

## Direct Component Project Evaluation Form

Please complete the following information needed to evaluate your proposal. In order to be considered, complete evaluation packets must be received by **October 31, 2017**. Do not leave any questions blank; use N/A if not applicable to your project. The completed form is limited to 20 pages, including a 5 page limit for Section B.1 Proposed Scope of Work. See attached FAQs for submission information.

GENERAL INFORMATION			
Applicant Name:	Town of Mount Vernon		
Point of Contact for matters concerning this project (POC name, email address and phone):	Jeff Harrison, P.E. 778 North Dean Road Suite 200-A Auburn, AL 36830	email: jeff.harrison@cdege.com phone: (334) 782-0117	
Proposed Project Name:	Mount Vernon Water Treatment Plant		
A. RESTORE ACT PROJECT CLASSIFICATION			
<b>1. Qualifying eligible activity:</b> Please check the primary eligible activity in the first column and then all other eligible activities that apply in the second column by placing an "X" in the column in the row corresponding to the qualifying eligible activity.	<b>Primary Activity</b>	<b>All Others That Apply</b>	<b>Qualifying Eligible Activity</b>
	<input type="checkbox"/>	<input type="checkbox"/>	Restoration and protection of the natural resources, ecosystems, fisheries, marine and wildlife habitats, beaches, and coastal wetlands of the Gulf Coast region
	<input type="checkbox"/>	<input type="checkbox"/>	Mitigation of damage to fish, wildlife, and natural resources
	<input type="checkbox"/>	<input type="checkbox"/>	Implementation of a federally approved marine, coastal, or comprehensive conservation management plan, including fisheries monitoring
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Workforce development and job creation
	<input type="checkbox"/>	<input type="checkbox"/>	Improvements to or on state parks located in coastal areas affected by the Deepwater Horizon oil spill
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Infrastructure projects benefitting the economy or ecological resources, including port infrastructure
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Coastal flood protection and related infrastructure
	<input type="checkbox"/>	<input type="checkbox"/>	Planning assistance
	<input type="checkbox"/>	<input type="checkbox"/>	Promotion of tourism in the Gulf Coast Region, including recreational fishing
	<input type="checkbox"/>	<input type="checkbox"/>	Promotion of the consumption of seafood harvested from the Gulf Coast Region
<b>2. Was this proposed activity included in any claim for compensation paid out by the Oil Spill Liability Trust Fund after July 6, 2012?</b>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		
If "Yes," this activity is not eligible for Director Component funding.			

<b>3. Location</b> a) Please provide the actual location for the activity as street address, nearest intersection, or note boundaries on a submitted map. If there is more than one location for the activity, attach a list of the additional locations, city/town, county, state, and zip code.	Location:	19115 Municipal Street
	City/Town:	Town of Mount Vernon
	County:	Mobile
	State:	AL
	Zip Code:	36560
b) Applicants must demonstrate that the proposed activity will be carried out in the Gulf Coast Region. An activity is carried out the Gulf Coast Region when, in the reasonable judgement of the entity applying for a grant, each severable part of the activity is primarily designed to restore or protect that geographic area. Describe how the proposed activity will be carried out in the Gulf Coast Region as defined in 31 CFR 34.2. Applicant must also attach a map including the location the activity is primarily designed to restore or protect. (See FAQs)		
The Town of Mount Vernon and the Town's Water Treatment Facility proposed for improvements in this project are located within the Restore Act Gulf Coast Region. See attached map showing the location of the Town of Mount Vernon and the Water Treatment Facility		

<b>B. DISCUSSION OF SPECIFIC ACTIVITY</b>	
<b>1. Proposed Scope of Work (See FAQs)</b>	
(a) Provide a detailed scope of work that fully describes the project or program for which funding is requested, including:	
<ul style="list-style-type: none"> <li>• Need, purpose, and objectives</li> </ul>	
<b>Project Need (include cost of No Action):</b>	
<p>The Town of Mount Vernon owns and operates a municipal public water system which provides water service to residents of the Town of Mount Vernon as well as to a large number of households in adjacent portions of unincorporated Mobile County. All residents of the Town have access to the municipal water system. There are presently 632 residential customers on the system. The goal of this project is to upgrade the water treatment facility. The majority of the water treatment facility was originally built in 1963 and has not had any upgrades since construction. Improvements will include: a concrete clearwell and baffles, induced draft aeration, a new treatment building, electrical and HVAC, and a chemical feed system. Professional Engineers have provided an engineering assessment of the existing Water Treatment Facility, have made recommendations for capital improvements to be constructed in the system, and have provided the Alabama Department of Environmental Management (ADEM) recommendations as to the need for the improvements.</p> <p>The existing Water Treatment Plant (WTP) is located at 19115 Municipal Street, adjacent to the Town Hall on Boyles Avenue. The entire water system is dependent on a 50 year old treatment facility. The existing clear well is severely undersized for the current demand and does not meet current ADEM regulations. The WTP is responsible for treating the raw water from the existing wells. This facility is an extremely critical component of the Town's Public Water System. Present raw-water conditions encountered by the Mount Vernon water system are corrosive water, low pH levels, excessive carbon dioxide levels and water borne pathogens. There are a number of contaminants found in the ground water in the Mount Vernon area and the existing wells are susceptible to the threat of surface water contamination due to the hydrogeology of the area. The present WTP has long outlived its useful life and is experiencing frequent failures, thus causing public health threats due to impaired water quality for all of the citizens of Mount Vernon, as well as environmental concerns. The failing conditions of the WTP is requiring constant repairs, testing and monitoring by the Town's Public Works Staff. These repairs are costly and time consuming and provide only temporary solutions.</p>	

The construction of new components at the Water Treatment Plant will enable the Town to comply with ADEM and EPA minimum standards and regulations. Mount Vernon is a small rural town with very limited financial resources. The Town cannot afford to construct the necessary improvements utilizing local funds. If no action is taken, the conditions will continue to worsen.

**Project Purpose:**

Mount Vernon is a town in Mobile County, Alabama, United States. It is included in the Mobile metropolitan statistical area. It incorporated in 1959. At the 2010 census the population was 1,574, up from 844 in 2000. The population density is very high, with over 800 persons per square mile. Mount Vernon is located on Highway 43, at Highway 96, about 20 miles north of Mobile. Mount Vernon is 100% rural. The majority of the population is minority persons and the per capita income is only \$12,555, nearly half the US per capita income. Mount Vernon's public water system was begun in 1963 with the construction of Well No. 1, the water storage tank and distribution lines to serve most of the area within the Mount Vernon town limits. There were about 250 houses in Mount Vernon which had access to the original system. The system was greatly enlarged in 1967-68 when Well No. 2 was drilled and water service was extended into the Shepard's Lake Community in unincorporated Mobile County.

Mount Vernon provides potable water to 634 water customers. Water customers in Mount Vernon are predominantly residential with some agricultural accounts in their customer base. Mount Vernon average monthly water usage is approximately 4,000,000 gallons. Included in the daily usage is water loss or unaccounted for water. Mount Vernon's average water loss throughout the year is 35%. Water for the Mount Vernon system is supplied by two water wells which tap shallow alluvium deposits in the Mobile River basin. Well No. 1 was drilled in 1963 and is currently 95 feet in depth. This well has a 40 HP pump and a pumping capacity of 375 gallons per minute (GPM). Well No. 2 was drilled in 1967 and is also 95 feet in depth. This well has a 40 HP pump and a pumping capacity of 425 GPM.

The quantity of water provided by Mount Vernon's wells is adequate for the system's present and anticipated needs. The maximum amount available to the system is 972,000 GPD - based upon both wells operating 18 hours per day. The two existing wells are currently the system's only source of water. Both wells are located in close proximity - only about 575 feet apart. Contamination, power outages or emergency weather situations (e.g., hurricanes) could knock one or both wells out of service. Other conditions such as broken lines due to freezing conditions could strain the existing supply capacity requiring additional supplies of water to meet system demand.

Mount Vernon is located in a relatively isolated, thinly populated portion of the Mobile County. There are few public water systems in this area. Although connected to the MCB water system which is located south of the town, Mount Vernon cannot buy water from this system due to elevation differentials. An interconnection exists with the MCB Water Authority for the sale of water for emergency purposes. The only other public water system in the north Mobile County area is the City of Citronelle's system (South Alabama Utilities) which serves the northwestern portion of the county. An eventual connection between the two municipal systems is desirable.

There are no booster pump stations in the system currently. Mount Vernon has two (2) water storage tanks in their system. Their tank, capacity and overflow level (OFL) for each tank are as follows:

**TANK CAPACITY OFL**

Tank No. 1 .....	125,000 Gallon	175'
Tank No. 2 .....	250,000 Gallon	175'

The distribution portion of the system consists of approximately 127,000 linear feet of water distribution lines ranging in size from 2" to 8".

The Town of Mt. Vernon's Water System is a well-operated and maintained potable water supply system. The system is faced with multiple challenges that typical rural water systems in the state do not encounter and the Town

Council and operators are continually striving to meet these challenges and provide a safe and affordable water source for its customers, while protecting the environment and nearby waterways.

**Project Objectives:**

The existing Water Treatment Facility has not been upgraded since its original construction in 1963. This is an extremely critical facility, the existing clear well severely undersized for current demand and ADEM regulations. There is a very thick layer of lime at the bottom of the clear well and the baffle walls show significant deterioration with rust and cracking. The chlorine room is dangerously small and the building, specifically the roof, show signs of deterioration past the point of rehabilitation. The well pump and motor are aged and there is high water loss with the system. The proposed project will include significant upgrades to Mount Vernon's water treatment facility. The improvements will include: a concrete clearwell and baffles, induced draft aeration, a new treatment building, electrical and HVAC, and a chemical feed system. The construction of new components at the Water Treatment Plant will enable the Town to comply with ADEM and EPA minimum standards and regulations. This will improve water quality.

- How the project/program meets the identified primary activity designated in A1

The construction of upgrades to the Town of Mount Vernon's Water Treatment Plant is an infrastructure project that will benefit the economy and ecological resources. The project will allow the Town to expand water supply coverage to areas not currently supplied and allow for business growth within the region. With greater availability of clean drinking water, more business can expand or relocate to the very busy US 43 corridor; such as hotels, apartments and housing in addition to new business. The project will ensure safe, reliable drinking water for northeast Mobile County. The project will greatly reduce the 35% system wide water losses, thus providing for more efficient use of groundwater resource.

- Specific tasks, milestones and related timeframes (Needs to directly correspond to information provided in the Restore Act Milestones Report (See sample in FAQs)

Professional Services- procurement of the professional services of Grant Administration and Engineering (award +3 months)  
Engineering Design- Design of the project (award + 6 months)  
Bidding Phase- competitive sealed bidding process for construction (award + 9 months)  
Start of Construction- construction contract award and pre-construction meeting (award + 12 months)  
Construction Phase- construction of the project (award + 18 months)  
Project Close-Out- close-out of the project (award + 24 months)

- Description of all funding sources (please list any other funding sources that will be dedicated to meeting project goals and objectives, both federal and non-federal (corresponds to SF-424-A form in budget attachments)

None

- Projects designed to protect or restore natural resources must be based on **best available science**, (See FAQs). Include a description of the methods to be used to achieve the protection or restoration objective(s). (Also complete Question B10.)

N/A

(b) If the proposed project is part of a larger project outside the scope of this application, describe the larger project and the proposed project's relationship to it.

N/A

**2. Budget Justification (See 2 CFR Sub-part E, Cost Principles)**

Directions: Explain in detail how the proposed budget supports the proposed scope of work. The budget justification should relate each budget category listed in the SF-424A and SF-424C to the specific tasks discussed in the response to B1. Provide

specific justification for ALL budget categories that apply, including an explanation of the necessity, allowability, reasonableness, and allocability of proposed costs. Please refer to the relevant FAQs for descriptions of the budget categories.

**1. Construction-**

- a) Administration and Legal Expenses- \$100,000.00- The professional services of a grant administration firm will be properly procured to provide professional and technical assistance to the local government as prescribed in accordance with accepted grant management practices. This fee represents 6% of the total project costs, which complies with industry standard for administration of grant projects of this size and complexity.
- b) Architectural and engineering fees- \$120,000.00- The professional services of an engineering firm will be properly procured to provide technical services for the project design and bidding phase of the project. This fee represents 8% of project costs, which complies with industry standard for engineering design and bid of projects of this size and type.
- c) Other architectural and engineering fees- \$30,000.00- The engineering firm of record will provide additional services as needed, such as geotechnical investigations, regulatory permitting, survey work, etc.
- d) Project inspection fees- \$50,000.00- The professional services of an engineering firm will be properly procured to provide oversight and project inspection during the construction phase. This fee represents 3% of project costs which complies with industry standard for engineering design and bid of projects of this size and type.
- e) Construction- \$1,200,000.00- The Town will competitively bid a construction contract to be performed by licensed contractors to perform all of the work necessary to complete the upgrades to the Water Treatment Facility. A preliminary budget was prepared by professional engineers in 2017 that includes a line item breakdown of costs included in construction for this project. Major cost items include, concrete clearwell and baffles, high service pumps to system, induced draft aeration, treatment building, yard piping and valves, electrical and HVAC, chemical feed system, and chlorine feed system.

**3. The Applicant's Selection and Oversight of Contractors, if applicable**

Directions: Indicate if the applicant plans to contract out any work described under the Budget Justification (see B2) including construction. If so, the applicant must describe the following:

- Nature of the work to be contracted out and the expected number of contracts to be awarded;

According to preliminary engineering reports, the proposed improvements are the most cost effective and comprehensive approach. The Town has the manpower and equipment to maintain and inspect the project once completed. No property acquisition will take place as part of this project. This project will be Categorically Excluded as all activities will take place at an existing Water Treatment Facility. The project can be expected to be fully completed within 24 months of the date of award.

The Town will properly procure the professional services of a qualified engineering firm and grant administration firm to design, oversee and implement the project. All construction activities will be competitively bid and performed by licensed contractors. It is anticipated that three contracts will be awarded as part of this project, one for Engineering Services, one for Grant Administration Services, and one for Construction.

- Procurement method(s) allowable under 2 CFR 200.320 that will be used for the procurement of the contractor(s);

For the procurement of the professional services of Engineering and Grant Administration, 2 CFR 200.320 (d) Procurement by competitive proposals will be followed. For the procurement of the construction contract, 2 CFR 200.320 (c) Procurement by sealed bids (formal advertising) will be followed.

- Justification under 2 CFR 200.320(f) for sole source procurement, if applicable; and

N/A

- Applicant's plan for monitoring contractor performance and compliance.

All contracts entered into with the Engineering Firm, Grant Administration Firm and Construction Contractor will include all applicable laws and regulations, and grant provisions. The Town Mayor and Council, Attorney and staff will be responsible for monitoring the performance and compliance of the professional services. The Engineering

Firm will oversee the construction contract and will ensure contractor performance and compliance. The Grant Administrator will monitor the contract performance of the engineering firm and construction contractors with respect to project costs, schedules and performance

If a contractor already has been selected, also include the following:

- Name of each contractor;
- DUNS number of each contractor;
- Date the applicant executed each contract;
- Amount of each contract award;

N/A

- Procurement method allowable under 2 CFR 200.320 that was used for the procurement of each contract;
- Description of the procurement process, as implemented; and
- Justification under 2 CFR 200.320(f) for sole source procurement, if applicable.

N/A

#### 4. Best Available Science

Directions: If the answer to the following question is "yes" complete this section.

Is the proposed activity designed to protect or restore natural resources?

Yes

No

The RESTORE Act requires activities designed to protect or restore natural resources to be based on the "best available science," which is defined in the Act as science that (a) maximizes the quality, objectivity, and integrity of information, including statistical information; (b) uses peer-reviewed and publicly available data; and (c) clearly documents risks and uncertainties in the scientific basis for such projects.

The applicant must make a determination that a project designed to protect or restore natural resources is based on the best available science. In order to support this determination, the applicant must clearly state the protection or restoration objective(s) of the project, describe the methods that will be used to achieve the objective(s), and explain how these methods are based on best available science. The response must be sufficiently detailed for Treasury to evaluate the reasonableness of the applicant's determination that the project is based on best available science. In addressing the three-pronged test in the definition of "best available science," the applicant must cite, when available, peer-reviewed, objective, methodologically sound literature sources that support the conclusion that the proposed scope of work is an effective way to achieve the stated objectives.

For each literature source cited, the applicant must provide sufficient citations, including:

- Title;
- Journal in which the literature source appeared, if applicable;
- Publication date;
- Author(s); and
- Web address if downloaded or available online.

N/A

The applicant must provide written answers to all of the following:

(Submission of source materials will not satisfy the requirements for answering this question.)

- A summary of the peer-reviewed information that justifies the proposed objectives, including methods used for the proposed activity. If peer-reviewed literature sources are unavailable, the Applicant must explicitly State this and provide A brief explanation of what alternative scientific information sources were used. If the Applicant relied on

publicly available data, the Applicant must cite the source of the data, the date of collection, and the size of the data set. Whenever possible, the Applicant should use publicly available data from sources such as State agencies and federal agencies, for example the U.S. Census Bureau, U.S. Fish and Wildlife Service, Environmental Protection Agency, National Oceanic and Atmospheric Administration. The Applicant must provide a link to each publicly available data source used.

N/A

- A summary of how the applicant's methods reasonably support and are adaptable to Gulf Coast Region if the information supporting the proposed activity does not directly pertain to the Gulf Coast Region.

N/A

- A summary of an evaluation of uncertainties and risks in achieving the project's best available science objectives over the longer term; e.g., is there an uncertainty or risk that in 5-10 years the project/program will be obsolete or not function as planned given projections of sea level rise or other environmental change such as in freshwater inflows to estuaries?

N/A

- A summary of the literature sources' conclusions and any uncertainties or risks in the scientific basis that would apply to the proposed activity, including any uncertainties or risks that were identified by the public or by a Gulf Coast Ecosystem Restoration Council member.

N/A

### 5. Key Personnel

Directions: Key personnel should include the applicant's Authorizing Official who is authorized to sign the grant application and award, the Project Director who is responsible for the project, and the Financial Officer who is responsible for maintaining the accounting and financial records of the grant. Please provide an Organizational Chart.

Mayor Terry L. Williams      phone: (251) 829-6633  
1565 Boyles Avenue      email: terry.williams@globalsystemsintl.com  
Mount Vernon, AL 36560

Theresa Weaver, Clerk      phone: (251) 829-6633  
1565 Boyles Avenue      email: tclerk\_99@yahoo.com  
Mount Vernon, AL 36560

Jeff Harrison, P.E.      email: jeff.harrison@cdge.com  
778 North Dean Road      phone: (334) 782-0117  
Suite 200-A  
Auburn, AL 36830

### 6. Possible Material Risks to Implement and Maintain the Proposed Activity

Directions: List the possible material risks, e.g., operational, legal, regulatory, budgetary, or ecological risks, with a brief discussion of mitigation strategies that the applicant may need to address in order to implement and/or maintain the proposed activity. If the applicant determines that there are no material risks to implement and maintain the proposed activity, then put 'None' in the Risk column below.

Risks:

None

Mitigation Strategy:

N/A

**7. Permits, Land Acquisition, Construction, and Relocation Assistance**

Directions: Answer the following items concerning permits, construction, land acquisition, and relocation assistance, if applicable.

**(a) Permits**

Does the proposed activity require any federal, tribal, state, or local permits? For potential federal permits needed, see: (<https://www.permits.performance.gov/tools/federal-environmental-review-and-authorization-inventory>). If yes, list the specific federal, tribal, state, or local permits required for this project and the status of the permits:

This project will require an updated permit from the Alabama Department of Environmental Management (ADEM). ADEM was made aware of the proposed improvements via the Town's annual report. These improvements will allow the Town to comply with current ADEM and EPA requirements. The Town will be able to avoid costly fines as a result.

**(b) Land Acquisition and Construction Activities**

Will land be improved? If yes, answer questions i-vi

Yes  No

Will land or interest in land be acquired? If yes, answer questions i-vii

Yes  No

i. What are the legal rights that will be acquired?

Fee Title  Easement  Other \_\_\_\_\_

ii. If an easement, what is the life of the easement?

N/A

iii. Who will hold title to the land?

N/A

iv. What is the total acreage of the proposed property interest to be acquired (easement or fee title)?

N/A

v. Has the applicant obtained a recent certified appraisal of the property? If yes, attach a copy of the appraisal.

Yes  No

vi. Has the applicant obtained a recent title opinion or certificate? If yes, attach a copy of the title opinion or certificate.

Yes  No

vii. Attach a signed statement from the seller(s) that he/she is a willing seller and has not been coerced into selling or conveying the property interest.



N/A

viii. Attach the legal description of the property and the tax parcel number.

N/A

**(c) Relocation Assistance**

Will the proposed project cause the displacement of any persons, businesses, or farm operations? If yes, as required by Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, explain: the number of displaced persons, including businesses and farm operations; what fair and reasonable relocation payments and advisory services will be provided to any displaced persons; and what provisions will be made to ensure that safe, decent, and sanitary replacement dwellings will be available to such persons within a reasonable period of time prior to displacement.

N/A

**8. Additional Project-Specific Factors**

- Please discuss the proposed project's short-term and long-term benefits

The project's objectives will make the mandated improvements to the Water Treatment Plant in a timely and cost effective manner, and will do so with minimal adverse impacts to the. The primary benefit of this project will be to ensure long-term, reliable and sustainable public water services. The project will do this in a way that will focus on ecosystem improvement and environmental protection. The rehabilitated Water Treatment Plant project will provide a higher level of treatment quality using less energy. This technological benefit will allow the Town to use less energy even though it will include new components. Mount Vernon is considered a disadvantaged community. Obtaining grant funding to make improvements to the water treatment plant will reduce the amount that water rates will need to be increased for the community, thereby reducing the adverse economic effects to a disadvantaged community. The construction of new components at the Water Treatment Plant will enable the Town to comply with ADEM and EPA minimum standards and regulations. Mount Vernon is a small rural town with very limited financial resources. The Town cannot afford to construct the necessary improvements utilizing local funds. If no action is taken, the conditions will continue to worsen.

- The purpose of the RESTORE Act is to provide funding for ecological and economic recovery efforts for damages incurred as a result of the Deepwater Horizon Oil Spill. Please discuss how the proposed project's implementation will prevent any adverse impacts elsewhere.

N/A

- Does the proposed project expand or promote an existing industry or offer diversification? If so, please explain:

N/A

- Does the proposed project create short-term job opportunities? If so, how many? Please justify:

According to Project Engineers, the construction portion of this project can be expected to create about 30 jobs for a 12 month period. The implementation of this project will reduce the Town of Mount Vernon Water Board's financial and manpower resources that are expended on a continual basis in the project area. This will improve the Authority's finances, helping to retain jobs and create new jobs in the future.

- Does the proposed project create long-term job opportunities? If so, how many? Please justify:

The project will allow the Town to expand water supply coverage to areas not currently supplied and allow for business growth within the region. With greater availability of clean drinking water, more business can expand or relocate to the very busy US 43 corridor; such as hotels, apartments and housing in addition to new business.

- Please discuss how the proposed project will be sustained post-implementation including any annual recurring costs

The Town of Mount Vernon owns and operates the public water system and will be directly responsible for the long-term maintenance of the improvements. The implementation of this project will significantly reduce the operational costs of the water system when the structural integrity of the system is restored. The Town will ensure the timely and proper implementation of the project and provide for all long-term operation and maintenance costs. The implementation of this project will reduce the Utility Department's resources that are expended on a continual basis to repair the frequent water system failures that occur in the project area. The staff has all equipment and supplies necessary to provide for proper maintenance of the water facilities.

This project involves rehabilitation only of the existing Water Treatment Facility. This project will not create any new operation and maintenance costs and will actually result in a reduction of such costs for the Town. Due to on-going system failures and resident complaints in the project area, the existing water facilities are depleting Town funds. When utility workers respond to these calls, funds are expended in staff time, vehicle and equipment use, and materials costs. If this project is not implemented, not only will these unnecessary expenses continue, but they will worsen as the system grows older and further degrades.

**- Please discuss how the proposed project will use cutting-edge technology (i.e., LID, LEED, permeable surfaces)**

The proposed upgrades to the Water Treatment Facility will include cutting-edge technology. The induced draft aeration that will be installed at the plant is an effective, inexpensive and low-maintenance method of improving finished water quality in a large number of applications. Generally used at the head of a water treatment plant facility, these units efficiently help remove unwanted water components and help stabilize the pH of corrosive waters for a large range of flows. The chemical feed system and chlorine feed system will reduce risk of chemical exposure, reduce off-gassing and harmful chemical odors, eliminate environmental hazards from entering the facility, reduce cross-contamination of chemicals, and create a "greener" work environment.

**- Because the Gulf Coast Restoration Trust Fund will receive deposits over a 15-year period, the Council may consider funding projects in phases. In the event this proposed project is not fully funded, please discuss how the project might be implemented in phases. Keep in mind each phase must result in a stand-alone product.**

The project cannot be implemented in phases

Rev. 8/10/17

**RESTORE Act Environmental Checklist**  
**Department of the Treasury**

OMB Approval Number 1505-0250

*Directions: The following questions will aid the applicant in identifying the environmental laws that may apply to the eligible activity and the environmental documents that may be required from listed agencies and submitted with the grant application. Follow up to the questions should be listed in the table located on the last page of the checklist. Treasury will use the submittals to record the Applicant's assertion that it has complied with applicable environmental laws.*

**PROPOSED PROJECT NAME:** Mount Vernon Water Treatment Plant

**APPLICANT NAME:** Town of Mount Vernon

**FEDERAL LAWS**

**1.1 NATIONAL ENVIRONMENTAL POLICY ACT (NEPA)**

The NEPA of 1969 (42 U.S.C. 4321 et seq.) provides a national policy that encourages "productive and enjoyable harmony between man and his environment; to promote efforts which will prevent or eliminate damage to the environment and biosphere and stimulate the health and welfare of man . . ." The NEPA requires that all federal agencies use a systematic, interdisciplinary approach for protection of the human environment; this approach will ensure the integrated use of the natural and social sciences in any planning and decision-making that may have an impact upon the environment. The NEPA also requires the preparation of a detailed Environmental Impact Statement (EIS) on any major federal action that may have a significant impact on the environment. An Environmental Review may be required based on the answers to the following questions:

1) Will the proposed activity be under the permitting authority of any federal agency?

Yes  No

2) Will the proposed activity receive federal assistance (other than RESTORE Act funding)?

Yes  No

3) Will the proposed activity be subject to any federal regulatory decision or approval?

Yes  No

If the answer to any of these questions is "yes," contact the relevant federal agency or agencies for further guidance on environmental compliance. Additional information concerning NEPA can

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1505-0250. Comments concerning the time required to complete this information collection, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information, should be directed to the Department of the Treasury, Office of Gulf Coast Restoration, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

be found at: <https://ceq.doe.gov/>.

- 4) Has any environmental review (e.g., NEPA documentation or state or tribal equivalent) been prepared for this proposed eligible activity?

Yes  No

If yes, please attach a copy of the documentation to this checklist.

### 1.2. COASTAL ZONE MANAGEMENT ACT (CZMA)

A federal consistency determination or certification pursuant to Section 307 of the Coastal Zone Management Act may be required from the state coastal zone management program, based on the answers to the following questions:

- 1) Will the proposed activity occur in or near the state designated coastal zone (<https://coast.noaa.gov/czm/media/StateCZBoundaries.pdf>)?

Yes  No

- 2) Is the activity likely to have reasonably foreseeable effects on any land or water use or natural resource of the designated coastal zone?

Yes  No

If the answer to either of these questions is "yes," contact the State Coastal Zone Management Program (<https://coast.noaa.gov/czm/about/?redirect=301ocm>) for further guidance on federal consistency requirements in your state. Additional information on federal consistency can be found at: <https://coast.noaa.gov/czm/consistency/>.

### 1.3 ENDANGERED SPECIES ACT (ESA)

A consultation pursuant to Section 7 of the Endangered Species Act and/or a permit and conservation plan pursuant to Section 10 may be required based on the answers to the following questions:

- 1) Will the proposed activity occur in proximity to threatened or endangered species or critical habitat as defined by the ESA and under the jurisdiction of the National Marine Fisheries Service (NMFS) (<http://www.nmfs.noaa.gov/pr/laws/esa/>) or the U.S. Fish and Wildlife Service (USFWS) (<http://www.fws.gov/endangered/>)?

Yes  No

- 2) Will the proposed activity potentially affect threatened or endangered species or critical habitat as defined by the ESA and under the jurisdiction of NMFS or USFWS?

Yes  No

If the answer to either of these questions is "yes," or you are unsure, contact the regional office of USFWS (<http://www.fws.gov/offices/>) and/or NMFS (<http://www.nmfs.noaa.gov/>) to determine if consultation is required. Most consultations are conducted informally with the federal agency or a designated non-federal representative. Non-federal representatives may be involved in the informal consultation process and may request and receive species lists, prepare the biological assessment, and provide information for the formal consultation. However, the USFWS requires the action agency to designate formally the non-federal representative in writing. Moreover, the ultimate responsibility for Section 7 obligations remains with the action agency. Additional information concerning Section 7 consultations can be found in the Endangered Species Act Consultation Handbook at: <http://www.fws.gov/policy/m0002.html>. Additional information concerning Section 10 permits and conservation plans can be found at:

[http://www.nmfs.noaa.gov/pr/permits/ESA\\_permits.html](http://www.nmfs.noaa.gov/pr/permits/ESA_permits.html).

**1.4 MIGRATORY BIRD TREATY ACT AND BALD AND GOLDEN EAGLE PROTECTION ACT** The Migratory Bird Treaty Act makes it illegal for anyone to take, possess, import, export, transport, sell, purchase, barter, or offer for sale, purchase, or barter, any migratory bird, or the parts, nests, or eggs of such a bird except under the terms of a valid permit issued pursuant to Federal regulations. The migratory bird species protected by the Act are listed in 50 C.F.R. 10.13. The Bald and Golden Eagle Protection Act prohibits anyone, without a permit issued by the Secretary of the Interior, from "taking" bald eagles [or any golden eagle], including their parts, nests, or eggs. The Act defines "take" as "pursue, shoot, shoot at, poison, wound, kill, capture, trap, collect, molest or disturb." A permit may be required based on the answers to the following questions:

- 1) Will the proposed activity affect any migratory bird species protected by the Migratory Bird Treaty Act?

Yes  No

- 2) Will the proposed activity affect any bald or golden eagles protected by the Bald and Golden Eagle Protection Act?

Yes  No

If the answer to either question is "yes" or you are unsure, contact the regional office of USFWS (<http://www.fws.gov/offices/>). More information can be found at:

<http://www.fws.gov/birds/policies-and-regulations/laws-legislations/migratory-bird-treaty-act.php> and <http://www.fws.gov/birds/policies-and-regulations/laws-legislations/bald-and-golden-eagle-protection-act.php>.

### 1.5 MAGNUSON – STEVENS FISHERY CONSERVATION AND MANAGEMENT ACT (FCMA)

Consultation with the NMFS may be required if Essential Fish Habitat (EFH) is present and based on the answers to the following questions:

- 1) Will the proposed activity occur in proximity to Essential Fish Habitat as identified by the nearest Regional Fishery Management Council (<http://www.fisherycouncils.org/> and <http://www.nmfs.noaa.gov/sfa/management/councils/>)

Yes  No

- 2) Will the proposed activity potentially adversely affect EFH?

Yes  No

If the answer to either of these questions is "yes" or you are unsure, contact the nearest regional office of the NMFS (<http://www.nmfs.noaa.gov/>) or Regional Fishery Management Council (<http://www.fisherycouncils.org/>) to determine if consultation is required. Additional information concerning EFH can be found at: <http://www.habitat.noaa.gov/index.html>. Information about consultations can be found in the Essential Fish Habitat Consultation Guidance at: [http://www.habitat.noaa.gov/pdf/efhconsultationguidancev1\\_1.pdf](http://www.habitat.noaa.gov/pdf/efhconsultationguidancev1_1.pdf).

### 1.6 MARINE MAMMAL PROTECTION ACT (MMPA)

A permit may be required if an activity will result in the "take" of a marine mammal. Taking is defined as "to harass, hunt, capture, or kill, or attempt to harass, hunt, capture, or kill any marine mammal." Permits for most marine mammals are issued by NMFS. Manatees, polar bears, sea otters, walruses, and dugongs, however, are under the jurisdiction of the USFWS.

- 1) Will the proposed activity occur in proximity to any known marine mammals (<http://www.nmfs.noaa.gov/pr/species/mammals/>)?

Yes  No

- 2) Will the proposed activity likely result in the take of a marine mammal?

Yes  No

If the answer to either of these questions is "yes," or you are unsure, contact the nearest regional office of NMFS (<http://www.nmfs.noaa.gov/>) to determine if a permit is required. Additional information concerning marine mammal permits can be found at: <http://www.nmfs.noaa.gov/pr/> and [http://www.nmfs.noaa.gov/pr/permits/mmpa\\_permits.html](http://www.nmfs.noaa.gov/pr/permits/mmpa_permits.html).

**1.7 MARINE PROTECTION, RESEARCH, AND SANCTUARIES ACT (MPRSA)**

Titles I and II of the Marine Protection, Research, and Sanctuaries Act (MPRSA), also referred to as the Ocean Dumping Act, generally prohibits (1) transportation of material from the United States for the purpose of ocean dumping; (2) transportation of material from anywhere for the purpose of ocean dumping by U.S. agencies or U.S.-flagged vessels; (3) dumping of material transported from outside the United States into the U.S. territorial sea. A permit may be required based on the answers to the following questions:

1) Does the proposed activity involve an activity covered by the MPRSA?

Yes  No

If the answer to this question is "yes," contact the Environmental Protection Agency's (EPA's) Office of Wetlands, Oceans, and Watersheds/Oceans and Coastal Protection Division for further guidance (<http://www.epa.gov/aboutepa/about-office-water#wetlands>). Additional information about permits under the MPRSA can be found at: <http://www.epa.gov/laws-regulations/summary-marine-protection-research-and-sanctuaries-act>.

**1.8 NATIONAL MARINE SANCTUARIES ACT**

Each National Marine Sanctuary has its own unique set of regulations. There are some regulatory prohibitions that are typical for many sanctuaries: 1) discharging material or other matter into the sanctuary; 2) disturbance of, construction on or alteration of the seabed; 3) disturbance of cultural resources; and 4) exploring for, developing or producing oil, gas or minerals (with a grandfather clause for preexisting operations). A permit may be required from the National Oceanic and Atmospheric Administration (NOAA) based on the answers to the following questions:

1) Is the proposed activity located in a National Marine Sanctuary (<http://sanctuaries.noaa.gov/about/regions.html>)?

Yes  No

If the answer to this question is "yes," contact the nearest Regional Office of NOAA's National Marine Sanctuaries Program for further guidance (<http://sanctuaries.noaa.gov/about/southeast.html>).

**1.9 CLEAN WATER ACT (CWA)**

A separate type of permit is required to dispose of dredge or fill material in the Nation's waters, including wetlands. Authorized by Section 404 of the Act, this permit program is administered by the U.S. Army Corps of Engineers (USACE), subject to and using environmental guidance from the EPA. Some types of activities are exempt from permit requirements, including certain farming, ranching, and forestry practices that do not alter the use or character of the land; some construction and maintenance; and activities already regulated by States under other provisions of the Act. A permit may be required from the USACE based on the answers to the following

questions:

- 1) Will the proposed activity result in any disposal of dredge or fill material to the nation's waters or wetlands?

Yes  No

If the answer to this question is "yes," contact the Regulatory Program of the nearest District Office of the USACE (<http://w3.saj.usace.army.mil/permits/HQAvatar/index.htm>) for further guidance on Section 404 permits.

A Water Quality Certification (Section 401) is required for activities that may result in a discharge into navigable waters, including wetlands, watercourses, and natural or man-made ponds. A National Pollution Discharge Elimination System (NPDES) permit may also be required for such discharges.

- 1) Will the proposed activity result in any discharge to navigable waters?

Yes  No

If the answer to this question is "yes," contact your state water quality agency for additional guidance. Additional information concerning Section 401 or NPDES requirements can be found at: <http://www.epa.gov/owow/wetlands/waterquality> and <http://cfpub.epa.gov/npdes/>

#### 1.10 CLEAN AIR ACT (CAA)

Special conditions may be required on projects that could affect air quality, based on the answers to the following questions:

- 1) Will the proposed activity result in any direct or indirect emissions within a non-attainment area (<http://www3.epa.gov/airquality/greenbook/define.html>)?

Yes  No

If the answer to this question is "yes," contact the nearest state air quality agency (<http://www.4cleanair.org>) for further guidance on determining conformity with the state implementation plan.

#### 1.11 NATIONAL HISTORIC PRESERVATION ACT (NHPA) AND THE ARCHAEOLOGICAL AND HISTORIC PRESERVATION ACT (AHPA)

Special conditions may be required on projects that could affect historic resources, based on the answers to the following questions:

- 1) Will the proposed activity occur near property listed or eligible for listing in the National Register of Historic Places (<http://www.nps.gov/nr>), or near property otherwise protected



by section 106 of the National Historic Preservation Act (<http://www.achp.gov/nps.html>) or a similar State Preservation Act?

Yes  No

If the answer to this question is "yes," or you are unsure, contact your state historic preservation office (<http://www.ncshpo.org/>) for further guidance concerning compliance requirements.

#### 1.12 COASTAL BARRIER RESOURCE ACT (CBRA)

Federal funding may be prohibited for projects that occur on certain designated coastal barriers, based on the answer to the following questions:

- 1) Is the proposed activity located on an undeveloped coastal barrier designated by the Coastal Barriers Resources Act (<http://www.fws.gov/cbra/>)?

Yes  No

If the answer to this question is "yes," contact the nearest Regional Office of USFWS (<http://www.fws.gov/where>) for further guidance.

#### 1.13 RIVERS AND HARBORS ACT

A permit may be required from the USACE based on the answers to the following questions:

- 1) Will the proposed activity involve any work (including structures) that will occur in, over or under navigable waters of the United States?

Yes  No

If the answer to this question is "yes," contact the Regulatory Program of the nearest District Office of the USACE (<http://w3.saj.usace.army.mil/permits/HQAvatar/index.htm>) for further guidance on Section 10 permits. The USACE can authorize activities by a standard individual permit, letter-of-permission, nationwide permit, or regional permit. The USACE will make the determination on what type of permit is needed.

#### 1.14 RESOURCE CONSERVATION AND RECOVERY ACT (RCRA)

A RCRA permit may be required from the EPA or designated state agency based on the answers to the following question:

- 1) Will the proposed activity include the long-term storage, treatment, or disposal of hazardous materials or petroleum products?

Yes  No

If the answer to this question is "yes," contact the nearest RCRA Regional Office of the EPA or state authorized agency (<http://www.epa.gov/compliance/resource-conservation-and-recovery->

[act-rcra-compliance-monitoring](#)) for further guidance on RCRA compliance.

**1.15 COMPREHENSIVE ENVIRONMENTAL RESPONSE, COMPENSATION, AND LIABILITY ACT (CERCLA)**

Special provisions and requirements may apply based on the answer to the following question: (<http://www.epa.gov/superfund/sites/index.htm>).

1) Will the proposed activity involve a Superfund site?

Yes  No

If the answer to this question is "yes," contact the nearest Regional Office of the EPA (<http://www.epa.gov/aboutepa/visiting-regional-office>) for further guidance on CERCLA requirements.

**1.16 WILD AND SCENIC RIVERS ACT**

The Wild and Scenic Rivers Act prohibits federal support for actions such as the construction of dams or other instream activities that would harm the free-flowing condition, water quality, or outstanding resource values of a designated Wild and Scenic River. There are designated rivers in the Gulf Coast States and the Act may apply based on the answer to the following questions:

1) Is the proposed activity located on a designated Wild and Scenic River (<http://www.rivers.gov/index.php>)?

Yes  No

If the answer to this question is "yes," contact the nearest Regional Office of the USFWS (<http://www.fws.gov/where>) for further guidance.

**1.17 SAFE DRINKING WATER ACT**

A permit may be required if the proposed activity will involve underground injection which may impact drinking water sources and based on the answer to the following question:

1) Will the proposed activity involve underground injection which may impact drinking water sources?

Yes  No

If the answer to the question is "yes," contact the nearest state drinking water or underground injection control program. For more information see: <http://water.epa.gov/lawsregs/guidance/sdwa/>.

### 1.18 FARMLAND PROTECTION POLICY ACT (FPPA)

Projects are subject to FPPA requirements if they may irreversibly convert farmland (directly or indirectly) to nonagricultural use and are completed by a Federal agency or with assistance from a Federal agency. The project may be subject to the FPPA based on the answers to the following questions:

- 1) Will the proposed activity irreversibly convert farmland (directly or indirectly) to nonagricultural use?

Yes  No

If the answer to the question is "yes," contact your local office of the Natural Resources Conservation Service (NRCS) or USDA Service Center. For more information see: [http://www.nrcs.usda.gov/wps/portal/nrcs/detail/?cid=nrcs143\\_008275](http://www.nrcs.usda.gov/wps/portal/nrcs/detail/?cid=nrcs143_008275)

### EXECUTIVE ORDERS

Executive Orders are directives from the President of the United States to federal agencies and officials.

#### 2.1 E.O. 11988 AND E.O. 13690 – FLOODPLAIN MANAGEMENT

Executive Order 11988, as amended by Executive Order 13690 requires that an eight-step process be followed for projects that may have potential impacts to or within floodplains.

- 1) Is the proposed activity located in a designated floodway or "V-zone" on a National Flood Insurance Program map: (<http://msc.fema.gov/portal>)?

Yes  No

If the answer to this question is "yes," contact the nearest Regional Office of the Federal Emergency Management Agency (<https://www.fema.gov/regional-contact-information>) for further guidance.

#### 2.2 E.O. 11990 and E.O. 12608 – WETLAND PROTECTION

This Executive Order requires agencies to avoid providing assistance for new construction located in wetlands unless there is no practicable alternative to such construction, and that the proposed action includes all practicable measures to minimize harm to wetlands which may result from such use. The Executive Order defines wetlands: "(c) The term "wetlands" means those areas that are inundated by surface or ground water with a frequency sufficient to support and under normal circumstances does or would support a prevalence of vegetative or aquatic life that requires saturated or seasonally saturated soil conditions for growth and reproduction. Wetlands generally include swamps, marshes, bogs, and similar areas such as sloughs, potholes, wet meadows, river overflows, mud flats, and natural ponds." (See <http://www.fws.gov/wetlands/Data/Mapper.html>)

1) Is any portion of the project proposing a new construction activity in wetlands?

Yes  No

If the answer to this question is "yes," provide documentation in the grant application demonstrating that: (1) there is no practicable alternative, and (2) the proposed activity includes all practicable measures to minimize harm to wetlands.

### 2.3 E.O. 12898 – ENVIRONMENTAL JUSTICE

This Executive Order requires that "each federal agency shall make achieving environmental justice part of its mission by identifying and addressing, as appropriate, disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority populations and low-income populations."

1) Will the proposed activity have disproportionately high and adverse human health or environmental effects on minority or low-income populations?

Yes  No

If the answer to this question is "yes," see the Council on Environmental Quality website for further guidance on Environmental Justice: [https://ceq.doe.gov/nepa\\_information/justice.html](https://ceq.doe.gov/nepa_information/justice.html).

### 2.4 E.O. 13089 – CORAL REEF PROTECTION

This Executive Order requires that any actions that are authorized or funded by federal agencies not degrade the condition of coral reef ecosystems. Some of the Gulf Coast States contain coral reef ecosystems and include National Marine Sanctuaries (<http://sanctuaries.noaa.gov>).

1) Will the proposed activity involve a coral reef ecosystem or National Marine Sanctuary?

Yes  No

If the answer to this question is "yes," contact the National Oceanic and Atmospheric Administration Coral Reef Conservation Program (<http://www.coralreef.noaa.gov>) for further guidance. Additional information regarding Executive Order 13089 can be found at: <https://ceq.doe.gov/nepa/regs/eos/eo13089.html>.

**2.5 E.O. 13112 – INVASIVE SPECIES**

This Executive Order requires agencies to prevent the introduction of invasive species and provide for their control.

- 1) Will the proposed activity have the potential to introduce or cause the spread of an invasive species? For more information on invasive species, see <http://www.invasivespeciesinfo.gov/index.shtml>.

Yes  No

If the answer to this question is "yes," provide documentation demonstrating that the benefits of the activity clearly outweigh the potential harm caused by invasive species, and that all feasible and prudent measures to minimize risk of harm will be taken in conjunction with the actions.

**2.6 E.O. 13186 – RESPONSIBILITIES OF FEDERAL AGENCIES TO PROTECT MIGRATORY BIRDS** This Executive Order requires the incorporation and promotion of migratory bird conservation considerations into all agency activities. The Gulf Coast States contain North American migration flyways.

- 1) Is the proposed activity likely to occur during a time of the year when migrating birds are in the vicinity?

Yes  No

If the answer to this question is "yes," contact the nearest Regional Office of the U.S. Fish and Wildlife Service (<http://www.fws.gov/where>) for further guidance. Additional information regarding Executive Order 13186 can be found at: <http://www.fws.gov/migratorybirds>.

**2.7 E.O. 13563 – PREPARING THE UNITED STATES FOR THE IMPACTS OF CLIMATE CHANGE** This Executive Order requires federal agencies to identify and support smarter, more climate- resilient investments by States, local communities, and tribes, including by providing incentives through agency guidance and grants.

- 1) Will the proposed activity incorporate elements that promote climate-resilience (e.g., to rising sea levels)?

Yes  No

If yes, include a brief description of the climate-resilient elements in the grant application - proposed activity description.

Executive Order 13563 can be found at: <https://www.gpo.gov/fdsys/pkg/FR-2013-11-06/pdf/2013-26785.pdf>.

Report the status of your contact with required agencies/tribes on the table below which coincides with the environmental laws outlined in the checklist. Provide the date of contact, name of agency/tribe contacted, location, and any necessary permit, certification, or other determination or mitigation proposed by the agency/tribe. If none, state so.

Status of Contact Table

Federal law as listed in checklist	Date of contact	Name of agency/tribe contacted	Location	Permit, certification, determination or mitigation required
None				

Signature of Authorized Senior Official: Terry L. Williams  
 Name: Terry L. Williams Date: \_\_\_\_\_  
 Title: Mayor Organization: Town of Mount Vernon

## RESTORE Act Milestones Report

Instructions for Completing Form:							
Please complete Columns B-E in the initial report submitted as part of an application package. After a grant is awarded, complete Columns F-G for each milestone as applicable and submit as part of the performance reports. The values in Columns E and G should each total 100%. These milestones should reflect what is in the applicant's scope of work as described in the applicable RESTORE Act Direct Component Application Narrative.							
Applicant/Grantee: Town of Mount Vernon							
Title: Water Treatment Facility Improvements							
Reporting Period Ending:*							
A. Milestone #	B. Milestone Description	C. Estimated Completion Timeframe of Milestone (Format: award + # of months)	D. Is milestone contingent upon completion of another milestone (Y/N)? If yes, which milestone is it contingent upon (# from Column A)?	E. What percentage of the Scope of Work is estimated to be completed with this milestone?	F. Actual Completion Date of Milestone (Format: Month/Year)	G. Estimate percentage of budget for the awarded Scope of Work spent on milestone	
1	Professional Services	award + 3 months	No	10.00%		10.00%	
2	Engineering Design	award + 6 months	No	10.00%		10.00%	
3	Bidding Phase	award + 9 months	Yes- 1- 2	10.00%		10.00%	
4	Start of Construction	award + 12 months	Yes- 1- 3	20.00%		20.00%	
5	Construction Phase	award + 18 months	Yes- 1- 4	40.00%		40.00%	
6	Project Close-Out	award + 24 months	Yes- 1 - 5	10.00%		10.00%	
				0.00%		0.00%	
				0.00%		0.00%	
	This row is for Columns E and G Totals						100.00%

**Applicant/Grantee:** Town of Mount Vernon

**Title:** Water Treatment Facility Improvements

**Reporting Period Ending:** 12/31/2019

**Goal(s):** To construct improvements to the Town of Mount Vernon's Water Treatment Facility

A. Eligible Activity #	B. Measure #	C. Measure	D. Baseline	E. Target	F. Target Date	G. Progress Toward Target (reporting period)	H. Progress Toward Target (cumulative)	I. Status/Next Steps
6	1	Execution of 2 professional services contracts for grant administration and engineering	0	2	3/31/2018			
6	2	Engineering Design Complete	0	1	6/30/2018			
6	3	Project Bid	0	1	9/30/2018			
6	4	Start of Construction	0	1	12/31/2018			
6	5	Construction Completed	0	1	6/30/2019			



## RESTORE Act Direct Component Applicant Certifications Department of the Treasury

OMB Approval No. 1505-0250

**Directions:** These certifications are required by federal law and Department of the Treasury (Treasury) regulations to be submitted with each application to Treasury for financial assistance under the RESTORE Act Direct Component. The certifications must be signed by an authorized senior official of the Applicant who can legally bind the entity and has oversight for the administration and use of the Direct Component funds.

### A. RESTORE Act Certification

Pursuant to the RESTORE Act, I certify that for any award Agreement resulting from this application

1. Each activity funded under this Agreement has been primarily designed to restore and protect (select all that are appropriate: the natural resources, ecosystems, fisheries, marine and wildlife habitats, beaches, coastal wetlands, or economy) of the Gulf Coast region.
2. Each activity funded under this Agreement is designed to carry out one or more of the eligible activities for the Direct Component.
3. Each activity funded under this Agreement was selected after consideration of all meaningful input from the public, including broad-based participation from individuals, businesses, Indian tribes, and nonprofit organizations, as described in the grant application.
4. Each activity funded under this Agreement that protects or restores natural resources is based on the best available science, as that term is defined in 31 C.F.R. Part 34.
5. This recipient has procedures in place for procuring property and services under this award that are consistent with the procurement standards applying to Federal grants. This recipient will not request funds under this award for any contract unless this certification remains true and accurate.
6. Pursuant to 2 C.F.R. § 200.303 this recipient will establish and maintain effective internal control over any award made based on this application that provides reasonable assurance that this recipient is managing the award in compliance with Federal statutes, regulations, and the terms and conditions of the award. No material deficiencies in this recipient's internal controls are known.
7. A conflict of interest policy consistent with 2 C.F.R. § 203.318(c) is in effect and covering each activity funded under this Agreement.
8. This recipient will comply with Title VI of the Civil Rights Act of 1964, the Rehabilitation Act of 1973, and all other applicable federal laws and regulations concerning anti-discrimination.

I make each of these certifications based on my personal knowledge and belief after reasonable and diligent inquiry, and I affirm that this Applicant maintains written documentation sufficient to support each certification made above, and that this Applicant's compliance with each of these certifications is a condition of this Applicant's initial and continuing receipt and use of the funds provided under this Agreement.

### B. Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions

**Instructions:** The inability of an applicant to provide the certification required below will not necessarily result in the denial of participation in

this covered transaction. The prospective Applicant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with Treasury's approval of the proposed Application. However, failure of the Applicant to furnish a certification or an explanation shall disqualify such person/entity from participation in this transaction. Please be advised of the following:

1. This certification is a material representation of fact upon which reliance is placed when Treasury determines to enter into this transaction. If it is later determined that the Applicant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal government, Treasury may terminate this transaction for cause or default.
2. The Applicant shall provide immediate written notice to Treasury if at any time the Applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
3. The terms "covered transactions," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause (certification), have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact Treasury for assistance in obtaining a copy of those regulations (31 C.F.R. Part 19).
4. The Applicant agrees by submitting this Application that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by Treasury.
5. The Applicant further agrees by submitting this Application that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," to be provided by Treasury, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions (see 31 C.F.R. Part 19, Appendix).
6. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
7. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
8. Except for transactions authorized under paragraph 4 of this certification, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended,

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1505-0250. The time required to complete this information collection is estimated to average 10 hours, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Comments concerning the accuracy of the time estimate and suggestions for reducing this burden should be directed to the Department of the Treasury, RESTORE Act Program, 1500 Pennsylvania Ave., NW, Washington, DC 20005.

debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, Treasury may terminate this transaction for cause or default.

By signing and submitting this Application, the prospective primary participants (the Applicant) is providing the certification set out below. The prospective primary participant (the Applicant) certifies to the best of its knowledge and belief, that it and its principals:

- 1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- 2. Have not within a three-year period preceding this Application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- 3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- 4. Have not within a three-year period preceding this Application had one or more public transactions (Federal, State or local) terminated for cause or default.

Where the Applicant is unable to certify to any of the statements in this certification, such Applicant shall attach an explanation to this proposal.

**C. Certification Regarding Drug-Free Workplace Requirements**

The Applicant certifies that it will provide a drug-free workplace by:

- 1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employee for violations of such prohibition;
- 2. Establishing a drug-free awareness program to inform employees about:
  - a. The dangers of drug abuse in the workplace;
  - b. The Applicant's policy of maintaining a drug-free workplace;
  - c. Any available drug counseling, rehabilitation, and employee assistance program;
  - d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace
- 3. Making it a requirement that each employee to be engaged in the performance of the award be given a copy of the statement required by paragraph (1) of this certification;
- 4. Notifying the employee in the statement required by paragraph (1) of this certification that, as a condition of employment in such grant, the employee will:
  - a. Abide by the terms of the statement; and
  - b. Notify the employer of any criminal drug use statute conviction for a violation occurring in the workplace no later than five calendar days after such conviction;

5. Notifying the granting agency in writing, within ten calendar days after receiving notice of a conviction under paragraph (4)(b) of this certification from an employee or otherwise receiving actual notice of such conviction;

6. Taking one of the following actions, within 30 days of receiving notice under paragraph (4)(b) of this certification, with respect to any employee who is so convicted:

- a. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
- b. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and

7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1 through 6 above.

**D. Certification Regarding Lobbying**

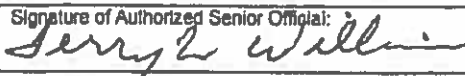
The Applicant certifies, to the best of his or her knowledge and belief, that:

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

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

3. The Applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by title 31 U.S. Code section 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

Signature of Authorized Senior Official: 	
Name: Terry L. Williams	Date: 10/24/2017
Title: Mayor	Organization: Town of Mount Vernon



# ALABAMA GULF COAST RECOVERY COUNCIL

## Subrecipient Questionnaire

This questionnaire is used to help determine a subrecipient organization's financial and management strength, which helps assess risk and dictates the monitoring plan for subrecipients. Please complete the following questionnaire and submit all related documents as necessary.

### SECTION A: GENERAL INFORMATION

Project Title:	Mount Vernon Water Treatment Plant
Point of Contact for matters concerning this project:	Name: Jeff Harrison, P.E. Address: 778 North Dean Road, Suite 200-A, Auburn, AL 36830 Phone: 334-782-0117                      Fax: Email: Jeff.Harrison@cdge.com        URL: DUNS #: 001608140                      EIN: 636005347 Reg. in SAM? Yes <input checked="" type="radio"/> No <input type="radio"/> Number of Employees: 26 Exp. Date of Current SAM Registration: <u>10/24/18</u>

### SECTION B. SUBRECIPIENT ELIGIBILITY

Is your organization or your organization's principals presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency?

Yes                       No

If yes, please skip the rest of the questionnaire, sign and return the questionnaire with the Project Evaluation Packet.

### SECTION C. SUBRECIPIENT ORGANIZATION INFORMATION (please fill out the information below, as appropriate)

1. Type of organization (check all that apply):

University                       Government Entity                       Foundation  
 Non-Profit Org                       For-Profit Org                       Other

2. Fiscal year dates (month and year):

October 2017

3. Name of designated federal cognizant agency, if applicable:

N/A

**4. Negotiated Indirect Cost Rate:**

Yes  No URL: \_\_\_\_\_

If yes, please provide a copy of your current rate agreement or provide the URL. If no, a de minimis rate of 10% of MTDC will be used in accordance with 2 CFR 200.414.

**5. Fringe Benefit rate:**

Yes  No URL: \_\_\_\_\_

If yes, please provide a copy of your current fringe benefit rate memorandum or provide the URL.

**6. Has organization received in the past the same or similar Federal subawards to the current subaward? (2 CFR 200.331)**

Yes  No

If yes, subrecipient hereby agrees to provide further documentation upon request.

**7. Does organization have on-going direct Federal awards? (2 CFR 200.331)**

Yes  No

If yes, is the awarding agency currently monitoring subrecipient activity?

Yes  No

If yes, please describe:

**8. Please certify policies and/or procedures exist that address the following:**

- |   |   |  |
|---|---|--|
| <input checked="" type="radio"/> Pay Rates and Benefits | <input checked="" type="radio"/> Conflict of Interest | <input checked="" type="radio"/> Purchasing            |
| <input checked="" type="radio"/> Time and Attendance    | <input checked="" type="radio"/> Travel               | <input checked="" type="radio"/> Equipment & Inventory |
| <input checked="" type="radio"/> Leave                  |   |  |

By signing this document, subrecipient certifies that policies and/or procedures shown above are in place. If not, then subrecipient agrees to abide by the State's policies and/or procedures.

**9. Is Government property inventory maintained that identifies purchase date, cost, vendor, description, serial number, location, and ultimate disposition data?**

Yes  No  N/A

10. Has any new system been recently put in place or has there been any change to the existing system (e.g., accounting, information, management, etc.)? (2 CFR 200.331)

Yes  No

If yes, please explain:

11. Does organization have any new personnel (e.g., key personnel, financial management, grants management, IT management, or other staff serving in grants administration role)? (2 CFR 200.331)

Yes  No

If yes, please explain:

12. Has organization in the preceding fiscal year expended any federal funds in either direct or indirect Federal awards?

Yes  No

If yes, please indicate the expenditure amount:

13. Have annual financial statements been audited by an independent audit firm? If yes, provide a copy of the statements for the most current fiscal year.

Yes  No

14. Does organization adhere to Subpart E Cost Principles of 2 CFR 200 under the proposed subaward?

Yes  No  N/A

15. Does organization have a financial management system that provides records that can identify the source and application of funds for award-supported activities?

Yes  No

**16. Does the financial system provide for the control and accountability of project funds, property, and other assets?**

Yes  No

**17. Are duties separated so that no one individual has complete authority over an entire financial transaction?**

Yes  No

If no, please explain below:

**18. Does your organization have controls to prevent expenditure of funds in excess of approved, budgeted amounts?**

Yes  No

If no, please explain below:

**19. Are all disbursements properly documented with evidence of receipt of goods or performance?**

Yes  No

If no, please explain below:

**20. Are all bank accounts reconciled monthly?**

Yes  No

If no, please explain below:

**21. Are payroll charges checked against program budgets?**

Yes  No

If no, please explain below:

**22. What system does your organization use to control paid time, especially time charged to sponsored agreements?**

A separate time log is kept for time charged to sponsored to agreements. The time log complies with program specific guidelines, as well as the 2 CFR Part 200.

**23. Does the organization have procedures which provide assurance that consistent treatment is applied in the distribution of charges to all sponsored agreements, grants and contracts?**

Yes  No

If no, please explain below:

**24. Does your organization have a formal policy of nondiscrimination and a formal system for complying with Federal civil rights requirements?**

Yes  No

If no, please explain below:

**25. Describe your organization's procedures to ensure that costs deemed unallowable, per Federal guidelines (2 CFR 200), are excluded from the amount charged to a grant?**

The Town Clerk, Finance Director, Project Engineer of Record, and Grant Administrator will ensure that costs charged to the grant strictly adhere to the approved grant budget. Invoices will be approved by the Mayor and Council at regular Council Meetings prior to being paid and prior to requests for payment by the granting agency. Key personnel are familiar with unallowable costs as defined in the 2 CFR Part 200 and the OMB Circular A-110, A-21 or A-133.

**26. Are there procedures to ensure procurement at competitive prices?**

Yes  No

If no, please explain below:

27. Are detailed records of individual capital assets kept and periodically balanced with the general ledger accounts?

Yes

No

If no, please explain below:

28. How does the organization ensure that all cost transfers are legitimate and appropriate?

Every effort is made to charge costs to the allowable and allocable cost center. If a cost transfer is necessary, it will be adequately documented.

Authorized Representative Approval

By signing below, the authorized representative certifies, to the best of subrecipient's knowledge, all information submitted on this form, or attached for submission to ADCNR, is accurate and complete.

Terry L. Williams  
Signature

Date: 10/24/2017

Terry L. Williams, Mayor

Printed Name & Title

For ADCNR Use Only:

Risk Level Determination: \_\_\_\_\_ Lower \_\_\_\_\_ Medium \_\_\_\_\_ Higher

Notes: \_\_\_\_\_  
\_\_\_\_\_

Approved: \_\_\_\_\_ Date: \_\_\_\_\_



**Application for Federal Assistance SF-424**

**\* 1. Type of Submission.**

- Preapplication
- Application
- Changed/Corrected Application

**\* 2. Type of Application.**

- New
- Continuation
- Revision

**\* If Revision, select appropriate letter(s):**

**\* Other (Specify):**

**\* 3. Date Received:**

10/31/2017

**4 Applicant Identifier:**

**5a. Federal Entity Identifier:**

**5b. Federal Award Identifier:**

**State Use Only:**

**6. Date Received by State**

**7. State Application Identifier:**

**B. APPLICANT INFORMATION:**

**\* a. Legal Name:**

Town of Mount Vernon

**\* b. Employer/Taxpayer Identification Number (EIN/TIN):**

636005347

**\* c. Organizational DUNS:**

0016081400000

**d. Address:**

**\* Street1:**

1565 Boyles Avenue

**Street2:**

**\* City:**

Mount Vernon

**County/Parish:**

**\* State**

AL: Alabama

**Province:**

**\* Country**

USA: UNITED STATES

**\* Zip / Postal Code**

36560-0860

**e. Organizational Unit:**

**Department Name**

**Division Name**

**f. Name and contact information of person to be contacted on matters involving this application:**

**Prefix:**

**\* First Name:**

Theresa

**Middle Name**

**\* Last Name**

Weaver

**Suffix:**

**Title**

**Organizational Affiliation**

**\* Telephone Number**

(251) 829-6633

**Fax Number**

**\* Email**

tcclerk\_99@yahoo.com

**Application for Federal Assistance SF-424**

**\* 9. Type of Applicant 1: Select Applicant Type:**

C: City or Township Government

**Type of Applicant 2: Select Applicant Type:**

**Type of Applicant 3: Select Applicant Type:**

**\* Other (specify):**

**\* 10. Name of Federal Agency:**

Office of Gulf Coast Restoration, Department of the Treasury

**11. Catalog of Federal Domestic Assistance Number:**

**CFDA Title:**

**\* 12. Funding Opportunity Number:**

GR-RDC-17-006

**\* Title:**

RESTORE Act Direct Component

**13. Competition Identification Number:**

**Title:**

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

Add Attachment

Delete Attachment

View Attachment

**\* 15. Descriptive Title of Applicant's Project:**

This project will upgrade the Town of Mount Vernon's existing Water Treatment Plant

Attach supporting documents as specified in agency instructions

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

\* a. Applicant

\* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

\* a. Start Date:

\* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="1,500,000.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="1,500,000.00"/>

\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)

Yes  No

If "Yes", provide explanation and attach

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:  \* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative: 

\* Date Signed:

**BUDGET INFORMATION - Construction Programs**

NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	\$ 100,000.00	\$	\$ 100,000.00
2. Land structures, rights-of-way, appraisals, etc.	\$	\$	\$
3. Relocation expenses and payments	\$	\$	\$
4. Architectural and engineering fees	\$ 120,000.00	\$	\$ 120,000.00
5. Other architectural and engineering fees	\$ 30,000.00	\$	\$ 30,000.00
6. Project inspection fees	\$ 50,000.00	\$	\$ 50,000.00
7. Site work	\$	\$	\$
8. Demolition and removal	\$	\$	\$
9. Construction	\$ 1,200,000.00	\$	\$ 1,200,000.00
10. Equipment	\$	\$	\$
11. Miscellaneous	\$	\$	\$
12. SUBTOTAL (sum of lines 1-11)	\$ 1,500,000.00	\$	\$ 1,500,000.00
13. Contingencies	\$	\$	\$
14. SUBTOTAL	\$ 1,500,000.00	\$	\$ 1,500,000.00
15. Project (program) income	\$	\$	\$
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ 1,500,000.00	\$	\$ 1,500,000.00
<b>FEDERAL FUNDING</b>			
17. Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share.) Enter the resulting Federal share.	Enter eligible costs from line 16c. Multiply X	100 %	\$ 1,500,000.00

## ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0009  
Expiration Date: 01/31/2019

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

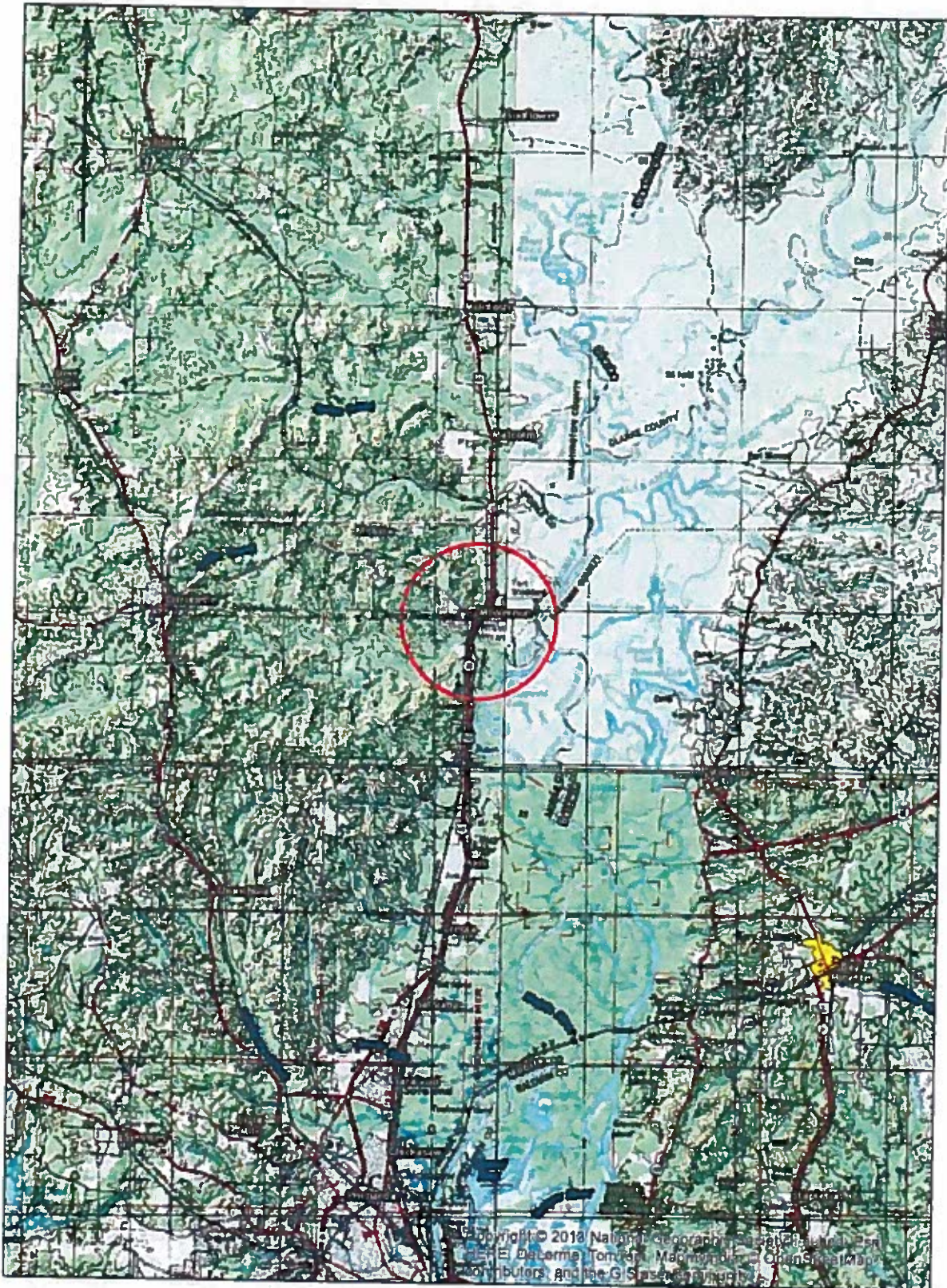
As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 90J, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (18 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523), and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (18 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
<i>Jerry L. Wells</i>	Mayor
APPLICANT ORGANIZATION	DATE SUBMITTED
Town of Mount Vernon	10/24/2017

# Town of Mt. Vernon Water Treatment Facility Improvements



## Legend

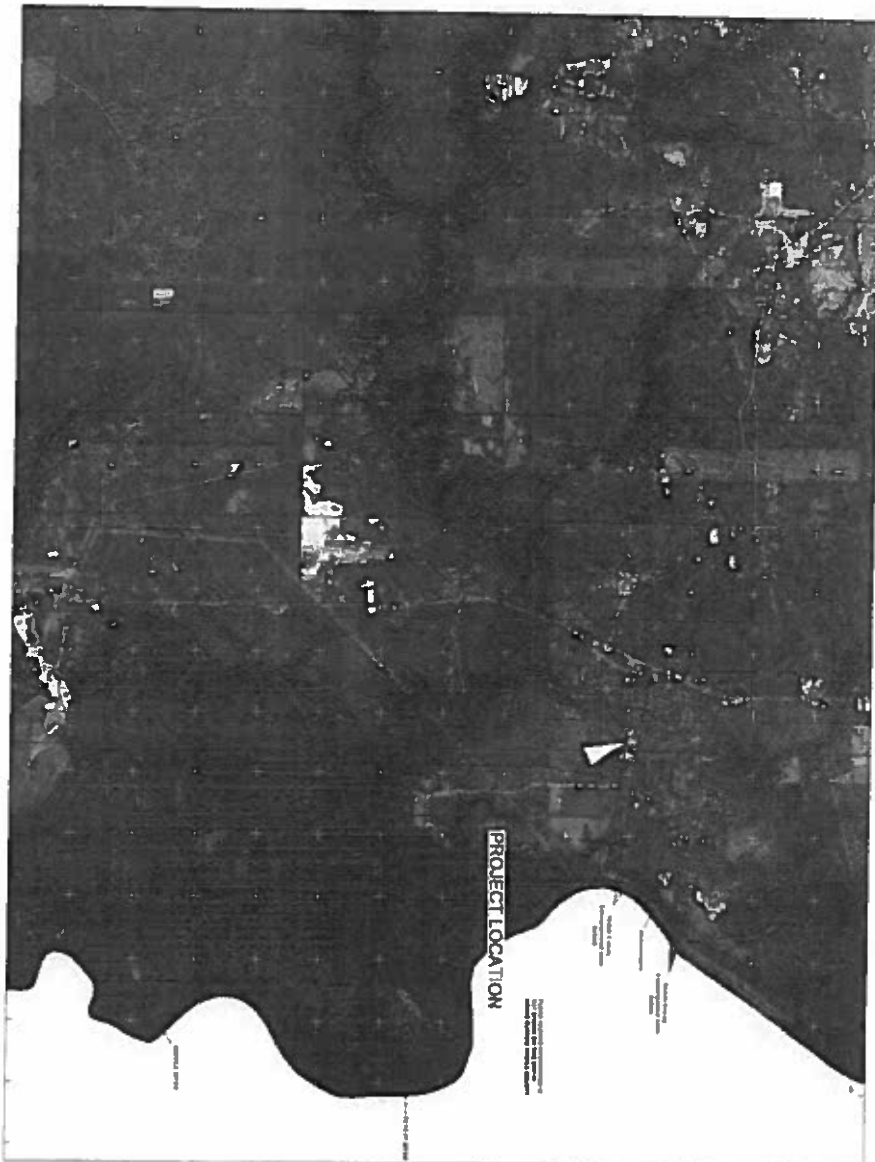
 Project Area



This drawing is the property of CDG and is not to be reproduced, copied, or distributed in any form without the written consent of CDG.

**LEGEND**

[Symbol]	100 Year Flood Zone
[Symbol]	50 Year Flood Zone
[Symbol]	10 Year Flood Zone
[Symbol]	Special Flood Hazard Area
[Symbol]	Water Body
[Symbol]	Proposed Project Location
[Symbol]	Proposed Project Boundary
[Symbol]	Proposed Project Structure
[Symbol]	Proposed Project Access
[Symbol]	Proposed Project Easement
[Symbol]	Proposed Project Right-of-Way
[Symbol]	Proposed Project Utility
[Symbol]	Proposed Project Other



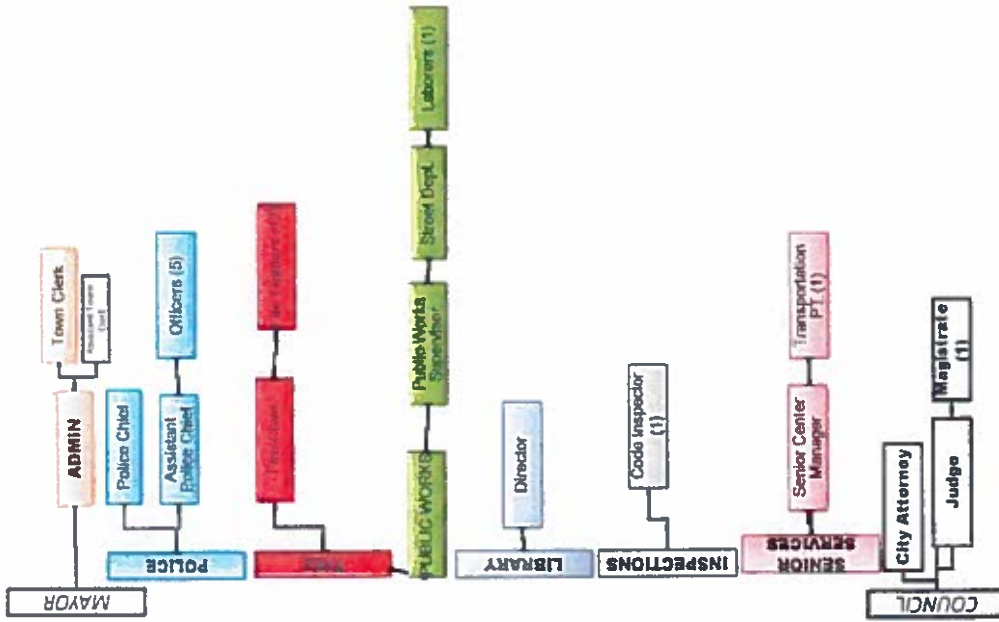
SCALE:	
DRAWN BY:	CDG
CHECKED BY:	CDG
DATE:	01/13/10
PROJECT NO.:	47172627
PROJECT NAME:	FEMA FLOOD MAP
DATE PLOTTED:	01/13/10
PLANNER:	CDG
PROJECT NO.:	47172627
PROJECT NAME:	FEMA FLOOD MAP
DATE PLOTTED:	01/13/10
PLANNER:	CDG

**FEMA FLOOD MAP**  
**WATER TREATMENT FACILITY IMPROVEMENTS**  
**THE TOWN OF MT. VERNON, AL**  
**MT. VERNON, MOBILE CO., ALABAMA**

**CDG**  
 CONSULTING DESIGN GROUP  
 778 NORTH DEAN ROAD  
 SUITE 200-A  
 ALBUURN, AL 36830  
 P.O. BOX 2188 (36831)  
 PH: (334) 486-8431  
 FX: (334) 486-8430  
 ANDALUSIA AL GADSDEN AL  
 ALBERTVILLE AL HOOVER AL  
 DOTHAN AL HURTSVILLE AL



TOWN OF MT. VERNON  
 ORGANIZATIONAL CHART 2017



## TOWN OF MOUNT VERNON

### ESTIMATED USEFUL LIFE FOR PROPOSED WATER TREATMENT FACILITY IMPROVEMENTS

- High Service Pumps
  - Description: These pumps (i.e. 2) will be utilized to pump the treated potable water from the finished water clearwell into the Mt. Vernon distribution system
  - Life Expectancy: 15 years
- Concrete Clearwell
  - Description: The Mt. Vernon clearwell will be a rectangular concrete structure built below ground. The clearwell will receive the treated water, allow for chemical contact time and serve as the reservoir for the high service pumps
  - Life Expectancy: 50 + years
- Aeration Tower
  - Description: The aeration tower is used to induce air into the water thereby allowing the precipitation of the small trace amounts of heavy metal in the water
  - Life Expectancy: 25 years
- Treatment Building – Block
  - Description: The building will house the electrical, chemical and chlorine feed equipment for the water treatment facility
  - Life Expectancy: 50+ years
- Chemical Feed Equipment
  - Description: The equipment consists of pumps, chemical bulk storage tanks and analytical equipment. This is used to condition the raw well water for potable use
  - Life Expectancy: 15 years
- Electrical Equipment
  - Description: The electrical equipment to operate the electric motors and analytical equipment to include a variable frequency drive for each of the high service pump
  - Life Expectancy: 15 years

**Mt. Vernon Water Treatment Improvements**  
**Preliminary Estimate**  
**January 10, 2017**

<b>Description</b>	<b>Estimated Amount</b>
New Clearwell and Treatment Building	\$700,000
New Aerator	\$65,000
New High Service Pumps	\$100,000
New Chemical Equipment (Chlorine, Lime and Orthophosphate)	\$35,000
Installation of Equipment	\$100,000
New MCC (Motor Control Center)	\$200,000
Site Preparation	\$50,000
Contingency	\$350,000
<b>Estimated Subtotal</b>	<b>\$1,600,000</b>
Engineering	\$400,000
<b>Estimated Total Budget Amount</b>	<b>\$2,000,000</b>

NOTE: The estimated amounts are based on an 800 gpm treatment facility with two existing wells and two existing elevated storage tanks. The estimate does not include any work to the wells, storage facilities, or distributing system. The estimated amounts associated with these identified items are order of magnitude budgets based on the engineer's experience with similar work and budgetary estimates provided by equipment suppliers. These order of magnitude budget estimates are further developed as the project progresses and factors such as soil conditions are known.



Alabama Gulf Coast Recovery Council  
Proposal Evaluation for Direct Component Summary Sheet

Project Name : **Mount Vernon Water Treatment Plant** Project ID: **319**

Requested Funding: **\$ 1,500,000** Additional Funding Sources Amount: **0**

Additional Funding Secured? Y  N  Unknown

Can Funding be secured from other sources? Y  N  Unknown

Geographic Area of Project: **Mount Vernon, Mobile County**

Restore Act Project Classification: **Infrastructure Projects benefitting the economy or ecological resources, including port infrastructure**

1. Key Activities Identified: **Upgrade existing water treatment plant. Improvements include: a concrete clearwell and baffles, induced draft aeration, a new treatment building, electrical and HVAC and a chemical feed system.**

2. Status of Project Readiness/Time to Completion:

**Project has not been initiated. Estimated time to completion is 24 months from date of award.**

3. Summary of potential risks to implement and maintain proposed activities:

**Proposal does not identify risks. Risks that may exist include constructions delays, which can be mitigated.**

4. Permit(s) Required: Y  N  Unknown

5. If yes, status of permit(s):  Have not submitted application  Application(s) submitted  
 Permit(s) obtained

6. Described benefit/need to the community/region:

**-Ensure long-term, sustainable public water services for Mount Vernon.  
-Will enable the Town to comply with ADEM and EPA minimum standards.**

7. Comments and summary from independent evaluation:

**-Project could potentially be phased, with one phase for planning, engineering and design, and a second for construction.  
-Project as written does not appear to be a viable candidate for for Spill Impact Component unless considered as an infrastructure project.  
-Per 31 CFR 34, infrastructure must be publicly owned.  
-Federal procurement standards will apply (2 CFR 200).  
-Pass-through award, increased monitoring effort by ADCNR.**

## Supplemental Evaluation Information

Project Name: Mount Vernon Water Treatment Plant

Project ID: 319

Does project:

8. Demonstrate benefits in relation to cost of project: Y  N  NA

Reviewer Comments

Project activities will make the mandated improvements to the water treatment plant in a timely and cost effective manner.

9. Quantify or qualify Short-term/long-term economic benefits: Y  N  NA

Reviewer Comments

Making these updates with grant funding will reduce the need to raise fees for customers.

10. Adequately demonstrate need: Y  N  NA

Reviewer Comments

Proposal indicates that the water treatment plant has not been upgraded since its construction in 1963 and that the Plant is not meeting minimum standards from ADEM and EPA.

11. Prevent adverse impacts elsewhere: Y  N  NA

Reviewer Comments

Proposal does not address how activities will prevent adverse impacts elsewhere.

Project is not expected to create adverse impacts. There may be short-term impacts associated with construction, which can be mitigated.

12. Expand/promote an existing industry or offers diversification: Y  N  NA

Reviewer Comments

This project proposes to upgrade an existing water treatment plant.

13. Demonstrate short- or long-term job creation: Y  N  NA

Reviewer Comments

Short-term construction jobs will be created. Proposal addressed long-term job creation by linking the Town's ability to expand water supply coverage to the ability for businesses to expand and relocate, stimulating the local economy.

14. Provide measurable outcomes: Y  N  NA

Reviewer Comments

The primary outcome of this project is an upgraded, updated water treatment facility. Measurable outcomes in terms of how the quality of treated water will be improved are not provided.

15. Address potential risks and uncertainties: Y  N  NA

Reviewer Comments

See above summary page

16. Address use of cutting-edge technology: Y  N  NA

Reviewer Comments

Proposal discusses the use of induced draft aeration and the chemical and chlorine feed systems as cutting edge technology.

17. Address environmental compliance needs and status: Y  N  NA

Reviewer Comments

All information appears to be correct. Permits have not been applied for.

18. Demonstrate post-implementation sustainability, including recurring costs: Y  N  NA

Reviewer Comments

The Town of Mount Vernon will maintain the project.

19. Demonstrate budget reasonableness: Y  N  NA

Reviewer Comments

For the basis of this review for reasonableness of the budget, recent costs for similar water treatment plant upgrades along the Alabama and Florida panhandle coast were used for comparative purposes. The construction pricing included in the estimate with the proposal is in line with bid pricing on similar projects and seems reasonable. The other costs for grant administration are in line with what is typically required. The other costs for design engineering services and construction inspection services are in line with what is used on other projects in the south Alabama area.

20. If Best Available Science is required, is narrative adequate? Y  N  NA

Reviewer Comments

BAS review is not required.

21. Can project be phased? Y  N  NA

Reviewer Comments

Project could potentially be phased, with one phase for planning, engineering and design, and a second for construction.

22. Is project included in an existing strategic/comprehensive plan? Y  N

Reviewer Comments

Not addressed in proposal.

23. Feasibility and Logistics (next steps, hurdles, barriers, other considerations)

24. Additional Options (phasing, etc.)

Project could potentially be phased, with one phase for planning, engineering and design, and a second for construction.

Project as written does not appear to be a viable candidate for consideration as an ecological project for the Spill Impact Component.

25. Additional Comments from Reviewer

