in the application.

ADEM FORM 369 8/02

Alabama DWSRF Loan Application

TABLE OF CONTENTS

□ Introduction	3
□ Application for Alabama DWSRF Loan Funding.....	4
□ Consulting Engineer Information.....	5
□ Resolution Designating Official Representative.....	6
□ Certification of Resolution	7
□ Calculation of DWSRF Loan Share	8
□ Statement of Assurances	9
□ Intergovernmental Review Procedures.....	10
□ Certification Regarding Debarment and Suspension.....	11
□ Certification Regarding Federal, State and Local Laws – The Copeland Act.....	12
□ Site Certificate – Authorized Representative Certification	13
□ Site Certificate – Title Counsel Certification.....	14
□ EPA Form 4700-1	15
□ EPA Form 4700-4	16
□ Minority Business Enterprise (MBE) / Women’s Business Enterprise (WBE)	17
□ Implementation of 6 Affirmative Steps to Attain “Fair Share” Goals	18
□ MBE/WBE Contacts	19
□ DWSRF Financial Information Summary	20
□ Construction Cost Estimates.....	21
□ Operations and Maintenance Cost Estimates.....	22
□ Annual Water Charges	22
□ Financing and Revenues	22
□ Projected Outlay Schedule.....	23
□ Additional Financial Information.....	24
□ Part I – Systems Owned by Towns, Cities or Counties (General Obligation Pledge)	25
□ Part II – Systems Owned by Towns, Cities or Counties (Revenue Pledge)	26
□ Part III – Systems Owned by Boards, Authorities or Other Public Corporations	27
□ Environmental Information Document Outline:	28

Introduction

The Environmental Protection Agency (EPA) awards grants to States to capitalize funds that provide loan assistance for public water systems. Loan funds are principally derived from the proceeds of tax-exempt bonds issued by the Alabama Drinking Water Finance Authority (the Authority). The Authority consists of five members: the Governor, Lieutenant Governor, Speaker of the House, Finance Director and the ADEM Director. ADEM acts as agent to the Authority in the administration of the DWSRF loan program. ADEM performs the required environmental/technical reviews and disburses funds to loan recipients. Loan interest rates are fixed for a maximum 20-year amortization, beginning after the estimated construction completion date set forth in the application. Loan interest rates are set approximately 1.5% less than the rate for AAA rated tax-exempt municipal bonds.

Loans are available for public water supply systems to construct components such as water treatment plants, wells, storage tanks, booster pumping stations, and water mains. Land is eligible for loan funding only if it is an integral part of the project. Easements are not eligible for loan participation.

DWSRF loan applications are due May 1 of each year. Review of the applications takes place during the subsequent 90-180 days, with funding being made available to qualified applicants generally in December. Successful completion of an environmental/technical review by ADEM and the demonstration of the ability to repay the DWSRF loan are prerequisites to loan funding. Engineering/planning fees incurred in connection with the proposed project may be eligible for reimbursement once a loan agreement is executed between the Authority and the Loan Recipient, provided there is a valid contract for such services.

Applicants are required to demonstrate by means of a cost-effective analysis that they have selected the most cost-effective alternative.

Concurrence for the proposed project is required (in writing) from the Alabama Historical Commission, the U.S. Fish and Wildlife Service, ADECA's Office of Water Resources and the U.S. Army Corps of Engineers. Copies of the concurrence letters are required to be included with the application package.

An Environmental Information Document (EID) and plans and specifications are required to support each project with respect to technical and environmental matters. Please see the outline of the EID included in the application package for further guidance. Plans and specifications are required at the time the application is submitted.

Questions regarding the DWSRF Loan Application package should be directed to:

Loans and Operator Certification Section
Permits and Services Division
Alabama Department of Environmental Management

Phone: (334) 271-7796
FAX: (334) 271-7950
E-mail: ahw@adem.state.al.us
Internet: www.adem.state.al.us

Mailing Address:
Post Office Box 301463
Montgomery, Alabama 36130-1463

Overnight Delivery Address:
1400 Coliseum Boulevard
Montgomery, Alabama 36110-2059

Application for Alabama DWSRF Loan Funding

Applicant	County
Name and Title of Contact Person	Telephone
Street Address or Post Office Box	FAX
City, State, and Zip	Email
Total Project Cost \$	SRF Loan Amount Requested \$
Project Name	
Description of Project	

Certification

The undersigned representative of the applicant certifies that the information in the application and in the attached statements and exhibits is true, correct and complete to the best of the applicant's knowledge, information and belief. The applicant further certifies: That as evidenced by the attached Certified Resolution made by the applicant, the undersigned representative has been authorized to file this application; the applicant agrees that a SRF loan for the project is made pursuant to the Alabama Drinking Water Finance Authority Act, Act no. 97-415 (May 14, 1997), and ADEM Administrative Code Chapter 335-7-13, the applicant will pay all costs of the approved project not covered by the SRF loan; that all statements, data and supporting documents made or submitted by the applicant in connection with any applications for Authority assistance for the project are to be deemed a part of this application as if they were herein repeated and set forth in full.

Signature of Authorized Representative	Title of Authorized Representative
--	------------------------------------

Subscribed and sworn to
 this _____ day
 of _____,
 20_____. (SEAL)

Consulting Engineer Information

Attach a copy of each executed engineering contract to this application. The contract ceiling amount is required for accounting purposes – if the contract is on a percentage or cost basis please provide an estimated maximum cost.

You may attach additional copies of this form if multiple consulting engineers will design/inspect this project.

Name	Telephone
Firm	FAX
Street Address or Post Office Box	Email
City, State, and Zip	Contract Ceiling Amount

Consulting Engineer's Certification

I hereby give assurance and certify to the Alabama Department of Environmental Management that:

1. All plans and specifications for this project will be prepared in accordance with ADEM Design Guidance, April 1998 (or latest version).
2. An Operation and Maintenance (O&M) manual will be prepared for all new treatment works.
3. All contract specifications will contain ADEM Supplemental General Conditions, latest version.
4. A construction permit will be obtained from the Drinking Water Branch of ADEM prior to advertising the project for bidding.
5. No contracts will be awarded before a Project Review and Cost Summary package has been submitted to ADEM for review and issuance of an Approval to Award letter.
6. Unless prior, special arrangements have been made with ADEM, no materials-only contracts will be awarded for payment with DWSRF funds. Under no circumstances will in-kind labor be reimbursed with DWSRF funds.
7. The attached Environmental Information Document has been prepared in accordance with the outline provided in this application.

Signature of Consulting Engineer: _____

Date: _____

Resolution Designating Official Representative

WHEREAS, _____
(Legal Name of Applicant: City, Commission, Board etc.)

herein called the "Applicant", after thorough consideration of the various aspects of the problem and study of available data, has hereby determined that the construction of certain works required for the treatment and distribution of drinking water is desirable and in the public interest, and to that end it is necessary that action necessary for the construction of water treatment and/or distribution facilities be taken immediately; and

WHEREAS, under ADEM Administrative Code Chapter 335-7-13, the State of Alabama, has authorized the making of loans to aid in financing the cost of infrastructure needed to achieve/maintain compliance with the Safe Drinking Water Act and to protect/enhance public health objectives of the Act;

NOW, THEREFORE, BE IT RESOLVED BY:

_____ the governing body of said Applicant, as follows:

1. That _____
(Title of Officer)

is hereby authorized to file in behalf of the Applicant an application for a loan to be made by the Alabama Drinking Water Finance Authority;

2. That _____
(Title of Officer)

is hereby designated as the Authorized Representative of the Applicant for the purpose of furnishing to the Alabama Department of Environmental Management (ADEM) such information, data and documents pertaining to the application for a DWSRF loan from the Authority as may be required; and otherwise to act as Authorized Representative of the Applicant in connection with this application.

3. That certified copies of this resolution be included as a part of the application to be submitted to the Department for a loan.

Adopted, this the _____ day of _____, 20____

Signature: _____
Title: _____

Signature: _____
Title: _____

Approved, this the _____ day of _____, 20____

Signature: _____
Title: _____

Signature: _____
Title: _____

Certification of Resolution

I, the Undersigned, the duly qualified and acting:

_____ of the _____
(Title of Officer) *(Applicant)*

do hereby certify:

1. That the attached resolution is a true and correct copy of the resolution as adopted by a meeting of the governing body held on the ____ day of _____, 20__ and duly recorded in my office:

2. That said meeting was duly convened and held in all respects in accordance with the law and to the extent required by law, due and proper notice of such meeting was given; and a legal quorum was present throughout the meeting, and a legally sufficient number of members of the governing body voted in the proper manner and for the adoption of said resolution, that all other requirements and proceedings under the law incident to the proper adoption or passage of said resolution, including publication, if required, have been duly fulfilled, carried out, and otherwise observed; and that I am duly authorized to execute this certificate.

IN WITNESS THEREOF, I have herewith set my hand this _____ day of _____, 20_____ .

(SEAL)

Signature of Officer: _____
Typed or Printed Name of Officer: _____

Calculation of DWSRF Loan Share

Cost Classification	Total Amount Required	Amount Requested for DWSRF Loan
1. Administrative Expense:		
2. Land, structures, right-of-way <i>(not DWSRF loan eligible)</i>		
3. Engineering:		
a. Design:		
b. Basic A/E Fees:		
c. Other Engineering/Testing Fees: (specify)		
i.		
ii.		
iii.		
d. Construction Inspection Fees:		
Engineering Sub-Total:		
4. Construction:		
a. Contract 1:		
b. Contract 2:		
c. Contract 3:		
d. Contract 4:		
e. Contract 5:		
Construction Sub-Total:		
5. Construction Contingency:		
6. Equipment: (Specify)		
a.		
b.		
c.		
d.		
7. Other: (Specify)		
a.		
b.		
c.		
Totals:		

Statement of Assurances

The applicant, _____, hereby gives assurance and certifies to the Alabama Department of Environmental Management that:

- 1. The Applicant shall maintain its financial records in accordance with generally accepted accounting principles and auditing standards for governmental institutions.
- 2. The applicant shall comply with the requirements of the Water Supply and Construction permit requirements.
- 3. The applicant shall comply with all applicable requirements of Federal, State and local laws.
- 4. The applicant shall pay the unallowable costs of the construction of the project.
- 5. The applicant shall retain a certified water treatment system operator in accordance with ADEM Administrative Code Division 335-10, from the time of the completion of construction or initiation of operation, whichever is earlier, until such time as operation of the facility is discontinued.
- 6. Construction of the project, including the letting of contracts in connection therewith, shall conform to applicable requirements of Federal, State and local laws, ordinances, rules and regulations and to contract specifications and requirements.
- 7. The applicant shall comply with the Water Division – Water Supply Program ADEM Design Guidance, January 1998, when designing and constructing the project.
- 8. The applicant shall certify that the project will be initiated and completed in accordance with the schedule specified in the SRF Loan Agreement.
- 9. The applicant must submit proof that it, and its contractors and subcontractors, will comply with all insurance requirements of the Loan Agreement and that it shall be able to certify that the insurance is in full force and effect and that the premiums have been paid.

Signature of Authorized Representative: _____
 Title of Authorized Representative: _____

Subscribed and sworn to
 this _____ day
 of _____,
 20_____. (SEAL)

Intergovernmental Review Procedures

Intergovernmental review of DWSRF funded projects is required pursuant to Executive Order 12372. To fulfill this requirement, the applicant is required to submit a copy of their DWSRF loan application to the following entities for review and comment. Responses from these entities indicating concurrence with the proposed project are required (in writing) and must be included with the DWSRF Loan Application:

Regional Planning Agency

Complete this form and transmit a copy of the DWSRF Application Form (Page 4 of this application) to your Regional Planning Agency.

A. Applicant Name and Address:

B. Catalog of Federal Domestic Assistance Number and Title:

No. 66.468 - State Revolving Loan Program

C. Date Application Sent to ADEM:

Authorized Representative:

(Signature)

Certification Regarding Debarment and Suspension

DWSRF Project: _____

DWSRF Project No: _____

I, _____, _____, representing the
(Name) Title

_____ of _____,
(Organization) (City, Town, etc.)

Alabama do hereby certify that, to our knowledge, no services of any individual, organization, or unit of government for facilities planning or design work appears on the master list of debarments, suspensions, and voluntary exclusions, in accordance with CFR 35.2105, Debarment and Suspension.

Signature of Authorized Representative: _____

Title of Authorized Representative: _____

Date: _____

Site Certificate – Authorized Representative Certification

DWSRF Project: _____

DWSRF Project No: _____

I certify that the Applicant, _____, has acquired all real property including easements and rights-of-way that are or will be required for the construction, erection, extension, modification, operation and maintenance of the entire water treatment and distribution works within the scope of the DWSRF funded projects.

I certify that, if other municipalities are served by the water treatment and distribution works funded under the above referenced project, those municipalities have acquired all real property including easements and rights-of-way required for service to those municipalities.

I certify that the Title Counsel's Certification given on the attached certificate covers all real property including easements and rights-of-way that are or will be required for the construction, erection, extension, modification, operation and maintenance of the entire water treatment and distribution works within the scope of the funded under the above referenced project.

I further certify that all real property including easements required for the entire water treatment and distribution works funded under the above referenced project was acquired in accordance with the requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and Regulation 40 CFR Part 4.

Signature of Authorized Representative: _____

Title of Authorized Representative: _____

Date: _____

Site Certificate – Title Counsel Certification

DWSRF Project: _____

DWSRF Project No: _____

I, _____, Attorney at Law, representing
_____, as Title Counsel, do hereby certify:

1. That I have investigated and ascertained the location of, and am familiar with the legal description of the site or sites being provided by the Applicant for all elements of the water treatment and distribution works within the scope of the above referenced project to be constructed (modified, extended, improved, altered) operated and maintained in and upon such site or sites.
2. That I have examined the deed records of the county or counties in which said project is to be located and, in my opinion, the Applicant has a legal and valid fee simple title or such other estate or interest in the site of the project, including necessary easements and rights-of-way sufficient to assure undisturbed use and possession for the purposes of construction and operation and maintenance for the estimated life of the project.
3. That any deeds or documents required to be recorded in order to protect the title of the owner and the interest of the Applicant have been duly recorded and filed for record wherever necessary.
4. That, if applicable, the title to real property for which the Drinking Water Finance Authority has funded, has been encumbered in accordance with the requirements of State and local law to adequately protect the interest of the United States.
5. Remarks: *(use additional pages if necessary)*

Dated this _____ day of _____, 20 _____

Attorney at Law

Address

EPA Form 4700-1

**UNITED STATES
ENVIRONMENTAL PROTECTION AGENCY
ASSURANCE OF COMPLIANCE FOR
TITLE VI OF THE CIVIL RIGHTS ACT OF 1964 AND
SAFE DRINKING WATER ACT AMENDMENTS OF 1996**

Name and Address of Applicant/Recipient: <i>(hereinafter called Assuror)</i>	DWSRF Project Number	Loan Amount Requested
		\$
	TYPE OF ASSISTANCE	
	<input type="checkbox"/> DEMONSTRATION <input type="checkbox"/> RESEARCH <input type="checkbox"/> TRAINING <input checked="" type="checkbox"/> OTHER <i>(Specify)</i> DWSRF LOAN	
	CHECK ONE:	
	<input checked="" type="checkbox"/> NEW	<input type="checkbox"/> CONTINUATION

HEREBY AGREES THAT IT will comply with Title VI of the Civil Rights Act of 1964 (88-352) and all requirements of the U.S. Environmental Protection Agency (hereinafter called "EPA") issued pursuant to that title, to the end that in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Assuror receives financial assistance from EPA and hereby gives assurance that it will now and hereafter take all necessary measures to effectuate this agreement.

HEREBY AGREES THAT IT will comply with all applicable requirements of the Safe Drinking Water Act Amendments of 1996 and all requirements of EPA issued pursuant to that Act, to the end that in accordance with that Act, no person in the United States shall, on the ground of sex be excluded from participation in, denied the benefits of, or be otherwise subjected to discrimination under any program or activity under the said Safe Drinking Water Act Amendments for which the Assuror receives financial assistance from EPA and hereby gives assurance that it will now and hereafter take all necessary measures to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of financial assistance extended to the Assuror by EPA, this Assurance obligates the Assuror, or, in the case of any transfer of such property, any transferee for the period during which the real property or structure is used for a purpose involving the provisions of similar services or benefits. If any personal property is so provided, this Assurance obligates the Assuror for the period during which it retains ownership or possession of the property. In all other cases, this Assurance obligates the Assuror for the period during which the financial assistance is extended to it by EPA.

THE ASSURANCE is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property discounts or other financial assistance extended after the date hereof to the Assuror by EPA including installment payments after such date on account of arrangements for Federal financial assistance which were approved before such date. The Assuror recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance and that the United States shall reserve the right to seek judicial enforcement of this Assurance. This Assurance is binding on the Assuror, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the Assuror.

The obligations assumed by the Assuror hereunder are in addition to any obligations which may be imposed on the Assuror applicable regulation now outstanding or which may hereafter be adopted by EPA to effectuate any provision or goal of by any Title VI and all applicable requirements of the said Act, and no part of this Assurance shall be read so as to in any way detract from or modify any obligation which may be imposed on the Assuror by any such regulation standing alone.

Signature Of Assuror By President, Chairman Of Board Or Comparable Authorized Official:	Date:
--	--------------

EPA Form 4700-4

United States Environmental Protection Agency Washington, DC 20460 EPA Preaward Compliance Review Report For All Applicants Requesting Federal Financial Assistance		Form Approved OMB No. 2090-0014
Note: Read instructions on reverse side before completing form.		
I.A. Applicant (Name, City, State)	B. Recipient (Name, City, State)	C. DWSRF Project No.
II. Brief description of proposed project, program, or activity.		
III. Are any civil rights lawsuits or complaints pending against the applicant and/or recipient? If "Yes", list those complaints and the disposition of each complaint.		<input type="checkbox"/> Yes <input type="checkbox"/> No
IV. Have any civil rights compliance reviews of the applicant and/or recipient been conducted by any Federal Agency two years prior to this application for activities which would receive EPA assistance? If "Yes", list those compliance reviews and status of each review.		<input type="checkbox"/> Yes <input type="checkbox"/> No
V. Is any other Federal financial assistance being applied for or is any other Federal financial assistance being applied to any portion of this project, program or activity? If "Yes", list the other Federal Agency(s), describe the associated work and the dollar amount of assistance.		<input type="checkbox"/> Yes <input type="checkbox"/> No
VI. If entire community under the applicant's jurisdiction is not served under the existing facilities/services, or will not be served under the proposed plan, give reasons why.		
VII. Population Characteristics		Number of People
1.A. Population of entire service area		
B. Minority population of entire service area		
2.A. Population currently served		
B. Minority population currently served		
3.A. Population to be served by project		
B. Minority population to be served by project		
4.A. Population to remain without service		
B. Minority population to remain without service		
VIII. Will all new facilities or alterations to existing facilities financed by these funds be designed and constructed to be readily accessible to and useable by handicapped persons? If "No", explain how a regulatory exception (40 CFR 7.70) applies.		<input type="checkbox"/> Yes <input type="checkbox"/> No
IX. Give the schedule for future projects, programs or activities (or of future plans), by which service will be provided to all beneficiaries within applicant's jurisdiction. If there is no schedule, explain why.		
X. I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law.		
A. Signature of Authorized Official	B. Title of Authorized Official	C. Date
For the U.S. Environmental Protection Agency		
<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Authorized EPA Official	Date

EPA Form 4700-4

Minority Business Enterprise (MBE) / Women's Business Enterprise (WBE)

The DWSRF program requires all projects to comply with:

- Civil Rights Act of 1964 & 1990
- Executive Order 11246 (Equal Employment Opportunity)
- Executive Order 11625 and 12138 (MBE/WBE)

In compliance with the Federal regulations governing the DWSRF program, the State has negotiated a MBE/WBE "fair share" objective of:

3.1% MBE participation + 2.4% WBE participation

These "fair share" objectives are required to be stated in the loan agreement and in the project specifications (DWSRF Supplemental Special Conditions).

The loan recipient is required to take affirmative steps to assure MBE/WBE's are utilized when possible as sources of supplies, construction and services.

The affirmative steps required for procurement of MBE/WBE's are as follows:

1. Include qualified MBE/WBE's on solicitation lists.
2. Assure that MBE/WBE's are solicited whenever they are potential sources.
3. Dividing total requirements, when economically feasible, into small tasks or quantities to permit maximum participation of MBE/WBE's.
4. Using the services and assistance of:
 - a) the Office of Small and Minority Business Assistance in the Alabama Development Office
 - b) the Minority Business Development Centers
 - c) the Alabama Department of Transportation (DOT) for acquiring a list of DOT certified MBE/WBE's which can be found at <http://www.dot.state.al.us/docs>
5. Establishing delivery schedules, where the requirements of the work permit, which will encourage participation of MBE/WBE's
6. Requiring each contractor to take the affirmative steps of items 1-5 above in procuring subcontractors.

The State will review the loan recipient's progress in complying with the ME/WBE participation goals as an integral part of:

- Plans and Specifications review process (inclusion of DWSRF Supplemental Special Conditions in construction specifications)
- the Project Review and Cost Summary/Approval-to-Award process relative to construction contracts, and
- the MBE/WBE utilization reporting process during construction.

Implementation of 6 Affirmative Steps to Attain “Fair Share” Goals

1. Include qualified MBE/WBE's on solicitation lists.
 - a) Maintain and update a listing of qualified MBE/WBE's that can be solicited for supplies, construction and/or services.
 - b) Provide this listing to all interested parties who requested to be placed on the bidder's mailing list or requested copies of bid or proposal documents
 - c) Contact sources within geographic area of project to identify qualified MBE/WBE's for placement on MBE/WBE list.
 - d) Check for other MBE/WBE listings such as those utilized by the State Minority Business Office, the Small Business Administration, Minority Business Development Office, EPA Region IV Office of Small and Disadvantaged Business Utilization (OSBDU), or the Alabama Department of Transportation.
2. Assure that MBE/WBE's are solicited whenever they are potential sources.
 - a) Conduct meetings, conferences and follow-ups with MBE/WBE's, small, minority and/or women's business associations, minority media etc., to inform these groups of opportunities to provide supplies, services and construction.
 - b) Conduct pre-bid, pre-solicitation and post-award conferences to ensure that consultants, suppliers and builders solicit MBE/WBE's.
 - c) Provide bidders with listings of qualified MBE/WBE's and establish that a fair share of subagreements be awarded.
 - d) Advertise in general circulation, trade publications, State agency publications of identified MBE/WBE's, minority or women's business focused media, etc., concerning contracting opportunities on your projects. Maintain a list of minority or women's business focused publications that may be used to solicit MBE/WBE's.
 - e) Provide interested MBE/WBE's with adequate information about plans, specifications and other requirements of the proposed projects.
 - f) Provide interested MBE/WBE trade organizations with summaries of bid solicitations.
 - g) Consider notifying MBE/WBE's of future procurement opportunities so that they may establish bidding solicitations and procurement plans.
3. Dividing total requirements, when economically feasible, into small tasks or quantities to permit maximum participation of MBE/WBE's.
 - a) Perform an analysis to identify portions of work that can be divided and performed by qualified MBE/WBE's.
 - b) Scrutinize the elements of the total project to develop economically feasible units of work that are within the bonding range of MBE/WBEs.
 - c) Analyze bid packages to afford MBE/WBEs maximum participation.
4. Use the appropriate services and assistance of:
 - a) the Office of Small and Minority Business Assistance in the Alabama Development Office
 - b) the Minority Business Development Centers

- c) the Alabama Department of Transportation (for WBEs)
 - d) the Small Business Association
5. Establish delivery schedules, within the requirements of the work permit, which will encourage participation of MBE/WBEs.
- a) Consider lead times and scheduling requirements often needed by MBE/WBE firms.
 - b) Develop realistic delivery schedules, which may provide for greater MBE/WBE participation.
6. Require each contractor to take the affirmative steps of items 1-5 above in procuring subcontractors.

Use the services of outreach programs sponsored by the Minority Business Development Agency and/or the Small Business Association to recruit bona fide firms for placement on MBE/WBE bidder's lists and to assist these firms in the development of bid packaging.

Seek out Minority Business Development Centers (MBDCs) to assist you in identifying MBE/WBEs for potential work opportunities on your projects.

MBE/WBE Contacts

Governor's Office of Minority and Women's
Business Enterprises
401 Adams Avenue
Suite 360
Montgomery, Alabama 36130
1-800-447-4191
334/242-5823
334/242-4203 FAX

Alabama Small Business Development
Consortium
1717 11th Avenue, Suite 419
Birmingham, Alabama 35294
205/934-7260
205/934-7645

U.S. Small Business Administration
<http://www.pro-net.sba.gov>

Alabama Department of Transportation
1409 Coliseum Boulevard
Montgomery, Alabama 36130
334-244-6261
334 244-6262
<http://www.dot.state.al.us/docs>

EPA Region IV
MBE/WBE Coordinator
404 562-9634
<http://www.epa.gov/region4/>

U.S. Department of Commerce
Minority Business Development Agency
401 West Peachtree Street NW – Suite 1715
Atlanta, Georgia 30308
404/730-3300
404/730-3313 FAX
<http://www.mbd.gov/>

Birmingham MBOC
City of Birmingham
710 20th Street North
Birmingham, Alabama 35203
205/254-2799
205/254-7741 FAX
ajmayo@ci.birmingham.al.us

Birmingham Construction Industry Authority
Michael Bell, Executive Director
David Merrida, Associate Director
3600 4th Avenue South
Birmingham, Alabama 35222
205/324-6202
205/324-6210 FAX
<http://www.bcia1.org>

DWSRF Financial Information Summary

Applicant: _____
Project Name: _____
DWSRF Project No.: _____
Loan Amount: _____

Description of Proposed Facilities:

Certification of Financial Capability

_____ *(Applicant) has analyzed the cost and financial impacts of the proposed facilities and hereby certifies that it has the legal, institutional, managerial and financial capability to finance and manage the construction, operation, and maintenance of the proposed project.*

Signed: _____
(Authorized Representative)

Date: _____

Construction Cost Estimates

(Use additional sheets if necessary)

Water Treatment Plant(s):	Construction Cost
1:	
2:	
3:	
Water Treatment Sub-Total:	

Transmission and Distribution:	Cost
1:	
2:	
3:	
Trans. & Distr. Sub-Total:	

Source Development:	Cost
1:	
2:	
3:	
Source Devel. Sub-Total:	

Storage:	Cost
1:	
2:	
3:	
Storage Sub-Total:	

Miscellaneous (specify):	Cost
1:	
2:	
3:	
Miscellaneous Sub-Total:	

Engineering/Administration:	Cost
Administration:	
Design/Planning:	
Basic A/E Fees:	
Construction Inspection:	
Other: (specify):	
Engineering Sub-Total:	

Land Acquisition/Easements (Confirm eligibility with ADEM):	Cost
Land:	
Easements:	
Land Acquisition/Easements Sub-Total:	

Total Project Cost:	
----------------------------	--

Operations and Maintenance Cost Estimates

Annual O&M Costs:	Cost
Labor (Plant Operators):	
Utilities:	
Materials:	
Outside Services:	
Misc. Expenses:	
Total Annual O&M:	

Annual Water Charges

	Current	Revised
Number of Residences Served:		
Water Revenue:		
Number of Commercial/Industrial Users:		
Water Revenue:		

Residential Water Charges vs. 2000 Median Annual Household Income (MAHI)

	Current	Revised
Median Annual Household Income:		N/A
Average Annual Residential Water Bill:		
Annual Water Bill as % of 2000 MAHI:		

Financing and Revenues

New Facilities:

Total to be Borrowed from DWSRF:		
Term of Loan:	20	yrs
Interest Rate (<i>estimated</i>):		%
Estimated Debt Service Payment to DWSRF:		/yr

Existing Water System Debt/O&M:

Existing O&M:		/yr
Existing Water Debt Service Obligations:		/yr
Other Debt Service/Operations Obligations:		/yr
		/yr
		/yr
Total Existing Annual Obligations:		/yr
Total Projected Annual Debt Obligations:		/yr

Projected Outlay Schedule

Year: _____

Month	Outlay
Jan	
Feb	
Mar	
Apr	
May	
Jun	
Jul	
Aug	
Sept	
Oct	
Nov	
Dec	

Year: _____

Month	Outlay
Jan	
Feb	
Mar	
Apr	
May	
Jun	
Jul	
Aug	
Sept	
Oct	
Nov	
Dec	

Year: _____

Month	Outlay
Jan	
Feb	
Mar	
Apr	
May	
Jun	
Jul	
Aug	
Sept	
Oct	
Nov	
Dec	

*Grand Total: _____

*Must equal loan amount requested.

Construction Start Date: _____

Construction Completion Date: _____

Note: The construction completion date should be selected carefully, as loan repayment will begin immediately thereafter. Please contact the Loans and Operator Certification Section if you have any questions.

Additional Financial Information

INSTRUCTIONS:

1. For “Systems owned by Towns, Cities, or Counties” where the security for the SRF loan will be a general obligation pledge of the Loan Recipient, please complete Part I only.
2. For “Systems owned by Towns, Cities or Counties” where the security for the SRF loan will be a pledge of revenues of the water and/or sewer system of the Loan Recipient, please complete Part II only.
3. For “Systems owned by Boards, Authorities or other public corporations” please complete Part III only.

Part I – Systems Owned by Towns, Cities or Counties (General Obligation Pledge)

A. Financial Information

1. The latest three years financial statements. Any unaudited statements as they become available.
2. Please enclose final official statements for any bond issues completed by the Loan Recipient the last two years.
3. Please provide a list of all currently outstanding general obligation indebtedness, including the title of the issue, the series designation, the date of the issue, the original principal amount of the debt, and the date of final maturity of the debt.
4. If not provided in the Loan Recipient's audited financial statements, please provide debt service requirements for total outstanding general obligation indebtedness on a yearly basis for all years in which debt service is currently payable.
5. Ad valorem tax rates currently levied on property within the jurisdiction of the Loan Recipient, broken down by millage rate per taxing authority (i.e., the state, county, city and any special assessments).
6. The top ten ad valorem taxpayers of the Loan Recipient for previous year and the amount of taxes paid by each.
7. The amount of ad valorem tax collected by the Loan Recipient for the past five years.
8. Total collections of the sales and use tax collected by the Loan Recipient for the past five years.
9. Business tax receipts collected by the Loan Recipient in each year for the past five years.
10. Current and proposed water and/or sewer rate schedules.

Demographic Information

1. A one paragraph description of the location of the Loan Recipient and governing structure.
2. Please provide a brief description of the transportation system, the elementary and secondary education systems and the health services provided in the Loan Recipient's service area.
3. Population of the Loan Recipient as reported by the Census Bureau for 1960, 1970, 1980, 1990 and 2000.
4. Please list the major employers for the Loan Recipient, broken out by industry, products and number of employees.

5. WATER & SEWER ACCOUNT INFORMATION

	20__	20__	20__	20__	20__
No. of water accounts					
No. of sewer accounts					

6. PRIMARY CUSTOMERS - For those customers (if any) that exceed 2% of total operating revenue for the water and/or sewer system.

Name of Customer	Industry/Field	FY20__ Annual Water Revenue	FY20__ Annual Sewer Revenue

7. WATER USAGE

	20__	20__	20__	20__	20__
Total Production (gallons)					
Daily Maximum (gallons)					
Daily Average (gallons)					

8. SEWER SYSTEM (if appropriate)

	20__	20__	20__	20__	20__
Average Daily Flow					
Total Gallons Treated					

Part II – Systems Owned by Towns, Cities or Counties (Revenue Pledge)

A. Financial Information:

1. The latest three years financial statements. Any unaudited statements as they become available.
2. Please enclose final official statements for any bond issues completed by the Loan Recipient the last two years.
3. Please enclose the master trust indenture of the Loan Recipient.
4. Please provide a list of all currently outstanding revenue obligations, including the title of the issue, the series designation, the date of the issue, the original principal amount of the debt and the date of final maturity of the issue.
5. If not provided in the financial statements, please provide debt service requirements for total outstanding indebtedness of the Loan Recipient payable from revenues of the waste and/or sewer system on a yearly basis for all years in which debt service is currently payable.
6. Ad valorem tax rates currently levied on property within the jurisdiction of the Loan Recipient, broken down by millage rate per taxing authority (i.e., the state, county, and city and any special assessments).
7. Information furnished by the County Tax Assessor’s office as to the assessed value of taxable properties (including motor vehicles) located within the jurisdiction of the Loan Recipient for the past five years.
8. Current and proposed water and/or sewer rate schedules.

B. Demographic Information:

1. A one paragraph description of the location of the Loan Recipient and its governing structure.
2. A brief description of the Project.
3. Population of the Loan Recipient, as reported by the Census Bureau for 1960, 1970, 1980, 1990 and 2000.
4. A brief description of the assets owned by the Loan Recipient that comprises its water and/or sewer system.

5. WATER & SEWER ACCOUNT INFORMATION

	20__	20__	20__	20__	20__
No. of water accounts					
No. of sewer accounts					

6. PRIMARY CUSTOMERS - For those customers (if any) that exceed 2% of total operating revenue for the water and/or sewer system.

Name of Customer	Industry/Field	FY20__ Annual Water Revenue	FY20__ Annual Sewer Revenue

7. WATER USAGE

	20__	20__	20__	20__	20__
Total Production (gallons)					
Daily Maximum (gallons)					
Daily Average (gallons)					

8. SEWER SYSTEM (if appropriate)

	20__	20__	20__	20__	20__
Average Daily Flow					
Total Gallons Treated					

Part III – Systems Owned by Boards, Authorities or Other Public Corporations

A. Financial Information

1. The latest three years financial statements. Any unaudited statements as they become available.
2. Please enclose final official statements for any bond issues completed by the Loan Recipient the last two years.
3. Please provide a list of all currently outstanding debt of the Loan Recipient, including the title of the issue, the series designation, the date of the issue, the original principal amount of the debt and the date of final maturity of the issue.
4. Current and proposed water and/sewer rate schedules.

B. Demographic Information

5. A one paragraph description of the area served by the Loan Recipient and the services provided by the Loan Recipient.
6. A brief description of the Project.
7. A brief description of the assets owned by the Loan Recipient that comprise its water and/or sewer system.

8. WATER & SEWER ACCOUNT INFORMATION

	20__	20__	20__	20__	20__
No. of water accounts					
No. of sewer accounts					

9. PRIMARY CUSTOMERS - For those customers (if any) that exceed 2% of total operating revenue for the water and/or sewer system.

Name of Customer	Industry/Field	FY20__ Annual Water Revenue	FY20__ Annual Sewer Revenue

10. WATER USAGE

	20__	20__	20__	20__	20__
Total Production (gallons)					
Daily Maximum (gallons)					
Daily Average (gallons)					

11. SEWER SYSTEM (if appropriate)

	20__	20__	20__	20__	20__
Average Daily Flow					
Total Gallons Treated					

Environmental Information Document Outline:

The Applicant must prepare an **Environmental Information Document (EID)** to support DWSRF funding for the proposed water treatment/distribution works. The EID describes and evaluates the environmental impacts of the feasible alternatives of which there should be, as a minimum, **at least four**: the chosen alternative, no action, and two additional alternatives. Furthermore, the alternatives should be substantially different in scope and/or placement and should be thoroughly compared/contrasted within the framework of the following guidelines.

Prior to preparation of the EID, the Applicant should obtain concurrence for the proposed project from the Alabama Historical Commission (AHC), the U. S. Fish and Wildlife Service (rare and endangered species protection), the US Army Corps of Engineers (floodplain management, floodway management, wetlands, Section 404 permits, dredge and fill, structures placed in navigable waterways), the Tennessee Valley Authority (TVA, where applicable), the Alabama Power Company (where applicable), ADECA's Office of Water Resources (new wells and surface sources) and the Regional Planning Agency. Written concurrence from these entities must be attached to the application. **COMPLETION OF THE ENVIRONMENTAL REVIEW MAY NOT OCCUR UNTIL SUCH CONCURRENCE LETTERS ARE SUBMITTED.**

Included in the environmental review process is public participation culminating in a public meeting, which presents the proposed project to the public and includes discussion of both environmental and financial impacts. Minutes of the public meeting, with proof(s) of advertising and a sign-in sheet of attendees must be included as a part of the EID. The public meeting should be conducted prior to submission of the DWSRF application.

The EID shall be prepared according to the following outline:

A. Existing Environment.

1. Location of the Project Area(s).

- a. With relation to the City/Town/Service Area.
- b. With relation to the County and State borders.
- c. In relation to the nearest metropolitan statistical area (MSA).
- d. Plotted on the most current USGS Quadrangle Map (with the name, number, scale and revised date of the quadrangle used).

B. Existing Facilities.

1. Name, type and compliance status of all water sources that will be affected by or will supply the project area. For surface sources, identify the source watershed
2. Population served, population to be served by this project, and remaining population without potable water.
3. Condition of existing water treatment/distribution system.

C. Need for Proposed Facilities.

Note: projects that primarily intended to serve growth are not eligible for DWSRF funding.

1. Documentation of public health problems that will be corrected by the proposed project.
 - a. From the local public health agency, concerned citizens, ADEM, other governmental agencies, or the Consulting Engineer. (Examples include private well contamination, water source quality, etc.)
2. Lack of treatment capacity.
 - a. Include need(s) to increase capacity and a discussion of historical (seasonal) flow data.
3. Lack of treatment capability/quality, to include:
 - a. Discussion of permit violations to which the City/Town/Board/Authority is a party.
 - b. Discussion of any Administrative or Consent Order to which the City/Town/Board/Authority is a party.

D. Proposed Facilities and Proposed Funding.

1. Proposed Facilities

- a. Water treatment /distribution facilities to be constructed/upgraded/modified/affected.
 - I. Average daily flow for both current and design years.
 - II. Expected daily peak and minimum flow for both current and design years.
 - III. Expected water quality from new/upgraded facilities.
 - IV. Identify the surface or groundwater source to be developed.
 - V. Identify any land that must be obtained in order to construct/modify facilities.
 - VI. For water treatment facilities, identify the method of sludge disposal (if applicable) and any items to satisfactorily carry out the disposal (purchase more land, new permits for landfilling, etc.)
- b. Include Vicinity Map(s) that
 - I. Clearly show(s) the project area(s) in relation to nearby roads and streets.
 - II. Include(s) a North Arrow and Graphical Scale.
 - III. Clearly show(s) the location of the project area(s) by coordinates (State Plane Coordinates NAD83 (92 Corrections) or Metes and Bounds tied to the Rectangular Grid system of the State of Alabama or UTM Coordinates.

2. Proposed Funding Source(s)

- a. Funding source(s), status and amount(s).

E. Alternative Analysis.

1. Discussion of all feasible alternatives, to include:

- a. Alternative processes and/or locations considered.
- b. Alternative distribution/storage systems.
- c. Leakage reduction measures.
- d. Interconnections with nearby water systems.
- e. Physical, legal, or institutional constraints.
- f. Regulatory requirements.
- g. Capital and operations and maintenance (O&M) costs.
- h. Significant, irreversible, and/or unavoidable environmental impacts.

2. Choosing an alternative.

- a. Must include the "no action" option and why it was not chosen.
- b. Must clearly indicate the chosen alternative and why it has been chosen.
- c. Must provide an in depth (E 1 a – i) discussion of AT LEAST two other alternatives (in addition to the two alternatives discussed in E 2 a & b).

F. PHYSICAL DATA.

1. Description of the Topography of the City/Town and of the specific site area(s).
2. Description of the Geology of the City/Town and of the specific site area(s). (See link ¹).
3. Hydrology of the City/Town and of the specific site area(s).
4. Climate and Precipitation of the City/Town to include:
 - a. Average annual temperature (see link ²).
 - b. Average annual range of temperatures (see link ³).
 - c. Average annual rainfall (see link ⁴).
 - d. Average snowfall (if applicable).
 - e. Length of the growing season with average date of the first and last freeze (see links ^{5,6,7}).
 - f. Direction and Speed of prevailing winds for summer and winter (see links ^{8,9}).

5. Floodplains, floodways, and wetlands impact(s).
 - a. The project area(s) must be clearly located on the applicable Flood Insurance Rate Map (FIRM) with Panel Name, Panel Number, Date and graphical scale provided.
 - b. The project area(s) must be shown in relation to all activities within the project area, including temporary construction easements, and any permanent or man-made features in order to facilitate a clear understanding of the project location.
 - c. The potential effect of the project on these areas should be examined and discussed in detail.
 - d. Any chosen alternative that affects a floodplain, floodway and/or wetland must include:
 - I. A description of alterations to landforms, streams, and natural drainage patterns within the floodplain/floodway/wetland and their effect on local watercourses and the project.
 - II. A discussion of why the alternative is proposed in the floodway/floodplain/wetland.
 - III. A discussion of how the alternative will conform to applicable Federal, State, and/or local floodplain/floodway/wetland protection standards.
 - IV. A discussion of how the alternative is designed to minimize the potential harm to the floodplain/floodway/wetland.
 - V. Include a map clearly showing the relationship between the floodplain/floodway/wetland and all construction activities with contours of existing and finished grades and flood elevation(s).

6. Description of water mains to be constructed/replaced.
 - a. Size, type and classification of pipe(s).
 - b. Indicate bore and excavation methods, especially as they relate to existing watercourses, flood plains, floodways, and/or wetlands.
 - c. Demonstrate that the water source/storage system has capacity to supply additional flow, if any.
 - d. If rehabilitation of water lines will take place clearly indicate the type of repair(s) and the corresponding segment(s) of pipe.
 - e. Clearly delineate the location and type of construction/rehabilitation on a vicinity map that is of sufficient scale and size to be legible and that clearly relates the work to the surrounding environment (i.e. show all watercourses, structures, roads and utilities that are visible).

G. Environmental Consequences and Mitigative Measures.

1. Historical and Archaeological Features.
 - a. Include the concurrence/nonconcurrence letter from the Alabama Historical Commission (AHC).
 - b. Discuss any comments made by AHC and the effect on the proposed project.
 - c. Include a copy of any archaeological survey(s) performed for the AHC.
 - d. Insure that all contracts are awarded with the stipulation that "Should previously undetected cultural resources be encountered during project activities, work shall cease and the Alabama Historical Commission shall be contacted immediately."

2. Endangered Species and Critical Habitat.
 - a. Include the concurrence/nonconcurrence letter from the U. S. Fish and Wildlife Service.
 - b. Discuss any comments made by the U. S. Fish and Wildlife Service and the effect on the proposed project.
 - c. Include a copy of any survey(s) performed for the U. S. Fish and Wildlife Service.
 - d. Insure that all contracts are awarded with required Best Management Practices (BMP) plans, guidelines, and responsible entity.

3. Floodplain, Floodway, and Wetlands.
 - a. Include the concurrence/nonconcurrence letter from the U. S. Army, Corps of Engineers.
 - b. Discuss any comments made by the U. S. Army, Corps of Engineers and the effect on the proposed project.

4. Tennessee Valley Authority (if applicable).
 - a. Include the concurrence/nonconcurrence letter from the Tennessee Valley Authority.
 - b. Discuss any comments made by the Tennessee Valley Authority and the effect on the proposed project.

5. Alabama Power Company (if applicable).
 - a. Include the concurrence/nonconcurrence letter from the Alabama Power Company.
 - b. Discuss any comments made by the Alabama Power Company and the effect on the proposed project.
6. Regional Planning Agency.
 - a. Include the concurrence/nonconcurrence letter from the Regional Planning Agency.
 - b. Discuss any comments made by the Regional Planning Agency and the effect on the proposed project.
7. ADECA Office of Water Resources
 - a. Include the concurrence/nonconcurrence letter from ADECA OWR.
 - b. Discuss any comments made by ADECA OWR and the effect on the proposed project.
8. Environmental Justice.
 - a. Environmental justice is the fair treatment and meaningful involvement of all people, regardless of race, color, national origin, or income, with respect to the development, implementation, and enforcement of environmental laws, regulations and policies. Fair treatment means that no group of people, including a racial, ethnic, or socioeconomic group should bear a disproportionate share of the negative environmental consequences resulting from industrial, municipal, and commercial operations or the execution of federal, state, local, and tribal programs and policies.
 - b. Discuss the impacts of the project on Environmental Justice areas affected.
 - c. Ensure that public participation and/or notification is enhanced if Environmental Justice areas are affected by the project.
9. Pollution from Construction Activities.
 - a. Noise causes, intensity, and duration.
 - b. Erosion and siltation causes, duration and mitigation plan.
 - c. Dust causes, intensity, and duration.
 - d. Best Management Practices (BMP) and implementation plan
 - e. Impact on Public Parks and/or Prime Agricultural Land.
 - f. Impact on 303d listed streams.
 - g. Impacts from stream crossings.
 - h. If land clearing is involved, discuss the precautionary methods to be taken in order to protect the area environment from the use of herbicides, defoliants, blasting, cutting, and/or burning.
 - i. Specify the final disposal method for soil and vegetative spoil.
 - j. If facilities are to be abandoned, discuss what will be done with the abandoned structures and/or land.
10. Public Participation.
 - a. The Public Meeting must be held before May 1st. Please contact the appropriate Project Engineer at ADEM to find out if the project will affect an Environmental Justice area(s) no later than March 15th.
 - b. Proof of advertising. Advertisement should run at least once per week for four consecutive weeks in the newspaper that serves the affected area.
 - c. If Environmental Justice areas are affected by the project then the advertisement requirement is expanded to ensure that the affected populations are made aware of the project and have every opportunity to respond. Examples of additional advertisements are:
 - I. Mailings to each residence affected (provide affidavit of mailing and a copy of the letter used as an addendum to this document).
 - II. Running an ad on a radio or television station that serves the affected community (provide an affidavit and transcript of the ad).
 - III. Advertise in a newspaper or other periodical that serves the affected community (provide a publishers affidavit and a copy of the ad).
 - IV. The Public Meeting should be held after 6:00 P.M. (local time) and should be in a building that is easily found and highly accessible. A sign-in sheet should be made available to everyone, and should be included as an addendum to this document.
 - d. Maintain at least one copy of the EID in a public facility (the City/Town Hall, the Board/Authority Office, the local Library, the place of the meeting or the local Post Office) for public review from the first day in which any advertisement is published through the time of the public meeting. The advertisement(s)

should inform the public of the existence of this document, the location of this document during business hours, and that this document is for public review.

- e. The agenda should follow the following format.
 - I. The Representative should be introduced and provide an overview of the project.
 - II. The selection of the funding source(s) should be discussed.
 - III. The new rate structure (if applicable) and fee structure (if applicable) should be discussed.
 - IV. A period of question and answer should be allowed after all discussion is complete.
- f. Provide a copy of the minutes of the meeting and a list of the questions and answers as an addendum to this document.

11. Internet Links.

The following links are provided in order to facilitate the gathering of certain information required in the EID. These links are not the only source for this information. These links are provided solely as a courtesy. Alabama Department of Environmental Management staff has found that the target Web sites may contain useful information. Because ADEM has no control over the posting of material to this target Web site, the department cannot take responsibility for the validity of its contents. Please e-mail any comments, or if you encounter an inactive link, to ADEM.

1. <http://www.nationalatlas.gov/index.html> navigate by clicking appropriate links under title
2. <http://www.ncdc.noaa.gov/oa/climate/research.html>
3. <http://www.ncdc.noaa.gov/ol/climate/online/ccd/avgwind.html> -- Average Windspeed
4. <http://www5.ncdc.noaa.gov/cgi-bin/climaps/climaps.pl> -- Prevailing Wind Maps, then "Quick Search" (on the left side of the screen), then choose "Wind", then choose "Mean Wind Speed and Prevailing Direction", then choose February and August.
5. <http://www.fws.gov/southeast/maps/al.html>. U.S. Fish & Wildlife Service
6. <http://www.usace.army.mil/> U.S. Army Corps of Engineers
7. <http://www.preserveala.org/> Alabama Historical Commission