

**Drinking Water State Revolving Fund  
Lead Service Line Replacement Projects**

**APPLICATION FORMS AND INSTRUCTIONS**

February 2024

Applicant: **Duluth**  
System type: **Lead Service Line Replacement**  
IUP project ID: **1690011-15**  
IUP status: **Part A**  
IUP project descr: **LSLR Phase 3**

MPFA Loan Officer contact info: Drew Brooksbank  
Drew.Brooksbank@state.mn.us  
651.259.7131

**Minnesota Public Facilities Authority**

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[mn.gov/pfa](https://mn.gov/pfa)

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## Form 01 Applicant Information

### Applicant ID:

|  |                    |
|--|--------------------|
| Name   | Duluth             |
| Primary County   | Saint Louis County |
| UEI Number (12 char/digits) ( <a href="https://sam.gov">SAM.gov</a>   <a href="#">Home</a> ) | S3MZFK8JXGJ3       |
| MN SWIFT Vendor ID No. (10 digits)   | 0000197681         |
| MN SWIFT Vendor Suffix No. (3 digits)<br>(determines where funds will be sent)               | 001                |

### Mail Address:

|                                    |                       |
|------------------------------------|-----------------------|
| PO Box or bldg no. and street name | 411 West First St     |
| City, state and 9-digit ZIP        | Duluth, MN 55802-1102 |

### Primary Municipal Contact:

|                                    |                                 |
|------------------------------------|---------------------------------|
| Name                               | Brad Scott                      |
| Title                              | Senior Engineer                 |
| Phone                              | 218-213-2604                    |
| Email                              | bscott@duluthmn.gov             |
| PO Box or bldg no. and street name | 411 West First Street, Room 240 |
| City, state and 9-digit ZIP        | Duluth, MN 55802                |

### Applicant officials authorized to sign legal documents:

|                           |                        |
|---------------------------|------------------------|
| 1. Name                   | Ian Johnson            |
| Title                     | City Clerk             |
| Email (unique to Name #1) | ibjohnson@duluthmn.gov |
| 2. Name                   |                        |
| Title                     |                        |
| Email (unique to Name #2) |                        |

If a Public Utilities Commission (PUC) or other public entity is legally responsible for setting or adjusting user rates, and/or operation and maintenance of the project, this entity may also need to sign the MPFA financing agreement. If so, please identify:

|                                    |                                    |
|------------------------------------|------------------------------------|
| Name of PUC or other Entity        | Duluth Public Utilities Commission |
| Contact Name:                      | Jim Benning                        |
| Title                              | Director of Public Works           |
| Phone                              | 218-730-5200                       |
| Email                              | jbenning@duluthmn.gov              |
| PO Box or bldg no. and street name | 411 West 1st St                    |
| City, state and 9-digit ZIP        | Duluth, MN 55802-1102              |

## Form 01 Applicant Information

### Consultants and Advisors:

Consulting Engineer:

Company Name

Short Elliott Hendrickson, Inc.

Engineer's Name

Core Ascheman

Phone

651-755-9926

Email

cascheman@sehinc.com

For the consulting engineer contract, please identify the procurement process used:

Contract Term:

3/2/2022 - 3/15/2023

Type of procurement process used:

- ☐ No formal process used  
☒ Qualifications based selection process  
☐ Other, please describe:

Bond Counsel:

Company Name

Fryberger, Buchanan, Smith & Frederic, P.A.

Attorney's Name

Bob Toftey

Phone

218-722-0861

Email

rtoftey@fryberger.com

Municipal (Financial) Advisor:

Company Name

Pfm Financial Advisors, LLC

Advisor's Name

Phone

612-338-3535

Email

Other Consultant:

Company Name

Contact's Name

Phone

Email

### Persons responsible for compliance monitoring:

American Iron and Steel (AIS), Build America Buy America (BABA):

Company Name

Contact's Name

Form 01   **Applicant Information**

|       |  |
|-------|--|
| Phone |  |
| Email |  |

Prevailing Wage related requirements:

|                |  |
|----------------|--|
| Company Name   |  |
| Contact's Name |  |
| Phone          |  |
| Email          |  |

MN Department of Health Engineer:

|       |                            |
|-------|----------------------------|
| Name  | Corey R. Mathisen          |
| Phone | 651-201-4494               |
| Email | Corey.Mathisen@state.mn.us |



## Form 02 Project Information

### Project site ownership / rights of way:

Please provide a link to (or attach a copy of) the code and ordinances that identify ownership of the water service lines:

### Authority to undertake LSL replacement work on private property:

Please provide a link to (or attach a copy of) the code and ordinances provide this authority:

The City has signed work authorization agreements with each property owner. A sample is attached.

### Describe the factors the City used to select the area for the LSLR project including health equity and efficient use of funds:

(1) The City has identified that there are LSLs, an imminent threat to public health, in the Gary neighborhood of Duluth; (2) The project is located in a residential zone with children under the age of five; and (3) The project is located in Census Tract 33, a Low-Income Community Opportunity Zone, in Duluth, MN.

### Describe the community outreach that will be used for the LSLR project:

(1) The City has identified that there are LSLs, an imminent threat to public health, in the Lincoln Park neighborhood of Duluth; (2) The project is an area with significantly higher (1-2 times) elevated blood lead levels (3) The project is located in a residential zone with children under the age of five; (4) The project includes childcare facilities; and (5) The project is located primarily in Census Tract 156, a Low-Income Community Opportunity Zone, in Duluth, MN.

### Describe the planned contracting method, e.g.: all work under one main construction contract, by individual property owners selecting their own contractor, other:

The City has conducted extensive outreach already including signed work agreements with each property owner, disbursement of pitcher filters, and public education materials. During construction the City will utilize public meeting, direct mailings, and the City's website to educate residents regarding the hazards of lead, distribute pitchers and water sampling kits, project status, and additional public education materials.

### Project Sign and Project Funding Notice:

All recipients will be required to post a physical sign at the project site. Additional information on the sign specifications will be provided in the Contract Packet and Guidance Document.

MPFA will provide a Funding Notice upon award. MPFA requests posting the Funding Notice on the Recipient's website and/or in other public locations.

## Form 03 Project Costs: Sources and Uses

Whenever this form is updated, please complete the date and source.  
A revised version must be submitted after as-bid costs are known.

Date updated: 03/07/24  
Source of Costs: as-bid costs

Estimated Number of Lead Service Lines to be replaced:

201

Applicant's allocation of split between public and private share of each line:

(please enter a whole number between 0 and 100 as the public share percentage)

| Public | Private |
|--------|---------|
| 37%    | 63%     |

### Sources:

Requested MPFA Financing

Other

**Total Project Cost Sources:**

| Total Costs | Public Costs | Private Costs |
|-------------|--------------|---------------|
| 4,430,687   | 1,639,354    | 2,791,333     |
|             | -            | -             |
| 4,430,687   | 1,639,354    | 2,791,333     |

### Uses:

Non-Construction Costs: Planning

Design

Inspection/Other Engineering

Attorney/Financing Related Fees

Marketing / Project Implementation

Other: Pitchers, Filters, and Water Sampling (Estimated) &

Construction Costs:

Contingencies (10% of construction):

**Total Project Cost Uses:**

| Total Costs | Public Costs | Private Costs |
|-------------|--------------|---------------|
|             | -            | -             |
|             | -            | -             |
| 350,000     | 129,500      | 220,500       |
|             | -            | -             |
|             | -            | -             |
| 34,000      | 12,580       | 21,420        |
| 3,678,806   | 1,361,158    | 2,317,648     |
| 367,881     | 136,116      | 231,765       |
| 4,430,687   | 1,639,354    | 2,791,333     |

Notes on allowable and unallowable uses (NOT comprehensive):

per MN Statutes §446A.077 subdivision 4. Eligible uses:

An eligible recipient may use a grant provided under this program for:

- (1) removing and replacing lead drinking water service lines;
- (2) repaying debt incurred for the purposes described in clauses (1), (3), and (4);
- (3) providing information to residents on the benefits of removing lead service lines; or
- (4) performing necessary construction activities required for and associated with removing and replacing lead service lines.

MPFA LSLR grant agreements will limit eligible costs to direct expenditures related to LSLR project implementation or to LSLR program outreach to residents about the benefits of LSLR.

MPFA will not allow:

Any overhead costs

Work by individuals that are not directly involved in the LSLR program

Preparation of grant/loan applications, or disbursement requests

Post-completion audits or monitoring

Travel/mileage, food

Computers, phones, equipment

General office supplies (except costs specifically for LSLR outreach)

Rental payments for staff space or meetings