

**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:

11/14/2022

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

**State Use Only:**

6. Date Received by State:

7. State Application Identifier:

**8. APPLICANT INFORMATION:**

\* a. Legal Name:

City of San Augustine

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

75-6000660

\* c. Organizational DUNS:

0214921370000

**d. Address:**

\* Street1:

301 S. Harrison Street

Street2:

\* City:

San Augustine

County/Parish:

San Augustine County

\* State:

TX: Texas

Province:

\* Country:

USA: UNITED STATES

\* Zip / Postal Code:

759720000

**e. Organizational Unit:**

Department Name:

Division Name:

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

Prefix:

Mr.

\* First Name:

Raymond

Middle Name:

K.

\* Last Name:

Vann

Suffix:

Jr.

Title:

Grant Administrator

Organizational Affiliation:

Raymond K. Vann & Associates, LLC

\* Telephone Number:

936-634-2550 ext. 101

Fax Number:

936-634-2552

\* Email:

rvann@rkvvtexas.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:**

U.S. Department of Housing and Urban Development

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

14.228

CFDA Title:

Community Development Block Grant - Mitigation

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

FR-6109-N-02

\* Title:

CDBG-MIT

**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:**

San Augustine Sewer System Improvements

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="1,694,000.00"/>
* 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="1,694,000.00"/>

**\* 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.

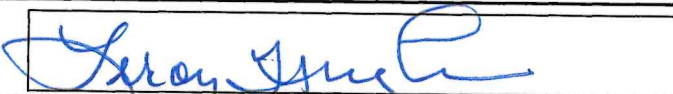
**Authorized Representative:**

Prefix:  \* First Name:   
Middle Name:   
\* Last Name:   
Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative: 

\* Date Signed:



**Texas General Land Office  
Community Development and Revitalization Division  
Mitigation – Local Certifications**

Each Applicant for Community Development Block Grant Mitigation ("CDBG-MIT") funding must complete Federal Assistance Standard Form 424 (SF-424) and certify that local certifications included in this application guide were followed in the preparation of any CDBG-MIT program application. Additionally, Applicant must certify that it will continue to follow local certifications in the event that funding is awarded and Applicant is reclassified as a Subrecipient.

Each Applicant/Subrecipient must comply with the provisions of the National Environmental Policy Act ("NEPA"), the Council on Environmental Quality ("CEQ") regulations, the requirements set forth in Title 24 of the Code of Federal Regulations ("CFR") part 58, and applicable Texas General Land Office policy directives.

Each Applicant/Subrecipient must comply with all applicable federal and state laws, including environmental, labor (Davis-Bacon Act), the procurement procedures and contract requirements found at 2 C.F.R. §200.318 – §200.326, and all civil rights requirements.

Each Applicant/Subrecipient certifies, as outlined in 84 FR 45838 (August 30,2019), the following:

A. The Applicant/Subrecipient certifies that it has in effect and is following a residential anti-displacement and relocation assistance plan in connection with any activity assisted with CDBG-MIT funds.

B. The Applicant/Subrecipient certifies its compliance with restrictions on lobbying as required by 24 C.F.R. part 87, together with disclosure forms, if required by part 87.

C. Any entity or entities designated by the subrecipient, and any contractor, subrecipient, or designated public agency carrying out an activity with CDBG-MIT funds, possess(es) the legal authority to carry out the program for which it is seeking funding, in accordance with applicable HUD regulations and the federal register notice. The subrecipient certifies that activities to be undertaken with CDBG-MIT funds are consistent with the Action Plan.

D. The Applicant/Subrecipient certifies that it will comply with the acquisition and relocation requirements of the Uniform Relocation Act ("URA"), as amended, and implementing regulations at 49 CFR part 24, except where waivers or alternative requirements are provided for CDBG-MIT funds.

E. The Applicant/Subrecipient certifies that it will comply with Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. §1701u) and implementing regulations at 24 C.F.R. part 135.

F. The Applicant/Subrecipient certifies that it is following a detailed citizen participation plan that satisfies the requirements of 24 CFR §91.115 or §91.105 (except as provided for in notices providing waivers and alternative requirements for this grant). Also, each local government receiving assistance from a state grantee must follow a detailed citizen participation plan that satisfies the requirements of 24 CFR §570.486 (except as provided for in notices providing waivers and alternative requirements for this grant).

G. The Applicant/Subrecipient certifies that it is complying with each of the following criteria:

1) Funds will be used solely for necessary expenses related to mitigation activities, as applicable, in the most impacted and distressed areas for which the President declared a major disaster in 2015, 2016, or 2017 pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1974 (42 U.S.C. §5121 et seq.).

2) With respect to activities expected to be assisted with CDBG-MIT funds, the relevant action plan has been developed to give priority to activities that will benefit low- and moderate-income families.

3) The aggregate use of CDBG-MIT funds shall principally benefit low- and moderate-income families in a manner that ensures that at least 50 percent (or another percentage permitted by HUD in a waiver published in an applicable Federal Register notice) of the CDBG-MIT grant amount is expended for activities that benefit such persons.

4) The Applicant/Subrecipient will not attempt to recover any capital costs of public improvements assisted with CDBG-MIT funds by assessing any amount against properties owned and occupied by persons of low- and moderate-income, including any fee charged or assessment made as a condition of obtaining access to such public improvements, unless:

i. CDBG-MIT funds are used to pay the proportion of such fee or assessment that relates to the capital costs of such public improvements that are financed from revenue sources other than under this title; or

ii. For purposes of assessing any amount against properties owned and occupied by persons of moderate income, the grantee certifies to the Secretary that it lacks sufficient CDBG funds (in any form) to comply with the requirements of clause (a).

H. The Applicant/Subrecipient certifies that the grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 U.S.C. §2000d), the Fair Housing Act (42 U.S.C. §3601-§3619), and implementing regulations, and that it will affirmatively further fair housing.

I. The Applicant/Subrecipient certifies that it has adopted and is enforcing the following policies, and, in addition, must certify that they will require local governments that receive grant funds to certify that they have adopted and are enforcing:

1) A policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations;

2) A policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location that is the subject of such nonviolent civil rights demonstrations within its jurisdiction.

J. The Applicant/Subrecipient certifies that it (and any administering entity) currently has or will develop and maintain the capacity to carry out mitigation activities, as applicable, in a timely manner and that the subrecipient has reviewed the respective requirements of this notice.

K. The Applicant/Subrecipient certifies that it will not use CDBG-MIT funds for any activity in an area identified as flood prone for land use or hazard mitigation planning purposes by the state, local, or tribal government or delineated as a Special Flood Hazard Area (or 100-year floodplain) in FEMA's most current flood advisory maps, unless it also ensures that the action is designed or modified to minimize harm to or within the floodplain, in accordance with Executive Order 11988 and 24 C.F.R. part 55. The relevant data source for this provision is the state, local, and tribal government land use regulations and hazard mitigation plans and the latest-issued FEMA data or guidance, which includes advisory data (such as Advisory Base Flood Elevations) or preliminary and final Flood Insurance Rate Maps.

L. The Applicant/Subrecipient certifies that its activities concerning lead-based paint will comply with the requirements of 24 CFR part 35, subparts A, B, I, K, and R.

M. The Applicant/Subrecipient certifies that it will comply with environmental requirements at 24 CFR part 58.

N. The Applicant/Subrecipient certifies that it will comply with applicable laws.

**WARNING: ANY PERSON WHO KNOWINGLY MAKES A FALSE CLAIM OR STATEMENT TO HUD MAY BE SUBJECT TO CIVIL OR CRIMINAL PENALTIES UNDER 18 U.S.C. §287; 18 U.S.C. §1001, AND 31 U.S.C. § 3729.**

Except as otherwise provided under federal law, any person who knowingly and willfully falsifies, conceals, or covers up a material fact by any trick, scheme or device or who makes any materially false, fictitious, or fraudulent statement or representation or who makes or uses any false writing or document knowing the writing or document to contain materially false, fictitious, or fraudulent statement or entry shall be prosecuted under Title 18, United States Code, §1001.

Leroy Hughes, Mayor

*Printed Name of Authorized Signatory*

October 26, 2020

*Date*

  
Signature of Authorized Signatory

RESOLUTION NO. 2022 - 006

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF SAN AUGUSTINE, TEXAS, AUTHORIZING THE SUBMISSION OF A COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM MITIGATION (CDBG-MIT) APPLICATION TO THE TEXAS GENERAL LAND OFFICE (GLO) FOR THE HURRICANE HARVEY STATE MOST IMPACTED AND DISTRESSED (MID) REGIONAL MITIGATION ALLOCATION; AND AUTHORIZING THE MAYOR AND MAYOR PRO TEM TO ACT AS THE CITY'S EXECUTIVE OFFICERS AND AUTHORIZED REPRESENTATIVES IN ALL MATTERS PERTAINING TO THE CITY'S PARTICIPATION IN THE COMMUNITY DEVELOPMENT BLOCK GRANT MITIGATION PROGRAM.

WHEREAS, the City Council of the City of San Augustine desires to develop a viable community, including decent housing and a suitable living environment and expanding economic opportunities, principally for persons of low-to-moderate income; and

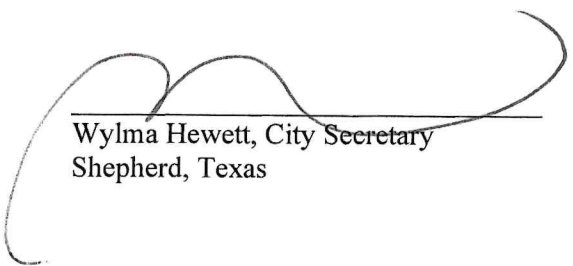
WHEREAS, certain conditions exist which represent a threat to the public health and safety; and

WHEREAS, it is necessary and in the best interests of the City of San Augustine to apply for funding under the Community Development Block Grant Mitigation Regional Allocation program;

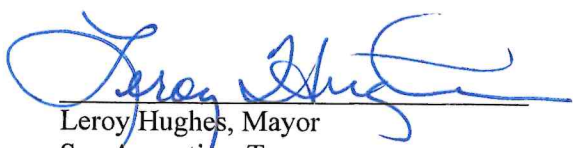
NOW, THEREFORE, BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF SAN AUGUSTINE, TEXAS:

1. That a Community Development Block Grant Mitigation Regional Allocation program application is hereby authorized to be filed on behalf of the City with the Texas General Land Office.
2. That the application be for \$1,694,000.00 of grant funds to provide hurricane, tropical storm, tropical depression and/or riverine flooding mitigation related to the sewer system improvements.
3. That the City Council directs and designates the Mayor and Mayor Pro Tem as the City's Chief Executive Officers and Authorized Representatives to act in all matters in connection with this application and the City's participation in the Community Development Block Grant Mitigation Regional Allocation program.
4. That all funds will be used in accordance with all applicable federal, state, local and programmatic requirements including but not limited to procurement, environmental review, labor standards, real property acquisition, and civil rights requirements.

Passed and approved this 18th day of October, 2022.



Wylma Hewett, City Secretary  
Shepherd, Texas



Leroy Hughes, Mayor  
San Augustine, Texas



City of San Augustine

Citywide Riverine Flooding, Storms and/or Tornadoes Mitigation Project  
Addressing Sewer Systems



CDBG-MIT – Regional Allocation  
Project Proposal with Grant Management Plan



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## **Objectives and Goals**

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The goal of this citywide sewer systems mitigation project is to increase resilience to disasters and reduce or eliminate the long-term risk of loss of life, injury, damage to and loss of property, and suffering and hardship, by lessening the impact of future disasters, especially during flood events that occur with hurricanes, tropical storms and tropical depressions.

This goal will be achieved by meeting the following project objectives:

- Improve groundwater quality
- Improve treatment of raw sewage

## **Project Scope, Budget and Beneficiaries**

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This will be achieved with construction improvements including one (1) Sludge Holding Tank, one (1) Sludge Pump Station, one (1) Floating Aerator, two (2) Oxidation Ditch Aerators, Process Piping & Valves, Electrical & Controls, Handrails, Grating, & Stairs, and all associated appurtenances.

These activities will take place at the City’s existing Wastewater Treatment Plant located off Hwy. 147 just south of railroad tracks. Coordinates are 31.520398, -94.118835.

The budget includes \$1,370,000 for construction, \$205,500 for engineering, and \$118,500 for administration. This project will be funded with \$1,694,000 in grant funds from the Texas General Land Office under the CDBG-MIT Regional Allocation.

Benefitting from this project are all residents in the City of San Augustine. Population numbers issued by the U.S. Department of Housing and Urban Development (HUD) State of Texas - LMISD and Use of Standardized Area Median Income (AMI) Waiver indicate a population of 1,889 with 1,218, or 64.48%, being of low and moderate income.

## **Mitigation/Resiliency Measures**

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The City of San Augustine has had ongoing sewer treatment issues throughout the City. In 2018, the City began a planning project which included work at the wastewater treatment plant. The City paid engineering firm KSA Engineers, Inc., from City funds for a plan to address the need throughout the City. Unfortunately, the needs addressed in the plan far surpass the financial ability of the City.

## **Project Development (including Citizen Participation, AFFH Considerations, etc.)**

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This project was developed with a focus on long-term planning and an integrated approach to housing, fair housing obligations, infrastructure, economic revitalization, and overall community resiliency.

- Housing
  - Short-term considerations include the negative inconveniences associated with construction activities as well as the positive impacts of addressing immediate concerns.
  - Long-term considerations include prevention measures that will increase the lifespan of the wastewater treatment plant, increase the safety and accessibility aspects of the sewer collection system, and will increase the overall livability of the City as a whole.
- Infrastructure
  - Short-term considerations include addressing the sewer treatment infrastructure to mitigate storm and flooding impacts.
  - Long-term considerations include design initiatives to lengthen the expected life of the improvements.

- Economic Revitalization
  - Short-term considerations include the negative inconveniences associated with construction activities, but these will be minimal since the project will be addressing the wastewater treatment plant.
  - Long-term considerations include the overall livability of the City which can help attract additional businesses, industries, and most importantly, residents.
- Overall Community Resiliency
  - Short-term considerations include improved treatment of wastewater.
  - Long-term considerations include improvement in overall groundwater quality.
- Affirmatively Furthering Fair Housing (AFFH) Considerations
  - Census data – Demographic information by census block group for the town/county. This may be presented as maps and/or in chart/table form with block groups identified. Include percent of population below poverty level, income, and ethnicity/race.
    - Census data, including Tables B01003, DP05, S1701 and HUD LMISD information were considered in the development of this project.
  - Crime rates – Include immediate and surrounding geographic areas.
    - Data from the Texas Department of Public Safety was reviewed for the entire DETCOG region as was considered in the development of this application.  
Source:  
[https://www.dps.texas.gov/administration/crime\\_records/pages/crimestatistics.htm](https://www.dps.texas.gov/administration/crime_records/pages/crimestatistics.htm)
  - Household sizes
    - Census data, including Table S2501 was considered in the development of this project.
  - Age group data
    - Census data, including Table S1701 and DP05 was considered in the development of this project.
  - Jobs – Identify any large employment center(s)/opportunities.
    - This project will not negatively impact jobs but will provide a positive benefit since it is a sizable infrastructure construction project with needs for engineering services, administration services, environmental services, and construction.
  - Schools – Quality measures and demographics as compared to other area public schools.
    - San Augustine Elementary School, San Augustine Middle School, and San Augustine High School are not located within the project area.
    - There is no negative impact on schools as this project will benefit any schools within the proximity. However, temporary construction noise and other distracting aspects will need to be considered.
  - Other education – Community colleges, technical schools, higher education, other opportunities.
    - There are no other educational facilities within San Augustine.
  - Grocery stores – Identify nearest full-size grocery store(s), other desirable retail.
    - The nearest grocery store is Brookshire Brothers located within 1 mile of the project area.
  - Health care facilities – Local clinic(s) and/or nearest hospital, e.g.

- The nearest clinic is the Texas Quick Care Clinic located within 1 mile of the project area and the nearest hospital is St. Luke’s - Memorial located 45 miles away.
- Public transportation – Nearest bus stop(s).
  - There is no public transportation within the area.
- Library – Public library and available resources such as computer access.
  - The nearest library is the San Augustine Public Library located within 1 mile of the project area.
- Parks, athletic fields, playgrounds – Public recreation areas.
  - There are a few of these types of facilities within San Augustine. The most significant facility is the San Augustine Park being constructed near downtown within 1 mile of the project area.
- Community facilities – Child care, senior centers, other community centers.
  - The nearest facility of this type is the San Augustine Children Social Services Center located within 1 mile of the project area.
- Unsightly facilities, industrial sites
  - None of Significance
- Environmental/health hazards – May overlap with negative uses
  - No long term negative environmental or health hazards are anticipated.
- Features undesirable for family life – Retail/business density, type of retail/businesses,
  - This project will have no negative impact on these concerns.
- Additional subsidized or low-income housing – Public housing and/or LIHTC developments, etc.
  - This project will have no negative impact on these concerns.
- Area revitalization – Identify economic trends in the area
  - Steady growth is the norm for the DETCOG region.
- Government plans impacting the area – Identify pending or approved projects/plans/bonds
  - No impacts are anticipated
- Other development projects/investment – Identify public or private projects in the immediate or larger area which may affect the proposed project
  - No other projects are expected to impact or be impacted by this project.

### **Proposed Actions with Timelines**

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In order to meet the objectives and goals outlined above, the following actions will be undertaken:

- Procurement of Professional Service Providers (Grant Administration, Engineering) for application and implementation services
  - Completed prior to application development and submission
  - Responsible parties include City Secretary, Selection Committee, City Council
- Project Development
  - Completed prior to application development and submission
  - Responsible parties include Mayor, Public Works Director, City Secretary, City Council Members, Members of General Public, Lead Engineer, Grant Administration (GA) Project Manager
- Submission of all start-up documentation
  - To be completed within 90 days of GLO contract execution date
  - Responsible parties include GA Project Manager and GA Team

- Completion of Design
  - To be completed within 210 days of GLO contract execution date
  - Responsible parties include Lead Engineer and Engineering Team
- Completion of Environmental Review
  - To be completed within 240 days of GLO contract execution date
  - Responsible parties include GA Project Manager and GA Team
- Acquisition
  - No acquisition is anticipated for this project
  - If it is later determined that acquisition is needed, the responsible parties will include GA Project Manager and GA Team, with assistance from Lead Engineer and Engineering Team and Acquisition Specialist if needed.
- Procurement of Construction Contractor(s)
  - To be completed within 330 days of GLO contract execution date
  - Responsible parties include Lead Engineer and Engineering Team with coordination with GA Project Manager and GA Team, awarded by City Council.
- Construction Notice to Proceed
  - To be completed within 360 days of GLO contract execution date
  - Responsible parties include Lead Engineer
- Issuance of Certificate of Construction Completion
  - To be completed within 730 days of GLO contract execution date
  - Responsible parties include Lead Engineer
- Submission of Closeout Documentation
  - To be completed within 790 days of GLO contract execution date
  - Responsible parties include GA Project Manager
- Issuance of Administrative Complete Letter
  - To be completed within 850 days of GLO contract execution date
  - Responsible parties include GA Project Manager and GLO

### **Project Implementation**

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Project implementation will include:

- overall tracking
- draw coordination
- procurement coordination
- progress reporting

The Grant Administration team will provide the following services to achieve successful project implementation:

- a) General Administrative Duties:
  - i. Ensure program compliance including all CDBG-MIT requirements and all parts therein, current Federal Register, etc.
  - ii. Assist subrecipient in establishing and maintaining financial processes.
  - iii. Obtain and maintain copies of the subrecipient's most current contract including all related change requests, revisions and attachments.
  - iv. Establish and maintain record keeping systems.
  - v. Assist subrecipient with resolving monitoring and audit findings.
  - vi. Serve as monitoring liaison.
  - vii. Assist subrecipient with resolving third party claims.

- viii. Report suspected fraud to the GLO.
  - ix. Submit timely responses to the GLO requests for additional information.
  - x. Complete draw request forms and supporting documents.
  - xi. Facilitate outreach efforts, application intake, and eligibility review.
  - xii. Utilize and assist with GLO's system of record to complete milestones, submit documentation, reports, draws, change requests, etc.
  - xiii. Submit change requests and all required documentation related to any change requests.
  - xiv. Coordinate, as necessary, between subrecipient and any other appropriate service providers (i.e. Engineer, Environmental, etc.), contractor, subcontractor and GLO to effectuate the services requested.
  - xv. May assist in public hearings.
  - xvi. Will work with GLO's system of record.
  - xvii. Provide monthly project status updates.
  - xviii. Funding release will be based on deliverables identified in the contract.
  - xix. Labor and procurement duties:
    - a. Provide all Labor Standards Officer (LSO) Services.
    - b. Ensure compliance with all relevant labor standards regulations.
    - c. Ensure compliance with procurement regulations and policies.
    - d. Maintain document files to support compliance.
  - xx. Perform any other administrative duty required to deliver the project.
  - xxi. Implementation and coordination of Affirmatively Furthering Fair Housing ("AFFH") requirements as directed by HUD and the GLO.
  - xxii. Implementation and coordination of Section 504 requirements.
  - xxiii. Program compliance
- b) Construction Management
- i. The provider will assist the subrecipient in submitting/setting up project applications in the GLO's system of record.
  - ii. The provider may compile and collate complete contract/bid packages that meet GLO program requirements. The packages will contain supporting documentation that meets or exceeds the requirements of the GLO's program. If applications do not have the necessary forms, the provider may assist the subrecipient by coordinating to acquire the necessary documentation.
  - iii. The provider may monitor, report, and evaluate contractor's performance; notify the subrecipient if the contractor(s) fails to meet established scheduled milestones. Receive, review, recommend, and process any change orders as appropriate to the individual projects.
  - iv. The provider may assist the subrecipient with project Activity Draws/Close Out.
  - v. The provider may assist the subrecipient by submitting all the necessary documentation for draws and to close a project activity in the GLO's system of record. The provider will compile, review for completeness, and collate complete contract/closeout packages that meet GLO program requirements for draw requests. If applications do not have the necessary forms, the provider may assist the subrecipient by coordinating to acquire the necessary documentation.
  - vi. The provider may assist the subrecipient in developing Architectural and Engineering plans with guidance from the GLO.
  - vii. Reassignment scope alignment (if necessary).

- c) Acquisition Duties:
  - i. Submit acquisition reports and related documents.
  - ii. Establish acquisition files (if necessary).
  - iii. Complete acquisition activities (if necessary).
  
- d) Environmental Services
  - i. Review each project description to ascertain and/or verify the level of environmental review required: Exempt, Categorical Exclusion not Subject to 58.5, Categorical Exclusion Subject to 58.5, Environmental Assessment, and Environmental Impact Statements;
  - ii. If necessary, conduct tiered environmental review and submit broad and site-specific environmental reviews as required by 24 CFR Part 58.
  - i. Prepare, complete and submit HUD required forms for environmental review and provide all documentation to support environmental findings;
  - ii. Consult and coordinate with oversight/regulatory agencies to facilitate environmental clearance;
  - iii. Be able to perform or contract special studies, additional assessments, or permitting to secure environmental clearance. These may include, but are not limited to biological assessments, wetland delineations, asbestos surveys, lead-based paint assessments, archeology studies, architectural reviews, Phase I & II ESAs, USACE permits, etc.;
  - iv. Prepare all responses to comments received during comment phase of the environmental review, including State/Federal Agency requiring further studies and/or comments from public or private entities during public comment period;
  - v. Maintain close coordination with local officials, project engineer and other members of the project team to assure appropriate level of environmental review is performed and no work is conducted without authorization;
  - vi. Complete and submit the environmental review into GLO's system of record;
  - vii. At least one site visit to project location and completion of a field observation report;
  - viii. Prepare and submit for publication all public notices including, but not limited to the Notice of Finding of No Significant Impact (FONSI), Request for Release of Funds floodplain/wetland early and final notices in required order and sequence;
  - ix. Provide documentation of clearance for Parties Known to be Interested as required by 24 CFR 58.43;
  - x. Process environmental review and clearance in accordance with NEPA;
  - xi. Advise and complete environmental re-evaluations per 24 CFR 58.47 when evidence of further clearance or assessment is required;
  - xii. Prepare and submit Monthly Status Report; and
  - xiii. Participate in regularly scheduled progress meetings.

The Engineering team will perform the following duties:

- a) Coordinate, as necessary, between subrecipient and its service providers (i.e., Engineer, Environmental, Contracted Construction Company, Grant Administrator, etc.) and GLO. regarding project design services.
- b) Provide monthly project status updates.
- c) Funding release will be based on deliverables identified in the contract.
- d) Provide all project information necessary to ensure timely execution of the environmental review.
- e) Provide preliminary engineering, investigations, and drawings sufficient to achieve the

preliminary design milestone, including at a minimum:

- a. Cross sections/elevations
  - b. Project layout/staging areas
  - c. General notes
  - d. Special notes
  - e. Design details
  - f. Specifications
  - g. Utility relocation designs
  - h. Construction limits, including environmentally sensitive areas that should be avoided during construction
  - i. Required permits
  - j. Quantities
  - k. Estimate of construction costs to within +/- 25%
  - l. Schedules for design, permitting, acquisition and construction
- f) Design surveying, topographic and utility mapping.
- g) Perform subsurface explorations for project sites, as necessary.
- h) Prepare horizontal alignments/layouts for all proposed project alternatives necessary to fully describe the project scope, anticipated limitations, and potential project impacts.
- i) Recommend value engineering options (alternative design, construction methods, procurement, etc.) that may improve efficiency, expedite the schedule, or reduce project costs for the subrecipient.
- j) Identify, acquire and submit all necessary permits and approvals required for design approval and construction.
- k) Submit all necessary deliverables to the appropriate entity for review and comment. Adjust project and/or design to satisfactorily address any comments, as necessary.
- l) Prepare plans and profiles, including vertical design information for the selected alternative.
- m) Identify and address potential obstacles to project implementation (i.e., pipelines, easements, permitting, environmental, etc.) prior to moving forward with the final design.
- n) Support subrecipient with acquisition or property/servitudes/right-of-way documentation as required by the City to facilitate the project, preparing right of way surveys and/or property boundary maps and legal descriptions of parcels to be acquired.
- o) Provide project schedules from cradle to grave in MS Project format or equal as approved by the subrecipient based on GLO guidance.
- p) Prepare plans and profiles, including necessary design information for the selected alternative sufficient to achieve all detailed design milestones. Examples include, but are not limited to:
- a. Cross sections/elevations
  - b. Project layout/staging areas
  - c. General notes
  - d. Special notes
  - e. Design details
  - f. Specifications
  - g. Utility relocation designs
  - h. Construction limits, including environmentally sensitive areas that should be avoided during construction
  - i. Required permits
  - j. Quantities
  - k. Estimate of construction costs to within +/- 20%
  - l. Schedules for design, permitting, acquisition and construction



- q) Provide information to appropriate individuals for the development of environmental fund release reports and floodplain maps.
- r) Identify, acquire and submit all necessary permits and approvals required for design approval and construction.
- s) Provide hard copy, if necessary, reproducible plan drawings and bid documents, in addition to electronic copies to the subrecipient, upon design completion, and as requested during design. Electronic copies should be in the native format (AutoCAD DWG) along with PDF packages and should contain all corresponding references, databases, or files associated with the completed design documents.
- t) Assist the subrecipient and any service provider related to the project with all necessary documentation to ensure compliance with all Program requirements and regulations.
- u) Submit appropriate items and support subrecipient in the development of complete bid package.
- v) Prepare and assist subrecipient in the advertisements for bid solicitation.
- w) Support development and issuance of bid-related documents necessary to complete bid process (e.g., bid proposal form, bid addenda and supporting documentation).
- x) Attend and support subrecipient at pre-bid conference and bid opening.
- y) Support subrecipient with ongoing communication during bid process.
- z) Support subrecipient to complete bid tabulation and evaluation of responses and provide recommendation for award.
- aa) Support subrecipient to negotiate and finalize contract documents, including issuance of the Notice to Proceed, in accordance with program and subrecipient requirements.
- bb) Support subrecipient in the conducting of a preconstruction conference.
- cc) Ensure delivery of subrecipient project in accordance with contract.
- dd) Provide ongoing Construction Oversight Reports detailing the status of construction for subrecipient project.
- ee) Review all service provider submittals to ensure compliance with construction contract documents and provide recommendations to subrecipient.
- ff) Provide periodic and final inspections and tests reports, as required for the project.
- gg) Provide on-site supervision and oversight of construction activities at a minimum on a bi-weekly basis or as directed by the GLO or subrecipient.
- hh) Review Construction Change Orders and provide recommendation to subrecipient as to appropriate action.
- ii) Review invoice/draw requests and provide recommendation to subrecipient as to appropriate action, in compliance with the construction contract documents.
- jj) Obtain independent cost estimates for validation purposes, as required.
- kk) Review and respond to requests for information/clarification.
- ll) Support subrecipient with issue identification and claims resolutions.
- mm) Enter all requisite information into the GLO system of record in accordance with established policies and procedures.
- nn) Develop a final “as built” report of quantities, drawings, and specifications.
- oo) Issue to the subrecipient, for execution, a Certificate of Construction Completion within 30 days of final inspection approval.
- pp) Deliver “as-built” drawings to the subrecipient within 30 days of project completion.
- qq) Host and/or attend project coordination meetings in person, by phone, or by video conference, which may or may not fall during normal business hours.
- rr) Perform other contract management and construction oversight duties as required to ensure success of the subrecipient project.

- ss) Provide necessary certifications to regulatory agencies of project completion and compliance (ex. TCEQ).
- tt) Submit all final invoices within 60 days after contract or work order expiration.
- uu) Provide Geotechnical Investigations as may be required for a project.
- vv) Provide Detailed Surveying as may be required for a project.
- ww) Provide Site Specific Testing as may be required for a project.
- xx) Provide Archeological Studies as may be required for a project.
- yy) Provide Planning Studies as may be required for a project.
- zz) Provide Feasibility Studies as may be required for a project.
- aaa) Provide Legal documentation for property and/or easements to be acquired (i.e., field notes, etc.).
- bbb) Provide Phase I and Phase II environmental site assessments as requested.

### **Financial Management and Administration**

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Financial management and contract administration will include:

- overall tracking
- draw processing
- procurement eligibility
- contract maintenance (amendments/revisions/etc.)

The Grant Administrator (GA) will provide the following financial and contract management services:




- a) Prepare draw paperwork for signatures and submit to GLO
- b) Assist subrecipient in timely disbursement of grant funds
- c) Prepare and submit all required reports (Section 3, Financial Interest, etc.).
- d) Assist subrecipient's auditor where needed.
- e) Assist subrecipient in clearing potential contractors through SAM.gov.
- f) Assist subrecipient in establishing and maintaining a bank account for program funds.
- g) Ensure that fraud prevention and abuse practices are in place and being implemented.
- h) Prepare and submit all closeout documents.
- i) Submit all invoices no later than 60 days after the expiration of the contract. All outstanding funds may be swept after 60 days. The provider may request an extension of this requirement in writing.
- j) Assist in preparation of contract revisions and supporting documents including but not limited to:
  - a. Amendments/modifications,
  - b. Change orders.

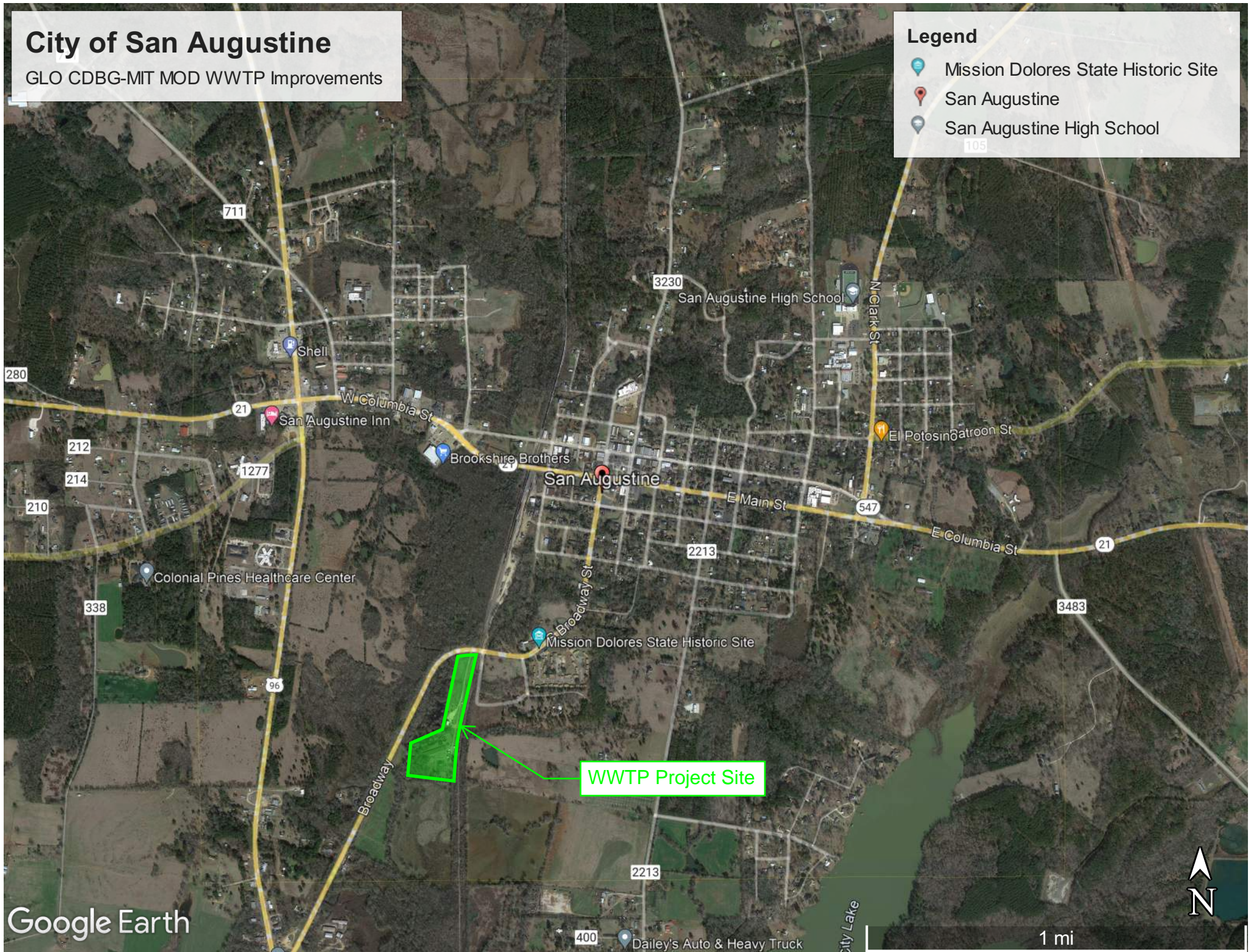


# City of San Augustine

GLO CDBG-MIT MOD WWTP Improvements

## Legend

-  Mission Dolores State Historic Site
-  San Augustine
-  San Augustine High School



WWTP Project Site



1 mi