

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

APPLICATION FORMS AND INSTRUCTIONS

January 2026

Applicant: **Duluth**
System type: **Lead Service Line Replacement**
IUP project ID: **1690011-31**
IUP project descr: **Other-LSL Replacement-2026**

MPFA Loan Officer contact info: Peter Bradshaw
Peter.Bradshaw@state.mn.us
651.259.7689

Minnesota Public Facilities Authority

1st National Bank Building • 332 Minnesota St. • Suite W820 • Saint Paul, MN 55101-1378 • USA
651-259-7469 • 800-657-3858 TOLL FREE • MN Relay 711 • 651-296-8833 FAX

mn.gov/pfa

An equal opportunity employer and service provider

Table of Contents (sheets in this Excel workbook)

note: these TOC listings are hyperlinked; you can click on an item to go to it in this workbook

Hyperlink	Description
ReadMe	General Information and Application Process Deadlines
CheckList	Application Checklist
SampleRes	Sample Resolution of Application to the MPFA
Form01	Applicant Information
Form02	Project Information
Form03	Project Costs: Sources and Uses
Form04	Project Costs: Detail of Costs Incurred Prior to MFPA Award
Cert01	Compliance Certification as to General Federal and State Laws, Rules, and Regulations
Cert02	Compliance Cert: Disadvantaged Business Enterprise, Required Procurement, Contract Conditions
Cert03	Compliance Certification as to No Conviction of Felony Financial Crime by a Principal

General Information and Application Process Deadlines

General information:

The applicant must be the entity that will issue the General Obligation Revenue note or General Obligation Improvement note to the MPFA as security for the loan.

Total financing of a project must be assured before the MPFA will issue a financing agreement.


A Unique Entity Identifier (UEI) number is requested on Form 01. The UEI replaces the DUNS number. See: [SAM.gov | Home](https://sam.gov)

For additional information on SRF program requirements and resources, refer to these MPFA websites: [Clean Water and Drinking Water Revolving Fund Guidance and Information](#)

For documents to be included in bid specifications and construction contracts, refer to this MPFA website: [Contract Bid Packet](#)

Contact the MPFA LSLR loan officer below with any questions: Peter.Bradshaw@state.mn.us

Note for use of enclosed application forms in this Excel workbook:

 yellow highlighted cells are for free-form entry.

 blue highlighted cells will have drop-down choices.

You may type more text into a cell than will display. The cells are a fixed size for display, but all the text will be usable by MPFA staff.

Deadline for plans and specifications submittal

Submit plans and specifications to the Minnesota Department of Health by the end of March 2026.

Items Required Before Funding:

MPFA needs 1) a complete application, 2) as-bid costs and 3) Minnesota Department of Health technical certification for the project before LSLR funding can be awarded.

Application Checklist

This application consists of a sample *Resolution of Application*, multiple forms, and two certification documents concerning compliance. This checklist identifies which items are required by the application deadline, and which that must be submitted when they are available.

Items required by the application deadline:

Forms in this workbook to be completed by the applicant:

- Form 01: Applicant Information
- Form 02: Project Information
- Form 03: Project Costs: Sources and Uses
- Form 04: Project Costs: Detail of Costs Incurred Prior to MPFA Award

Certifications in this workbook to be completed by the applicant:

- Cert 01: Compliance Certification as to General Federal and State Laws, Rules, and Regulations
- Cert 02: Compliance Cert: Disadvantaged Business Enterprise, Required Procurement, Contract Conditions
- Cert 03: Compliance Certification as to No Conviction of Felony Financial Crime by a Principal

Items that must be submitted when available:

- Resolution of Application (see example in this workbook): [SampleRes](#)
- X Drinking water enacted ordinances and system service fee schedules as applicable
- X Documentation of all non-MPFA funding sources for the project (commitment letters, grant agreements, bond sale resolution or Official Statement, etc.)
- X Project map showing areas of LSLR project activities.

Items that must be submitted after bids are opened and accepted:

- X As-bid costs and engineer's letter of recommendation accepting bids.
Final, updated MPFA forms (Forms 03 and 04).

Items that must be submitted after MPFA contract award:

Recipients are responsible for submitting required forms during the construction phase of the project and for project closeout including but not limited to:

Labor Standards Notice of Contract Award.

List of labor standards activities that will be conducted by consultant, or excerpt from agreement.

To be completed by the MPFA Loan Officer:

- Date of MDH project certification

Sample Resolution of Application to the MPFA

RESOLUTION OF APPLICATION

BE IT RESOLVED that the _____ is hereby applying to the Minnesota Public Facilities Authority for a loan and/or grant from the Drinking Water Revolving Fund for a lead service line replacement project as described in the application.

BE IT FURTHER RESOLVED that the _____ estimates the MPFA-Financed amount to be \$ _____ or the as-bid cost of the project.

BE IT FURTHER RESOLVED that the _____ has the legal authority to apply for the loan and/or grant, and the financial, technical, and managerial capacity to repay the loan and ensure proper construction, operation and maintenance of the project for its design life.

I CERTIFY THAT the above resolution was adopted by the _____ on _____ (month, day, and year).

Signed:	_____	Witnessed:	_____
Name:	_____	Name:	_____
Title:	_____	Title:	_____

Form 01 Applicant Information

Applicant ID:

Name	Duluth
Primary County	Saint Louis County
UEI Number (12 char/digits) (SAM.gov Home)	S3MZFK8JXGJ3
MN SWIFT Vendor ID No. (10 digits)	0000197681
MN SWIFT Vendor Suffix No. (3 digits) (determines where funds will be sent)	001

Mail Address:

PO Box or bldg no. and street name	411 W 1st St
City, state and 9-digit ZIP	Duluth, MN 55802-1102

Primary Municipal Contact:

Name	Jon Maruska
Title	Senior Engineering Specialist
Phone	218-730-5093
Email	jmaruska@duluthmn.gov
PO Box or bldg no. and street name	411 W 1st St, Room 240
City, state and 9-digit ZIP	Duluth, MN 55802-1102

Applicant officials authorized to sign legal documents:

1. Name	Alyssa Denham
Title	City Clerk
Email (unique to Name #1)	adenham@duluthmn.gov
2. Name	Josh Bailey
Title	City Auditor
Email (unique to Name #2)	jbailey@duluthmn.gov

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:	Cari Pederson
Title	Director of Public Works
Phone	218-730-5200
Email	cpederson@duluthmn.gov
PO Box or bldg no. and street name	411 W 1st St
City, state and 9-digit ZIP	Duluth, MN 55802-1102

Form 01 Applicant Information

Consultants and Advisors:

Consulting Engineer:

Company Name

Engineer's Name

Phone

Email

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

Contract Term:

Type of procurement process used:

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

Bond Counsel:

Company Name

Attorney's Name

Phone

Email

Municipal (Financial) Advisor:

Company Name

Advisor's Name

Phone

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	218-730-5093
Email	jmaruska@duluthmn.gov

Prevailing Wage related requirements:

Company Name	City of Duluth
Contact's Name	Angela Herbert
Phone	218-730-5081
Email	aherbert@duluthmn.gov

MN Department of Health Engineer:

Name	Corey Mathisen
Phone	651-201-4494
Email	corey.mathisen@state.mn.us

Form 02 Project Information

System type:

Project title (max 30 char):

Project description (please discuss the problem/need and the proposed solution/project):

The EPA's LCRI requires all water systems by the end of 2037. In 2021 it was estimated that Duluth had 10,700 lead and galvanized iron water services requiring replacement. This project will replace a total of 584 lead and galvanized iron water services in two Duluth Neighborhoods; 474 Services will be replaced in the East Hillside neighborhood and 110 services will be replaced in the Endion neighborhood.

Project the service area (describe addresses, street names, or area(s)):

General description:

Lead and galvanized iron water services will be replaced in the East Hillside and Endion neighborhoods. The East Hillside project area is generally bounded by E 4th St on the south, E 8th St on the north, N 8th Ave E on the west and Wallace Ave on the east. The Endion project area is generally bounded by Greysolon Rd on the north, Lake Superior on the south, 13th Ave E on the west and 20th Ave E on the east. See the attached map for specific project boundaries and replacement locations.

Identify each local governmental jurisdiction (cities and townships) in the project service area (provide additional sheets if needed):

Jurisdiction 1	<input type="text" value="Duluth"/>
Jurisdiction 2	<input type="text"/>
Jurisdiction 3	<input type="text"/>
Jurisdiction 4	<input type="text"/>

Please use the space below to identify if other jurisdictions are included, and attach map of the service area.

No other jurisdictions are included. Please refer to attached map.

Project scope:

Will the project be done as part of a larger infrastructure project that will be included in the same bid, share road construction costs, etc.?

yes no

If yes, please describe how the projects are related:

Estimated bid date:

Form 02 Project Information

Estimated year that construction will start: 2026

Estimated year that construction will end: 2027

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:

See attached ordinance.

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:

See the attached sample work agreement required to be signed by each property owner.

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

The City of Duluth used census tract data to prioritize areas for lead service line replacement based on five factors: low-income households, children age 4 and under, children with elevated blood lead levels, the supplemental demographic index, and the percent of confirmed lead services. The East Hillside and Endion project areas include the census tracts ranked 6th, 7th, 8th, and 10th out of the 36 tracts in the City.

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

During project planning the City sends multiple mailings and emails, makes phone calls, and performs door-knocking in an attempt to include all properties in the project. The City performs site assessments at each property, discusses the project with each owner, and acquires signed work agreements. During the project the City holds public meetings and distributes filter pitchers and education materials.

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

The work will be completed under two construction contracts, one contract for each project area.

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: 05/14/26

Source: current estimate
 as-bid costs

Estimated Number of Lead Service Lines to be replaced: 584

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
	48%	52%

Sources:

Requested MPFA Financing
 Other
Total Project Cost Sources:

Total Costs	Public Costs	Private Costs
11,805,683	5,666,728	6,138,955
-	-	-
11,805,683	5,666,728	6,138,955

Uses:

Non-Construction Costs: Planning
 Design
 Inspection/Other Engineering
 Attorney/Financing Related Fees
 Marketing / Project Implementation
 Other:

Construction Costs:
 Contingencies (10% of construction):
Total Project Cost Uses:

Total Costs	Public Costs	Private Costs
-	-	-
-	-	-
835,258	400,924	434,334
4,000	1,920	2,080
-	-	-
-	-	-
9,969,477	4,785,349	5,184,128
996,948	478,535	518,413
11,805,683	5,666,728	6,138,955

Average annual user \$ rate for residential HH using 5,000 gallons/month: \$633.00

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
 - 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

Cert 01 Compliance Certification as to General Federal and State Laws, Rules, and Regulations

As a condition of receiving funding, recipients must comply with certain federal and state laws, rules and regulations, including but not limited to those identified in this certification which will be invoked as a condition of the MPFA loan in both the Project Order and the Grant Anticipation Revenue Note to be executed by the recipient.

Important: By signing this certification, applicant acknowledges that the MPFA Contract Guidance Packet, applicable State of Minnesota Prevailing Wages and Federal Davis Bacon Prevailing Wages, Build America, Buy America (BABA)* and American Iron and Steel contract language will be physically included in bid solicitations and incorporated into the contract(s) between the MPFA applicant and selected contractor(s).

Review the compliances and have the applicant's authorized representative sign and date this certification form.

- (1) Title VI of the Federal Water Pollution Control Act, more commonly known as the Clean Water Act, as amended (Clean Water Revolving Fund applicants).
- (2) Safe Drinking Water Act (P.L. 93-523) (Drinking Water Revolving Fund applicants).
- (3) National Environmental Policy Act (P.L. 91-190 (1970)); National Historic Preservation Act (P.L. 89-665 as amended, 80 Stat. 917 (1966)); Archeological and Historic Preservation Act (P.L. 93-291(1974)); Protection of Wetlands, Executive Order No. 11990 (1977), as amended by Executive Order No. 12608 (1997); Flood Plain Management, Executive Order No 11988 (1977), as amended by Executive Order No. 12148 (1979); Farmland Protection Policy Act (P.L. No 97-98 (1981)); Coastal Zone Management Act (P.L. 92-583 (1972), as amended); Coastal Barriers Resources Act (P.L. 97-378, 96 Stat 1653 (1982)); Wild and Scenic Rivers Act (P.L. 90-542, 82 Stat. 913 (1968)); Endangered Species Act (P.L. 93-205 (1973), as amended); Essential Fish Habitat Consultation Process under the Magnuson-Stevens Fishery Conservation and Management Act (P.L. 94-265 (1976), as amended) and; Clean Air Act Conformity (P.L. 95-95 (1977), as amended).
- (4) Title VI of the Civil Rights Act of 1964 (P.L 88-352), Section 13 of the Federal Water Pollution Control Act Amendments of 1972 (33 U.S.C. Sec. 1251), Section 504 of the Rehabilitation Act of 1973 (P.L. 93-1123, 87 Stat. 355, 29 U.S.C. Sec. 794), The Age Discrimination Act of 1975 (P.L. 94-135 Sec. 303, 89 Stat. 713, 728, 42 U.S.C. Sec. 6102), and subsequent regulations, ensures access to facilities or programs regardless of race, color, national origin, sex, age or handicap.
- (5) Federal Executive Order 11246, as amended by Executive Orders 11375 and 12086 and subsequent regulations. Prohibits employment discrimination on the basis of race, color, religion, sex or national origin. Inclusion of the seven clauses in Section 202 of E. O. 11246 as amended by E. O. 11375 and 12086 are required in all project related contracts and subcontracts over \$10,000.
- (6) Federal Executive Orders 11625, 12138 and 12432; 40 CFR part 33 Participation by Disadvantaged Business Enterprises in Procurement under Environmental Protection Agency (EPA) Financial Assistance Agreements; Section 129 of P. L. 100-590 Small Businesses Reauthorization & Amendment Act of 1988; Public Law 102-389 (42 U.S.C. 437d); a 1993 appropriations act ; Public Law 101-549, Title X of the Clean Air Acts. See changes from Federal Executive Orders 14151 and 14173.

Cert 01 **Compliance Certification as to General Federal and State Laws, Rules, and Regulations**

- (7) Amendments of 1990 (42 U.S.C. 7601 note). Encourages recipients to award construction, supply and professional service contracts to minority, women's business enterprises (MBE/WBE's) and small businesses and requires recipients to utilize affirmative steps in procurement.
- (8) Federal Executive Orders 12549 and 12689, Subpart C of 2 CFR Part 180 and 2 CFR Part 1532 entitled "Responsibilities of Participants Regarding Transactions (Doing Business with Other Persons)." Prohibits entering into contracts or sub-contracts with individuals or businesses that are debarred or suspended. Borrowers are required to check and keep a record of the status of all contractors (construction and professional services) and must require contractors to check and keep a record of the status of subcontractors for contracts expected to be equal to or over \$25,000 via this internet address below (or search the internet for System for Award Management):
SAM.gov | [Home](#)
- (9) Minnesota Statutes, Section 16C.285, responsible contractor requirement defined; subdivision 3 (6):
MPFA recipients must verify that contractors are not currently suspended or debarred by the federal government or the state of Minnesota or any of its departments, commissions, agencies, or political subdivisions that have authority to debar a contractor. See the website linked below:
[Suspended/Debarred Vendors / Minnesota Office of State Procurement \(mn.gov\)](http://Suspended/Debarred Vendors / Minnesota Office of State Procurement (mn.gov))
- (10) 2 CFR part 200, Subpart F, which establishes audit requirements for state and local units of governments receiving federal funds.
- (11) 2 CFR part 200.216 which prohibits the use of certain telecommunications and video surveillances services or equipment.
- (12) Section 602 (b)(9) of the Clean Water Act, as amended, and 40 CFR Part 35, Subpart L, Section 35.3550(i) require Borrowers to maintain project accounts in accordance with generally accepted government accounting standards (GAAP), and to issue annual financial statements that include the reporting of infrastructure assets in accordance with GASB 34.
- (13) Section 504 of the Federal Rehabilitation Act of 1973, the Americans with Disabilities Act (ADA), Minn. Statutes 1990, Chapter 363 Minnesota Human Rights Act. Requires that all public spaces and programs be designed and constructed to be accessible to the physically handicapped.
- (14) Title II of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as amended and subsequent regulations found at 49 CFR Part 24. Identifies procedures for the acquisition of property and the relocation of persons and businesses.
- (15) Section 602(b)(6) of the Clean Water Act, as amended and section 1450(e) of the Safe Drinking Water Act (42 U.S.C. 300j-9(e)). Requires that all laborers and mechanics employed by contractors or subcontractors be paid wages at rates not less than those prevailing for the same type of work as determined by the U. S. Secretary of Labor in accordance with the federal Davis-Bacon Act (46 Stat. 1494; 40 U.S.C., sec. 276a through 276a-5). Reorganization Plan Numbered 14 of 1950 (15 F.R. 3176) and section 2 of the Davis-Bacon Act of June 13, 1934, as amended (48 Stat. 948; 40 U.S.C. 276c).
- (16) Minnesota Statutes, Section 181.59, Discrimination on account of race, creed, or color prohibited in contract.

Cert 01 **Compliance Certification as to General Federal and State Laws, Rules, and Regulations**

- (17) Section 608 of the Federal Clean Water Act, as amended and the Safe Drinking Water Act, as amended by America's Water Infrastructure Act of 2018 that requires all of the iron and steel products used in the CWSRF and DWSRF Projects are to be produced in the United States ("Use of American Iron and Steel Requirement"), unless (i) the Borrower has requested and obtained a waiver from the Environmental Protection Agency pertaining to the Project or (ii) the MPFA has otherwise advised the Borrower in writing that the American Iron and Steel Requirement is not applicable to the project.
- (18) Federal Build America, Buy America (BABA): The Recipient is subject to the Buy America Sourcing requirements under the Build America, Buy America provisions of the *Infrastructure Investment and Jobs Act* (IIJA) (P.L. 117-58 §§70911-70917) unless the Project is granted a waiver from the EPA.
- (19) Minnesota Statutes, Section 471.345, Uniform Municipal Contracting Law.
- (20) Minnesota Statutes, Section 16C.285, Responsible Contractor Requirements. Solicitation documents must include the specified language for all contracts advertised after January 1, 2015.
- (21) Minnesota Statutes, Section 574.26 to 574.32, the Public Contractors' Performance and Payment Bond Act, as applicable.
- (22) Minnesota Statutes sections 176.181 – 176.182. Requires recipients and subcontractors to have worker's compensation insurance coverage.
- (23) Minnesota Statutes, sections 177.41 – 177.43 (prevailing wage rate law). Requires that contractors pay laborers and mechanics prevailing wages established by the Minnesota Department of Labor and Industry for public works projects. Contractors or subcontractors failing to comply may face civil or criminal penalties.
- (24) Minnesota Statutes 290.9705. Requires that 8 percent of payments made to out-of-state contractors be withheld once cumulative payments made to the contractor for work done in Minnesota exceed \$50,000 in a calendar year, unless an exemption is granted by the Department of Revenue.
- (25) Minnesota Statutes, Chapter 13, the Minnesota Government Data Practices Act.
- (26) Minnesota Statutes Chapter 363A, the Minnesota Human Rights Act.
- (27) Minnesota Statutes Sec. 363A.36 Subd. 1a, Minnesota Department of Human Rights' (MDHR) affirmative action plan. MPFA Recipients are encouraged to prepare and implement an affirmative action plan for the employment of people with disabilities, people of color, and women, and submit the plan to the commissioner of Human Rights.
- (28) Minnesota Statutes Sec. 363A.36, Minnesota Department of Human Rights' (MDHR) affirmative action plan requirements for contracts exceeding \$250,000. An affirmative action plan and a workforce certificate for affected contractors is required prior to bidding.
- (29) Minnesota Statutes Section 363.44, Equal Pay Certificate. Requirement for all contracts entered into by municipal governments for all contracts exceeding \$1,000,000.

Cert 01 Compliance Certification as to General Federal and State Laws, Rules, and Regulations

(30) The Recipient will post a physical sign at the project site during the construction phase to inform the public that the project funding was made available by the State of Minnesota and the federal *Infrastructure Investment and Jobs Act*.

CERTIFICATION:

The applicant certifies that it has or will comply with the above requirements. Additionally, the applicant will include the MPFA Contract Guidance Packet and applicable Davis-Bacon and Minnesota prevailing wages in bid solicitations and incorporate the MPFA Contract Guidance Packet into all construction contracts.

Applicant name:

Signer Name:

Signer Title:

Signed by authorized official: *Note: this form is not capable of digital signatures. To officially demonstrate approval of this certification, the official signer must either 1) print, sign, and return this form, or 2) send an email to the MPFA loan officer. Please copy-paste the subject line and body of the email from below:*

loan officer email: Peter.Bradshaw@state.mn.us

copy into email subject line:

copy into body of email:

Cert 02 [Compliance Cert: Disadvantaged Business Enterprise, Required Procurement, Contract Conditions](#)

As a condition of receiving funding, Recipients must comply with federal requirements concerning DBEs (i.e. Minority and Women’s Business Enterprises (M/WBE) and Small Businesses in Rural Areas (SBRA)) with respect to procurement activities and contracts. The required contract conditions (see the Contract Guidance Packet) must be physically included in all bidding and contract documents. Additional information is in the Contract Guidance Packet.

GOOD FAITH EFFORTS:

MPFA recipients and their prime contractors must follow, document, and maintain documentation of their good faith efforts as listed below to ensure that Disadvantage Business Enterprises (DBEs) have the opportunity to participate in the project by increasing DBE awareness of procurement efforts and outreach. This applies to procurement for construction, equipment, supplies and services.

- (1) Ensure DBEs are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities; including placing DBEs on solicitation lists and soliciting them whenever they are potential sources.
- (2) Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process. This includes, whenever possible, posting solicitation for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.
- (3) Consider in the contracting process whether firms competing for large contracts could be subcontracted with DBEs. This will include dividing total requirements when economically feasible into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.
- (4) Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.
- (5) Use the services and assistance of the Small Business Administration and the Minority Business Development Agency of the U. S. Department of Commerce.
- (6) If the prime contractor awards subcontracts, require the prime contractor to take the steps in numbers 1 through 5 above.

see next page for the Certification

Cert 02 Compliance Cert: Disadvantaged Business Enterprise, Required Procurement, Contract Conditions

CERTIFICATION:

The applicant certifies that it has or will comply with the above requirements. Additionally, the applicant will include the MPFA Contract Guidance Packet and applicable Davis-Bacon and Minnesota prevailing wages in bid solicitations and incorporate the MPFA Contract Guidance Packet into all construction contracts.

Applicant name:

Signer Name:

Signer Title:

Signed by authorized official: *Note: this form is not capable of digital signatures. To officially demonstrate approval of this certification, the official signer must either 1) print, sign, and return this form, or 2) send an email to the MPFA loan officer. Please copy-paste the subject line and body of the email from below:*

loan officer email: Peter.Bradshaw@state.mn.us

copy into email subject line:

copy into body of email: RE: Duluth Lead Service Line Replacement-: 1690011-31 Other-LSL Replacement-2026

By this email I hereby certify that Duluth has or will comply with the requirements on MPFA's Cert 02-Compliance Certification as to Disadvantaged Business Enterprise (DBE) Required Procurement and Contract Conditions. Additionally, Duluth will include the MPFA Contract Guidance Packet and applicable Davis-Bacon and Minnesota prevailing wages in bid solicitations and incorporate the MPFA Contract Guidance Packet into all construction contracts.

Cert 03 Compliance Certification as to No Conviction of Felony Financial Crime by a Principal

As a condition of receiving funding, Applicants must certify to the statement below.

Minnesota Statutes Section 16B.981 Subd. 2 (6) requires that no current principals of a recipient have been convicted of a felony financial crime in the last 10 years. A principal is defined as a public official, a board member, or staff (paid or volunteer) with the authority to access funds provided by this financial assistance opportunity or to determine how those funds are used.

CERTIFICATION:

The applicant certifies that no current principals have been convicted of a felony financial crime in the last 10 years. I have attached a list or chart of all principals.

Applicant name:

Signer Name:

Signer Title:

Signed by authorized official: *Note: this form is not capable of digital signatures. To officially demonstrate approval of this certification, the official signer must either 1) print, sign, and return this form, or 2) send an email to the MPFA loan officer. Please copy-paste the subject line and body of the email from below:*

loan officer email: Peter.Bradshaw@state.mn.us

copy into email subject line:

copy into body of email: RE: Duluth Lead Service Line Replacement-: 1690011-31 Other-LSL Replacement-2026

By this email I hereby certify that no current principals of Duluth have been convicted of a felony financial crime in the last 10 years. Additionally, I have attached a list or chart of all principals.