ROUTING SLIP
CONTRACTS AND AGREEMENTS

Originating Department: **Natural Resouces** Council Meeting Date: **7/14/2016**

Department Contact: **Daniel Shea** Phone # **256-427-5753**

Contract or Agreement: **EPA Air Program Grant**

Document Name: **EPA Section 105 Grant Application**

City Obligation Amount: **$200,000.00**

Total Project Budget: **$500,000.00**

Uncommitted Account Balance: **0.00**

Account Number: **1000-73-73200-440003-PN200002-00002**

Procurement Agreements

Select...	**Select...**

Grant-Funded Agreements

Federal EPA	**Grant Name:**
	Section 105 Air Pollution Control Program Grant

Department	Signature	Date
1) Originating	Daniel Shea	6/29/16
2) Legal	Mary C Cates	7/6/16
3) Finance	M Sargent	7-6-16
4) Originating		
5) Copy Distribution		
a. Mayor's office (1 copies)		
b. Clerk-Treasurer (Original & 2 copies)		

Revised 04/15/2011

CITY COUNCIL AGENDA ITEM COVER MEMO

Agenda Item Number: _____

Meeting Type: Regular

Meeting Date: Jul 14, 2016

Action Requested By: Natural Resources

Agenda Type: Resolution

Subject Matter:

EPA Section 105 Air Program Grant

Exact Wording for the Agenda:

Resolution Authorizing the Mayor to apply for and execute an FY 2017 and FY 2018 EPA Section 105 Air Pollution Control Program Grant in an amount up to $300,000 in Federal funding to support the City's Air Pollution Control Program.

Note: If amendment, Please state title and number of the original

Item to be considered for: Action

Unanimous Consent Required: No

Briefly state why the action is required; why it is recommended; what council action will provide, allow and accomplish and; any other information that might be helpful.

Authorizes application and acceptance of a Continuing Environmental Program Assistance Grant for the Air Pollution Control Program in Huntsville. Funding would be provided by EPA under Section 105 of the Clean Air Act.

Associated Cost: _____

Budgeted Item: _____

MAYOR RECOMMENDS OR CONCURS: Yes

Department Head: Daniel Shea

Date: Jun 29, 2016

RESOLUTION NO._____

BE IT RESOLVED by the City Council of the City of Huntsville, Alabama, that the Mayor is hereby authorized, requested, and directed, on behalf of the City of Huntsville, Alabama, to apply for a U. S. Environmental Protection Agency FY 2017 and 2018 Air Programs Grant in an amount up to $300,000.00 said grant application being attached hereto and identified as "Application for Federal Assistance between the City of Huntsville and U.S. Environmental Protection Agency," consisting of 19 pages and the first page, with the signature of the City Council President, or President Pro tem, and the date of July 14, 2016 at the bottom of the third page, and an executed copy of said document being permanently kept on file in the office of the City Clerk-Treasurer of the City of Huntsville.

BE IT FURTHER RESOLVED that the City Council of the City of Huntsville shall commit an amount sufficient to meet the 40% matching fund requirement for the Grant which may be awarded to the City pursuant to such application, and not less than $200,000.00, the amount of the City's maintenance of effort requirement, said funds to be identified in the City's fiscal year 2017 and 2018 budget for such use.

BE IT FURTHER RESOLVED that in the event that such grant is awarded, the Mayor of the City of Huntsville, Alabama, is hereby authorized, requested, and directed, on behalf of the City of Huntsville, Alabama, to enter into such grant agreement with the Environmental Protection Agency and to submit such supporting and collateral materials as required.

ADOPTED this the 14th day of July, 2016

_____

President of the City Council of the City of Huntsville, Alabama

APPROVED this the 14th day of July, 2016

_____

Mayor of the City of Huntsville, Alabama

OMB Number: 4040-0004
Expiration Date: 8/31/2016

Application for Federal Assistance SF-424

* 1. Type of Submission:
- [ ] Preapplication
- [x] Application
- [ ] Changed/Corrected Application

* 2. Type of Application:
- [ ] New
- [ ] Continuation
- [x] Revision

* If Revision, select appropriate letter(s): AC: Increase Award, Increase Duration

* Other (Specify):

* 3. Date Received: 07/19/2016

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier: A00400415

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name: City of Huntsville

* b. Employer/Taxpayer Identification Number (EIN/TIN): 63-6001296

* c. Organizational DUNS: 0000072093727

d. Address:

* Street1: P. O. Box 308
Street2:
* City: Huntsville
County/Parish:
* State: AL: Alabama
Province:
* Country: USA: UNITED STATES
* Zip / Postal Code: 35804-0308

e. Organizational Unit:

Department Name: Natural Resources & Env. Mgt.

Division Name:

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

Prefix:
* First Name: Daniel
Middle Name:
* Last Name: Shea
Suffix:

Title: Director of Natural Resources & Env. Mgt.

Organizational Affiliation:

* Telephone Number: 256 427-5750

Fax Number: 256 427-5751

* Email: danny.shea@huntsvilleal.gov

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:**

USEPA, Region 4

11. Catalog of Federal Domestic Assistance Number:

66-001

CFDA Title:

Air Pollution Control Program Support

*** 12. Funding Opportunity Number:**

EPA-CEP-01

* Title:

Air Pollution Control Program Grant

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:**

Local Air Pollution Control Program

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: 5th
* b. Program/Project: 5th

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

Add Attachment | Delete Attachment | View Attachment

17. Proposed Project:

* a. Start Date: 10/01/2016
* b. End Date: 09/30/2018

18. Estimated Funding ($):

* a. Federal	300,000.00
* b. Applicant	200,000.00
* c. State	0.00
* d. Local	0.00
* e. Other	0.00
* f. Program Income	0.00
* g. TOTAL	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 07/16/2014.

☐ 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

Add Attachment | Delete Attachment | View Attachment

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: Tommy

Middle Name:

* Last Name: Battle

Suffix:

* Title: Mayor

* Telephone Number: 256 427-5000

Fax Number:

* Email: tommy.battle @huntsvilleal.gov

* Signature of Authorized Representative: Mayor

Council President

* Date Signed: 07/14/2016

BUDGET INFORMATION - Non-Construction Programs

OMB Number: 4040-0006
Expiration Date: 06/30/2014

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Air Pollution Control Program FY 2017	66-001	$	$	$ 150,000.00	$ 100,000.00	$ 250,000.00
2. Air Pollution Control Program FY 2018	66-001			150,000.00	100,000.00	250,000.00
3.						
4.						
5. Totals		$	$	$ 300,000.00	$ 200,000.00	$ 500,000.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY (1) Air Pollution Control Program FY 2017	(2) Air Pollution Control Program FY 2018	(3)	(4)	Total (5)
a. Personnel	$ 187,970.00	$ 187,970.00	$	$	$ 375,940.00
b. Fringe Benefits	62,030.00	62,030.00			124,060.00
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)	250,000.00	250,000.00			$ 500,000.00
j. Indirect Charges					$
k. TOTALS (sum of 6i and 6j)	$ 250,000.00	$ 250,000.00	$	$	$ 500,000.00
7. Program Income	$	$	$	$	$

Authorized for Local Reproduction

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS
8. Air Pollution Control Program FY 2017	$ 100,000.00	$	$	$ 100,000.00
9. Air Pollution Control Program FY 2018	100,000.00			100,000.00
10.				
11.				
12. TOTAL (sum of lines 8-11)	$ 200,000.00	$	$	$ 200,000.00

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$	$	$	$	$
14. Non-Federal	$				
15. TOTAL (sum of lines 13 and 14)	$	$	$	$	$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b)First	(c) Second	(d) Third	(e) Fourth
16. Air Pollution Control Program	$	$	$	$
17. Air Pollution Control Program				
18.				
19.				
20. TOTAL (sum of lines 16 - 19)	$	$	$	$

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges: 500,000

22. Indirect Charges: 0

23. Remarks:

OMB Number: 4040-0007
Expiration Date: 06/30/2014

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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 (0348-0040), 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 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 cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. 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.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for 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. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. 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.

7. 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 or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with 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.

9. 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.

10. Will comply, if applicable, 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.

11. 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 (16 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).

12. 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.

13. 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 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. 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.

17. 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."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

19. 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
Tommy Battle	Mayor
APPLICANT ORGANIZATION	**DATE SUBMITTED**
City of Huntsville, Alabama	07/14/2016

OBJECT CLASS CATEGORIES WORKSHEET

[NOTE: Please indicate any pre-award costs with a star (*).]

a. PERSONNEL 10/01/16 – 09/30/17

POSITION TITLE	NUMBER	ANNUAL SALARY	WORK YEARS	AMOUNT
Director	1	116,979	0.15	17,547
Deputy Director	1	84,115	0.49732	41,832
Senior Environmental Specialist	1	59,841	0.55	32,912
Environmental Specialist III	1	71,323	0.60	35,137
Environmental Specialist II	1	54,371	0.60	32,622
Environmental Technician	1	56,700	0.28	15,876
Secretary	1	29,244	0.15	4,387
a. PERSONNEL TOTAL	7	472,573	2.82732	187,970

b. FRINGE BENEFITS

BASE	187,970
RATE	0.33
b. FRINGE BENEFITS TOTAL	62,030

c. TRAVEL

Explain:

c. TRAVEL TOTAL:

OBJECT CLASS CATEGORIES WORKSHEET

[NOTE: Please indicate any pre-award costs with a star (*).]

a. PERSONNEL 10/01/17 – 09/30/18

POSITION TITLE	NUMBER	ANNUAL SALARY	WORK YEARS	AMOUNT
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b. FRINGE BENEFITS

BASE	187,970
RATE	0.33
b. FRINGE BENEFITS TOTAL	62,030

c. TRAVEL

Explain:

c. TRAVEL TOTAL:

OBJECT CLASS CATEGORIES WORKSHEET

a. **EQUIPMENT:**
Tangible, non- expendable, personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. Applicant's definition of equipment may be used provided the definition at least includes all items previously defined above.

ITEM	NUMBER	COST PER UNIT	TOTAL
d. EQUIPMENT TOTAL:			

e. SUPPLIES

List supplies by groups, as appropriate:	
e. SUPPLIES	

OBJECT CLASS CATEGORIES

f. CONTRACTUAL

List each planned contract or type of service to be procured. Agreements/contracts with other governmental agencies (state, local or should be listed under category h. OTHER.	
f. CONTRACTUAL TOTAL	

g. CONSTRUCTION (N/A)

h. OTHER

Other: Explain by major categories.	

i. TOTAL DIRECT COSTS: (Sum of categories A through H)	**$ 500,000**
j. INDIRECT COSTS: (RATE: %)	
k. TOTAL PROPOSED COSTS:	**$ 500,000**
FEDERAL FUNDS REQUESTED: **60 %** **RECIPIENT SHARE OF TOTAL PROPOSED COSTS:** **40 %**	

Form Approved OMB No: 2030-0020 Approval Expires 06/30/2017

U.S. ENVIRONMENTAL PROTECTION AGENCY
Washington, DC 20460

KEY CONTACTS FORM

Authorized Representative: *Original awards and amendments will be sent to this individual for review and acceptance, unless otherwise indicated.*

Name: Tommy Battle
Title: Mayor
Complete Address: P. O. Box 308
Huntsville, Alabama 35804-0308
Phone Number: 256 427-5000

Payee: *Individual authorized to accept payments.*

Name: Margaret Sargent
Title: Finance Director
Mail Address: P. O. Box 308
Huntsville, Alabama 35804-0308
Phone Number: 256 427-5063

Administrative Contact: *Individual from Sponsored Program Office to contact concerning administrative matters (i.e., indirect cost rate computation, rebudgeting requests etc.)*

Name: Daniel Shea
Title: Director of Natural Resources & Environmental Management
Mailing Address: P. O. Box 308
Huntsville, Alabama 35804-0308
Phone Number: 256 427-5750
FAX Number: 256 427-5751
E-Mail Address: danny.shea@huntsvilleal.gov

Principal Investigator: *Individual responsible for the technical completion of the proposed work.*

Name: Daniel Shea
Title: Director of Natural Resources & Environmental Management
Mailing Address: P. O. Box 308
Huntsville, Alabama 35804-0308
Phone Number: 256 427-5750
FAX Number: 256 427-5751
E-Mail Address: danny.shea@huntsvilleal.gov
Web URL: http://www.huntsvilleal.gov/NatRes/

The public reporting and recordkeeping burden for this collection of information is estimated to average 30 minutes per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

QUALITY ASSURANCE PLAN

This program/project does not involve environmentally related measurements or data generation; therefore, a Quality Assurance Plan is not required pursuant to the above referenced assistance regulations.

X This program/project involves environmentally related measurements or data generation; therefore a Quality Assurance Plan which meets the requirements of:

40 CFR 30.54 for Universities and Non-Profit Organizations is attached or will be developed before field work begins; or,

X 40 CFR 31.45 for State and Local Governments is attached or will be developed before field work begins.

*Approved Q. A. plan in place. Updates will be submitted as required.

_____

Authorized Representative

July 14, 2016
Date

United States
ENVIRONMENTAL PROTECTION AGENCY
Washington, DC 20460

OMB Control No. 2030-0020
Approval expires 06/30/2017

EPA Project Control Number

CERTIFICATION REGARDING LOBBYING

CERTIFICATION FOR CONTRACTS, GRANTS, **LOANS AND COOPERATIVE AGREEMENTS**

The undersigned 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 undersigned, 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 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 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 undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, 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 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.

Tommy Battle - Mayor

Typed Name & Title of Authorized Representative

Signature and Date of Authorized Representative

The public reporting and recordkeeping burden for this collection of information is estimated to average 15 minutes per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

U.S. Environmental Protection Agency

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

The prospective participant 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;

(b) Have not within a three year period preceding this proposal 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;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/ proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

I understand that a false statement on this certification may be grounds for rejection of this proposal or termination of the award. In addition, under 18 USC Sec. 1001, a false statement may result in a fine of up to $10,000 or imprisonment for up to 5 years, or both.

Tommy Battle – Mayor _____.
TYPED NAME & TITLE OF AUTHORIZED REPRESENTATIVE

_____
SIGNATURE OF AUTHORIZED REPRESENTATIVE

July 14, 2016
DATE

_____ I am unable to certify to the above statements. My explanation is attached.

U.S. ENVIRONMENTAL PROTECTION AGENCY
Washington, DC 20460

Preaward Compliance Review Report for All Applicants and Recipients Requesting EPA Financial Assistance

Note: Read instructions on other side before completing form.

I. Applicant/Recipient (Name, Address, State, Zip Code).
City of Huntsville- Department of Natural Resources, P.O. Box 308, Huntsville, AL

DUNS No. 072093727

II. Is the applicant currently receiving EPA assistance?
Yes

III. List all civil rights lawsuits and administrative complaints pending against the applicant/recipient that allege discrimination based on race, color, national origin, sex, age, or disability. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)
See Attachment Prepared by City Attorney's Office

IV. List all civil rights lawsuits and administrative complaints decided against the applicant/recipient within the last year that allege discrimination based on race, color, national origin, sex, age, or disability and enclose a copy of all decisions. Please describe all corrective action taken. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)
See Attachment Prepared by City Attorney's Office

V. List all civil rights compliance reviews of the applicant/recipient conducted by any agency within the last two years and enclose a copy of the review and any decisions, orders, or agreements based on the review. Please describe any corrective action taken. (40 C.F.R. § 7.80(c)(3))
See Attachment Prepared by City Attorney's Office

VI. Is the applicant requesting EPA assistance for new construction? If no, proceed to VII; if yes, answer (a) and/or (b) below.
Yes ✓ No
a. If the grant is for new construction, will all new facilities or alterations to existing facilities be designed and constructed to be readily accessible to and usable by persons with disabilities? If yes, proceed to VII; if no, proceed to VI(b). Yes No
b. If the grant is for new construction and the new facilities or alterations to existing facilities will not be readily accessible to and usable by persons with disabilities, explain how a regulatory exception (40 C.F.R. § 7.70) applies. Yes No

VII. Does the applicant/recipient provide initial and continuing notice that it does not discriminate on the basis of race, color, national origin, sex, age, or disability in its programs or activities? (40 C.F.R. § 5.140 and § 7.95) ✓ Yes No
a. Do the methods of notice accommodate those with impaired vision or hearing? ✓ Yes No
b. Is the notice posted in a prominent place in the applicant's offices or facilities or, for education programs and activities, in appropriate periodicals and other written communications? ✓ Yes No
c. Does the notice identify a designated civil rights coordinator? ✓ Yes No

VIII. Does the applicant/recipient maintain demographic data on the race, color, national origin, sex, age, or handicap of the population it serves? (40 C.F.R. § 7.85(a))
Yes

IX. Does the applicant/recipient have a policy/procedure for providing access to services for persons with limited English proficiency? (40 C.F.R. Part 7, E.O. 13166)
No

X. If the applicant/recipient is an education program or activity, or has 15 or more employees, has it designated an employee to coordinate its compliance with 40 C.F.R. Parts 5 and 7? Provide the name, title, position, mailing address, e-mail address, fax number, and telephone number of the designated coordinator.
Reference Attachment

XI. If the applicant/recipient is an education program or activity, or has 15 or more employees, has it adopted grievance procedures that assure the prompt and fair resolution of complaints that allege a violation of 40 C.F.R. Parts 5 and 7? Provide a legal citation or Internet address for, or a copy of, the procedures.
www.huntsvilleal.gov/ada/

For the Applicant/Recipient

I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law. I assure that I will fully comply with all applicable civil rights statutes and EPA regulations.

A. Signature of Authorized Official	B. Title of Authorized Official	C. Date
	Mayor, City of Huntsville	07/14/2016

For the U.S. Environmental Protection Agency

I have reviewed the information provided by the applicant/recipient and hereby certify that the applicant/recipient has submitted all preaward compliance information required by 40 C.F.R. Parts 5 and 7; that based on the information submitted, this application satisfies the preaward provisions of 40 C.F.R. Parts 5 and 7; and that the applicant has given assurance that it will fully comply with all applicable civil rights statutes and EPA regulations.

A. Signature of Authorized EPA Official	B. Title of Authorized EPA Official	C. Date
See * note on reverse side		

Pre-award Compliance Review Report – EPA Form 4700

Supporting Documentation

VII. Does the applicant/ recipient provide initial and continuing notice that it does not discriminate on the basis of race, color, national origin, sex, age, or disability in its programs or activities? (40CFR Sections 5.140 and 7.95) YES

Reference COH (City of Huntsville) – ADA Policies and Procedures @ www.huntsvilleal.gov/ada.php

The COH is an 'Equal Opportunity Employer'. This declaration is posted on job announcements, and on the COH - Human Resources website @ www.huntsvilleal.gov/HR/employment.php

The COH employs an EEOC officer. The EEO Officer ensures the posting of relevant EEOC signage in the workplace.

COH Mayor's Equal Employment Opportunity Statement – posted in the workplace offices; and e-mailed to all COH employees.

a. Do the methods of notice accommodate those with impaired vision or hearing?

YES. Reference COH (City of Huntsville) – ADA Policies and Procedures @ www.huntsvilleal.gov/ada.php specifically see "Effective Communication" in the "Notice under the Americans with Disabilities Act (ADA)."

b. Is the notice posted in a prominent place in the applicant's offices or facilities or, for educational programs and activities, in appropriate periodicals and other written communications?

YES. The ADA policies are posted on the COH website @ www.huntsvilleal.gov/ada.php

EEO related materials are posted in workplace offices.

c. Does the notice identify a designated civil rights coordinator?

YES . The Mayor's Equal Employment Opportunity Statement identifies the City's EEOC officer as Saundra L. Simmons and provides contact information. This information can also be located on the City's web site under @ www.huntsvilleal.gov/mayor/contacts.php

ADA contacts are listed @ www.huntsvilleal.gov/ada.php under "Grievance Procedure."

In addition, the Mayor's Office of Multicultural Affairs' mission is ...'to foster an environment that reflects the equal treatment and participation of all segments of Huntsville's diverse, culturally rich communities; in the area of civic, economic, educational and social development.

VIII. Does the applicant/ recipient maintain demographic data on the race, color national origin, sex, age, or handicap of the population it serves?

YES. The COH utilizes the ACS (American Community Survey) demographic data that is posted on the census.gov website. According to information provided, the ACS estimates are based on data collected over a three year time period. The ACS produces population demographics and housing unit estimates. The Census Bureau produces and disseminates the official estimates of the population and housing units. A link to the data is posted on the City's Website @ www.huntsvilleal.gov/about/demographics.php

The 2010-2012 Report includes information on 'Disability Status.' Additional information has been compiled by the EEOC Officer.

X. If the applicant is an education program or activity, or has 15 or more employees, has it designated an employee to coordinate its compliance with 40 CFR Parts 5 and 7? Provide the name, title, position, mailing address, e-mail address, fax number, and telephone number of the designated coordinator.

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256.427-5240
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Title II of ADA
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EEOC Officer
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Office of Multicultural Affairs
Kenneth Anderson, Director
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256.883-3993
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