

Volkswagen Application

Volkswagen Settlement Eligible Mitigation Action Item Projects



vwsettlement@adeca.alabama.gov

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All applications will be scored based on the established rating criteria in the Volkswagen Application Guide for Volkswagen Settlement Eligible Mitigation Action Item Projects. The Application Guide can be found at <https://adeca.alabama.gov/Divisions/energy/vw/Pages/Application-Information.aspx>.

SECTION A: GRANT APPLICANT INFORMATION

VW Eligible Mitigation Action Item	Choose an item.		
Grant Applicant's Legal Name			
Physical Address			
City		State	
County			
Federal Employer Identification No.			
Organization Type	Choose an item.		
Requested Award Amount		Match Amount	
Total Project Cost		Match Percentage	

PROJECT DIRECTOR				
Salutation	First Name	M.I.	Last Name	
Position/Title	Phone	Email Address		
Mailing Address	City	State	Zip Code	

SIGNATORY OFFICIAL / GOVERNOR'S NOTIFICATION				
Salutation	First Name	M.I.	Last Name	
Position/Title	Phone	Email Address		
Mailing Address	City	State	Zip Code	

CERTIFICATION	
I the undersigned am authorized to obligate my entity and enter into agreements for my organization. I understand that this application does not guarantee funding and a grant agreement will be executed prior to project funds being expended. I further understand that if the statements of this application cannot be verified, no grant funds will be awarded under this program. Finally, to the best of my knowledge the responses to this application are true and correct.	
Signature of Applicant: 	
Title of Applicant:	Date:

SECTION B: PROJECT BUDGET

Please provide the following information to explain the estimated costs for the project budget. Please include the award amount and the match contribution.

EQUIPMENT

Provide a description of the equipment, cost, and reason why it is necessary to purchase the equipment. Equipment is defined as tangible, non-expendable property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. (Note: leased or rented equipment should be listed under the "Other" category.)

Description	Reason	Cost
		\$
		\$
		\$
		\$
		\$
TOTAL:		\$

SUPPLIES & MATERIALS

List estimated cost of supplies and materials.

Expense	Cost
	\$
	\$
	\$
	\$
	\$
TOTAL:	\$

CONTRACTUAL

List categories of services to be contracted with outside agencies or for professional services. Note that written subcontracts must be obtained to engage these services. This category includes professional installation and all materials supplied by the installer.

Expense	Cost
	\$
	\$
	\$
	\$
	\$
TOTAL:	\$

BUDGET TOTAL

List the totals of each budget category above. Please make sure that the totals in each budget category listed above match the totals of each cost category below.

Cost Categories	Project Award Amount	Match Contribution	Total Project Amount
Equipment	\$	\$	\$
Supplies & Materials	\$	\$	\$
Contractual	\$	\$	\$
TOTAL	\$	\$	\$

PROJECT LEVERAGING

If applicable, describe how additional fund be partnered with Volkswagen funds to make the project more viable.

SECTION C: RISK ASSESSMENT

Please answer the questions based on your organization's operations and audit history to the best of your ability. Check the most appropriate response.

Risk Criteria	Possible Points	Points	Comments
1. Does the entity receive at least 10% of total funding from non-Federal sources?	Yes (0 points) ☐		
	No (1 point) ☐		
	N/A (0 points) ☐		
2. Does the entity actively seek additional funding?	Yes (0 points) ☐		
	No (1 point) ☐		
	N/A (0 points) ☐		
3. Has the entity received ADECA/Energy funds for at least three years?	Yes (0 points) ☐		
	No (1 point) ☐		
	N/A (0 points) ☐		
4. Has the entity's turnover rate exceeded 15% since 12 months ago? (Turnover rate = # of employees no longer there/average # of employees for the year)	Yes (2 points) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		
5. Has the CEO and/or CFO been in the position for 3 years or less?	Yes (1 point) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		
6. Have any other entities (program offices, auditors, staff employed by the entity, etc.) alerted ADECA/Energy to potential risk areas or has another authority (funding source) placed special conditions on its award to the entity?	Yes (3 points) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		
7. Has the entity been a defendant in an ongoing civil suit, or one that was adjudicated, within the last five years?	Yes (1 point) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		
8. Has any of the entity's current staff been jailed, convicted of a felony, or are they currently under criminal investigation?	Yes (1 point) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		
9. Is the entity currently or has it previously been suspended or debarred?	Yes (1 point) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		

Risk Criteria	Possible Points	Points	Comments
10. Does the entity have procedures and controls in compliance with OMB? (Fiscal/Personnel policies and procedures, etc.)	Yes (0 points) ☐		
	No (1 point) ☐		
	N/A (0 points) ☐		
11. Was the last audit completed and submitted to ADECA within 9 months from year end?	Yes (0 points) ☐		
	No (1 point) ☐		
	N/A (0 points) ☐		
12. If audit findings were cited, does the entity have a corrective action plan for correcting the finding(s)?	Yes (0 points) ☐		
	No (1 point) ☐		
	N/A (0 points) ☐		
13. Does the entity have a financial management system that is appropriately complex for the amount of funds it manages and in compliance with OMB? (i.e. QuickBooks, etc.)	Yes (0 points) ☐		
	No (1 point) ☐		
	N/A (0 points) ☐		
14. Does the entity provide a budget to actual report by program at board meetings?	Yes (0 points) ☐		
	No (1 point) ☐		
	N/A (0 points) ☐		
15. Does the Applicant have a time and accounting system to track effort by cost objective?	Yes (0 points) ☐		
	No (1 point) ☐		
	N/A (0 points) ☐		
16. Does the entity have an indirect cost rate that is approved and current?	Yes (0 points) ☐		
	No (1 point) ☐		
	N/A (0 points) ☐		
17. Does the entity follow their cost allocation/indirect cost plan?	Yes (0 points) ☐		
	No (1 point) ☐		
	N/A (0 points) ☐		
18. Are the entity's fiscal statistics outside of tolerance or trends (e.g., have there been more expenditures on supplies than average, little or no cash left after paying bills compared to similar entities)? Note: Compare current assets to current liabilities.	Yes (1 point) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		
19. Has the entity been placed in a special financial status (e.g., high-risk, documentation submittal, etc.)?	Yes (3 points) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		

Risk Criteria	Possible Points	Points	Comments
19a. Is the entity in a negotiated repayment plan with ADECA?	Yes (1 point) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		
19b. Is the entity current?	Yes (0 points) ☐		
	No (3 points) ☐		
	N/A (0 points) ☐		
20. Has the entity used special loan or funding programs to meet its cash needs (e.g., line of credit, short-term loan)?	Yes (3 points) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		
21. Do the financial reports show an insufficient/negative fund balance after the entity meets its obligations? Note: (Assets+Deferred Outflows) - (Liabilities+Deferred Inflows) = Net Position. Total Net Position should be positive.	Yes (3 points) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		
22. Is the entity delinquent in paying any obligations? (Refer to Audit notes)	Yes (3 points) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		
23. Is the debt trend increasing or declining? Note: Review previous year's financial statement.	Increasing (3 points) ☐		
	Decreasing (0 points) ☐		
	N/A (0 points) ☐		
24. What is the entity's "current ratio"? Note: Current Assets/Current Liabilities. A 1:1 ratio means that the entity can just pay its bills.	1 or above (0 points) ☐		
	Below 1 (3 points) ☐		
	N/A (0 points) ☐		
25. What is the entity's "debt to net assets ratio"? Note: Total Liabilities/Total Net Assets. Or Assets - Liabilities = Net Assets. This provides information on what the entity owns.	1 or below (0 points) ☐		
	Above 1 (3 points) ☐		
	N/A (0 points) ☐		
26. Do the Notes to the Financial Statement and Report of the Independent Auditor disclose any potential financial problems at the entity (e.g., pending lawsuits, outstanding judgments, unsecured loans, etc.)?	Yes (3 points) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		
27. Do the loan notes reflect poor financial health (e.g., unusually high interest rates, unusual repayment provisions, etc.)?	Yes (3 points) ☐		
	No (0 points) ☐		
	N/A (0 points) ☐		
	Yes (0 points) ☐		

28. Does the independent audit report for the most recent fiscal year contain an unmodified (standard) audit opinion?

No (3 points) ☐

N/A (0 points) ☐

Total Points

Risk Classification for entity

Notes:

Risk Classification	Point Range
Excellent	0 Points - 5 Points
Good Standing	6 Points - 10 Points
Average Risk	11 Points to 15 Points
Moderate Risk	16 Points - 20 Points
High Risk	≥ 21 Points

To the best of my knowledge, the information contained in this risk assessment is accurate. I understand that if this project scores high enough to be considered for funding, documentation to verify this risk assessment will be required.

Signature

Date

SECTION D: PROJECT DETAIL AND NO_x SAVINGS INFORMATION

Please limit responses to the spaces provided unless otherwise indicated

DESCRIPTION OF PROJECT

Provide a brief description of the project

Existing Vehicle/Equipment Inventory

(You must list details for existing vehicles/equipment to be replaced or repowered with this project. Duplicate this sheet as needed)

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[illegible]

EXTENT OF BENEFITS RELATING TO VOLKSWAGEN GOALS

Explain how the proposed project meets the following Volkswagen Settlement goals:

- (1) NOx reduction,*
- (2) economic development,*
- (3) fuel security and energy assurance, and*
- (4) benefits areas that share a disproportionate share of the air pollution burden.*

PROJECT SUSTAINABILITY

Provide a description of the project's plan for sustainability including fueling/charging infrastructure both at the primary project location and while traveling if applicable. Does this project utilize partnership agreements with local providers to ensure sustainability? Applicant may attach letters of support.

QUALIFICATIONS AND EXPERIENCE OF APPLICANT

Provide a description of the qualifications and experience of the applicant pertaining to the administration of grant awards and/or supervision of similar projects.

PLAN FOR SCRAPPAGE

Provide a description of the project's plan for scrappage including type of documentation to be submitted upon scrapping existing equipment.

PROJECT REQUIREMENTS

Do you agree to scrap replaced equipment as required by the Volkswagen Environmental Trust Agreement?

Choose an item.

Do you agree to maintain Property Management for purchased equipment?
The ADECA VW Property Management Manual can be found at

<http://www.adeca.alabama.gov/Divisions/energy/vw/Pages/Resources.aspx>

Choose an item.

[illegible]

NOx EMISSION REDUCTION CALCULATIONS

(You must show how you calculated NOx emission reduction values. If using a NOx emission calculator indicate which calculator was utilized. Attach additional pages and/or calculator printouts as needed)

Estimated NOx emission reduction (tons):**ADDITIONAL INFORMATION**

(This can include any additional information you wish to provide regarding your project)