

LEE COUNTY BOARD OF COUNTY COMMISSIONERS
AGENDA ITEM SUMMARY

BLUE SHEET NO: 20020867-UTL

1. REQUESTED MOTION:

ACTION REQUESTED:

1) Authorize the Chairman, on behalf of the BOCC, to approve Grant Agreement with U.S. Environmental Protection Agency (USEPA) which will award 84% of all approved costs NTE \$99,500 to Lee County for the USEPA budget period of 7-1-02 thru 3-31-03 for "Vulnerability Assessments and Related Security Improvements throughout Lee County's Potable Water System"; and, 2) approve Budget Resolution in the amount of \$99,500 for FY 01/02.

WHY ACTION IS NECESSARY:

To give budgetary authority to receive grant.

WHAT ACTION ACCOMPLISHES:

Formalizes grant funding.

2. DEPARTMENTAL CATEGORY: 10 - UTILITIES
COMMISSION DISTRICT #: CW

C10K

3. MEETING DATE: 8-6-02

4. AGENDA:

- CONSENT
- ADMINISTRATIVE
- APPEALS
- PUBLIC
- WALK ON
- TIME REQUIRED: _____

5. REQUIREMENT/PURPOSE:

- (Specify)
- STATUTE _____
 - ORDINANCE _____
 - ADMIN. CODE _____
 - OTHER Grant Approval

6. REQUESTOR OF INFORMATION:

- A. COMMISSIONER: _____
- B. DEPARTMENT: Lee County-Public Works
- C. DIVISION/SECTION: Utilities Division
- BY: Rick Diaz, Utilities Director

[Signature] DATE: 7/24/02

7. BACKGROUND:

On 4-18-02 Lee County Utilities Division applied for a grant to fund the development of a vulnerability assessment and security improvements at the County's potable water system which was approved on 7-9-02. The amount of the grant is \$99,500. The County will contribute \$18,710 which will consist of salaries as an in-kind match. The grant period runs through 3-31-03.

Lee County Utilities Division proposes to develop a vulnerability assessment of its potable water system under this grant program, utilizing the model developed by Sandia National Lab as the methodology basis. The overall goal of the assessment is to develop recommendations that will lead to a cost-effective and balanced security protection against the risks posed. A Consultant will be utilized, with proof of Sandia National Lab training in performing vulnerability assessments.

4 file copies are attached for execution by Chairman. Must be returned by LCU to USEPA before 8-13-02.

The grant funds will be available in Account No. 11069448700

8. MANAGEMENT RECOMMENDATIONS:

9. RECOMMENDED APPROVAL

(A) DEPARTMENT DIRECTOR	(B) PURCH. OR CONTRACTS	(C) HUMAN RESOURCES	(D) OTHER	(E) COUNTY ATTORNEY	(F) BUDGET SERVICES				(G) COUNTY MANAGER
					OA	OM	Risk	GC	
<i>[Signature]</i> J. Lavender Date: <u>7-24-02</u>	N/A Date:	N/A Date:		<i>[Signature]</i> D. Owen Date: <u>7/24/02</u>	<i>[Signature]</i> 7/24/02	<i>[Signature]</i> 7/25/02	<i>[Signature]</i> 7/25	<i>[Signature]</i> 7/25/02	<i>[Signature]</i> J. Lavender Date: <u>7-24-02</u>

10. COMMISSION ACTION:

- APPROVED
- DENIED
- DEFERRED
- OTHER

RECEIVED BY
COUNTY ADMIN. *[Signature]*
7/25 4/00
COUNTY ADMIN.
FORWARDED TO:
7/25 4/00

RESOLUTION

Amending the Lee County Utilities Budget, Fund 48700 to incorporate the unanticipated receipts into Estimated Revenues and Appropriations for the fiscal year 2001-2002.

WHEREAS, in compliance with the Florida Statutes 129.06(2), it is the desire of the Board of County Commissioners of Lee County, Florida, to amend the Lee County Utilities Budget, Fund 48700, for \$ 99,500 of the unanticipated revenue from Grant funding and an appropriation of a like amount for Grant expenditures and;

WHEREAS, the Lee County Utilities Budget, Fund 48700 shall be amended to include the following amounts which were previously not included.

ESTIMATED REVENUES

Prior Total:		
Additions		\$ 66,461,316
11069448700.331310.9004	Water Supply System	\$ 99,500
Amended Total Estimated Revenues		\$ 66,560,816

APPROPRIATIONS

Prior Total:		\$ 66,461,316
Additions		
11069448700.501210	Salaries	\$ 99,500
Amended Total Appropriations		\$ 66,560,816

NOW, THEREFORE, BE IT RESOLVED by the Board of County Commissioners of Lee County, Florida, that the Lee County Utilities Budget, Fund 48700 is hereby amended to show the above additions to its Estimated Revenue and Appropriation Accounts.

Duly voted upon and adopted in Chambers at a regular Public Hearing by the Board of County Commissioners on this ____ day of _____, 2002.

ATTEST:
CHARLIE GREEN, EX-OFFICIO CLERK

BOARD OF COUNTY COMMISSIONERS
LEE COUNTY, FLORIDA

BY: _____
DEPUTY CLERK

CHAIRMAN

APPROVED AS TO FORM

OFFICE OF COUNTY ATTORNEY

DOC TYPE YA
LEDGER TYPE BA



U.S. ENVIRONMENTAL PROTECTION AGENCY

Grant Agreement

ASSISTANCE ID NO.

PRG	DOC ID	AMEND#
HS -	83007701	- 0

DATE OF AWARD

JUL - 9 2002

TYPE OF ACTION

New

MAILING DATE

JUL 16 2002

PAYMENT METHOD:

ACH

ACH#

RECIPIENT TYPE:

County

Send Payment Request to:
Las Vegas Finance Center

RECIPIENT:

Lee County Board of County Commissioners
1500 Monroe Street, 3rd floor
Fort Myers, FL 33901
EIN: 59-6000702

PAYEE:

Fiscal Manager, Lee County Board of County Commissioners
1500 Monroe Street, 3rd floor
Fort Myers, FL 33901

PROJECT MANAGER

Michael Crumpton
Lee County Board of County Commissioners,
1500 Monroe Street, 3rd floor
Fort Myers, FL 33901
E-Mail:
Phone: 239-479-8151

EPA PROJECT OFFICER

Jennifer Gardner
US EPA, Region 4, 61 Forsyth Street, SW
Atlanta, GA 30303
E-Mail: gardner.jennifer@epa.gov
Phone: 404-562-9461

EPA GRANT SPECIALIST

Pat Simon
1200 Pennsylvania Avenue, NW
Washington, DC 20460, 3903R
E-Mail: Simon.Pat@epa.gov
Phone: 202-564-5363

PROJECT TITLE AND DESCRIPTION

Vulnerability Assessments and Related Security Improvements at Large Drinking Water Utilities
The objective of this program is to reduce the vulnerabilities that large drinking water utilities present to a terrorist attack. PWSID No. FL3564048

BUDGET PERIOD

07/01/2002 - 03/31/2003

PROJECT PERIOD

07/01/2002 - 03/31/2003

TOTAL BUDGET PERIOD COST

\$118,210.00

TOTAL PROJECT PERIOD COST

\$118,210.00

NOTE: The Agreement must be completed in duplicate and the Original returned to the appropriate Grants Management Office listed below, within 3 calendar weeks after receipt or within any extension of time as may be granted by EPA. Receipt of a written refusal or failure to return the properly executed document within the prescribed time, may result in the withdrawal of the offer by the Agency. Any change to the Agreement by the Recipient subsequent to the document being signed by the EPA Award Official, which the Award Official determines to materially alter the Agreement, shall void the Agreement.

OFFER AND ACCEPTANCE

The United States, acting by and through the U.S. Environmental Protection Agency (EPA), hereby offers Assistance/Amendment to the Lee County Board of County Commissioners for 84.00 % of all approved costs incurred up to and not exceeding \$99,500 for the support of approved budget period effort described in application (including all application modifications) cited in the Project Title and Description above, signed 04/18/2002 included herein by reference.

ISSUING OFFICE (GRANTS MANAGEMENT OFFICE)

ORGANIZATION / ADDRESS

Grants Administration Division
1200 Pennsylvania Ave, NW
3903R
Washington, DC 20460

AWARD APPROVAL OFFICE

ORGANIZATION / ADDRESS

Office of Water
OW
1200 Pennsylvania Ave, NW
Washington, DC 20460

THE UNITED STATES OF AMERICA BY THE U.S. ENVIRONMENTAL PROTECTION AGENCY

SIGNATURE OF AWARD OFFICIAL

Mildred Lee

TYPED NAME AND TITLE

Mildred Lee, Chief - Grants Operations Branch A

DATE

7/9/02

This agreement is subject to applicable U.S. Environmental Protection Agency statutory provisions and assistance regulations. In accepting this award or amendment and any payments made pursuant thereto, (1) the undersigned represents that he is duly authorized to act on behalf of the recipient organization, and (2) the recipient agrees (a) that the award is subject to the applicable provisions of 40 CFR Chapter 1, Subchapter B and of the provisions of this agreement (and all attachments), and (b) that acceptance of any payments constitutes an agreement by the payee that the amounts, if any found by EPA to have been overpaid will be refunded or credited in full to EPA.

BY AND ON BEHALF OF THE DESIGNATED RECIPIENT ORGANIZATION

SIGNATURE

TYPED NAME AND TITLE

DATE

APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input checked="" type="checkbox"/> Non-Construction		2. DATE SUBMITTED 4/18/02	Applicant Identifier
		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name: Lee County Board of County Commissioners		Organizational Unit: Utilities Division	
Address (give city, county, State, and zip code): 1500 Monroe Street, 3rd floor Fort Myers, FL 33901		Name and telephone number of person to be contacted on matters involving this application (give area code) Michael G. Crumpton (239) 479-8151	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 59-6000702		7. TYPE OF APPLICANT: (enter appropriate letter in box) <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input checked="" type="checkbox"/> A. State <input type="checkbox"/> B. County <input type="checkbox"/> C. Municipal <input type="checkbox"/> D. Township <input type="checkbox"/> E. Interstate <input type="checkbox"/> F. Intermunicipal <input type="checkbox"/> G. Special District </div> <div style="width: 45%;"> <input type="checkbox"/> H. Independent School Dist. <input type="checkbox"/> I. State Controlled Institution of Higher Learning <input type="checkbox"/> J. Private University <input type="checkbox"/> K. Indian Tribe <input type="checkbox"/> L. Individual <input type="checkbox"/> M. Profit Organization <input type="checkbox"/> N. Other (Specify) _____ </div> </div>	
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other(specify): _____		9. NAME OF FEDERAL AGENCY: U.S. Environmental Protection Agency	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE: _____		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Vulnerability Assessment Project Lee County Utilities, Division, Florida	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): County			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
Start Date 7/1/02	Ending Date 12/31/02	a. Applicant 14th Congressional District	
		b. Project 14th Congressional District	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$ 99,500 ⁰⁰	a. <input checked="" type="checkbox"/> YES THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____	
b. Applicant	\$ 18,710 ⁰⁰	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
c. State	\$ N/A ⁰⁰		
d. Local	\$ N/A ⁰⁰		
e. Other	\$ N/A ⁰⁰		
f. Program Income	\$ N/A ⁰⁰		
g. TOTAL	\$ 118,210 ⁰⁰	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input checked="" type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative Rick Diaz, P.E.		b. Title Utilities Director	c. Telephone Number (239) 479-8779
d. Signature of Authorized Representative		e. Date Signed 4/18/02	

BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

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.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$ 9,120	\$	\$	\$ 9,120
b. Fringe Benefits		4,105			4,105
c. Travel		4,435			4,435
d. Equipment					
e. Supplies		50			50
f. Contractual	99,500				99,500
g. Construction					
h. Other		1,000			1,000
i. Total Direct Charges (sum of 6a-6h)	99,500	18,710			118,210
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$ 99,500	\$ 18,710	\$	\$	\$ 118,210
7. Program Income	\$ 99,500	\$ 18,710	\$	\$	\$ 118,210

Authorized for Local Reproduction

Standard Form 424A (Rev. 7-97)
Prescribed by OMB Circular A-102

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTAL (sum of lines 8-11)	\$	\$	\$	\$	
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.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

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.

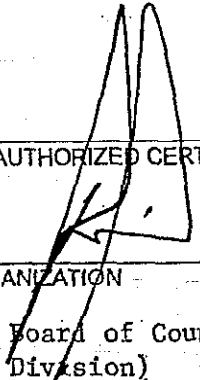
PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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 1685-1688), 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.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Rick Diaz, P.E. Utilities Director
APPLICANT ORGANIZATION Lee County Board of County Commissioners (Utilities Division)	DATE SUBMITTED 4/18/02

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.

Rick Diaz, P.E., Utilities Director

Typed Name & Title of Authorized Representative

Signature of Authorized Representative

Date

4/18/02

EPA Project Control Number

United States Environmental Protection Agency
Washington, DC 20460

**Certification Regarding
Debarment, Suspension, and Other Responsibility Matters**

The prospective participant certifies to the best of its knowledge and belief that it and the principals:

- (a) 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 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 or cause or default.

I understand that a false statement on this certification may be ground 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.

Rick Diaz, P.E. Utilities Director
Typed Name & Title of Authorized Representative

Signature of Authorized Representative Date

4/18/02

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



Washington, DC 20460
Preaward Compliance Review Report for
All Applicants Requesting Federal Financial Assistance

FORM Approved
 OMB No. 2090-0014
 Expires 4-30-99

Note: Read instructions before completing form.

I. A. Applicant (Name, City, State) Lee County Utilities Div. Fort Myers, FL		B. Recipient (Name, City, State) N/A	C. EPA Project No.
II. Brief description of proposed project, program or activity. Development of a Vulnerability Assessment (V/A) for the Lee County Potable Water System			
III. Are any civil rights lawsuits or complaints pending against applicant and/or recipient? If yes, list those complaints and the disposition of each complaint.		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
IV. Have any civil rights compliance reviews of the applicant and/or recipient been conducted by any Federal agency during the two years prior to this application for activities which would receive EPA assistance? If yes, list those compliance reviews and status of each review.		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
V. Is any other Federal financial assistance being applied for or is any other Federal financial assistance being applied to any portion of this project, program or activity? If yes, list the other Federal Agency(s), describe the associated work and the dollar amount of assistance.		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
VI. If entire community under the applicant's jurisdiction is not served under the existing facilities/services, or will not be served under the proposed plan, give reasons why. N/A			
VII. Population Characteristics		Number of People	
1. A. Population of Entire Service Area		149,902	
B. Minority Population of Entire Service Area		13.1%	
2. A. Population Currently Being Served		149,902	
B. Minority Population Currently Being Served		13.1%	
3. A. Population to be Served by Project, Program or Activity		149,902	
B. Minority Population to be Served by Project, Program or Activity		13.1%	
4. A. Population to Remain Without Service		0	
B. Minority Population to Remain Without Service		0	
VII. Will all new facilities or alterations to existing facilities financed by these funds be designed and constructed to be readily accessible to and usable by handicapped persons? If no, explain how a regulatory exception (40 CFR 7.70) applies.		<input type="checkbox"/> Yes <input type="checkbox"/> No (No Construction)	
IX. Give the schedule for future projects, programs or activities (or of future plans), by which services will be provided to all beneficiaries within applicant's jurisdiction. If there is no schedule, explain why. All Lee County Utilities Division customers receive all services paid for by them.			
X. 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.			
A. Signature of Authorized Official	B. Title of Authorized Official	C. Date	
	Utilities Director	4/18/02	
For the U.S. Environmental Protection Agency			
<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Authorized EPA Official	Date	

LEE COUNTY UTILITIES DIVISION, FLORIDA
FEDERAL GRANT FOR VULNERABILITY ASSESSMENTS APPLICATION
NARRATIVE STATEMENT (WORK PLAN)

April 2002

1) The work to be performed under this grant will be the development of a Vulnerability Assessment (V/A) for the Lee County Potable Water System.

2) Technical Point of Contact:

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Water Treatment Superintendent
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3) Lee County Utilities Division will provide staff time and training as in-kind services, estimated to be the equivalent of nineteen (19) percent of the total grant amount.

4) Water Service Description:

The Lee County Potable Water System is composed of three (3) interconnected service areas. The annual average daily flow for the system is 21.593 million gallons per day. With an average of 2.84 people per service connection, the total number of people served by the system is equal to 149,902.

a) Lee County Original Service Area

Approximate Geographic Area: Northside - Lee County Line, Southside - Alico Road, Westside - U.S. 41, and Eastside - Town of Olga.

Number of Service Connections: 33,684

- 1) Corkscrew Water Treatment Plant (PWS ID 536-4048-2)
- 2) Olga Water Treatment Plant (PWS ID 536-4048-01)

b) South Service Area

Approximate Geographic Area: Northside - College Parkway, Southside - Gulf of Mexico, Westside - Caloosahatchee River, and Eastside - U.S. 41.

Number of Service Connections: 15,897

- 1) Green Meadows Water Treatment Plant (PWS ID 536-0313-1)
- 2) College Parkway Water Treatment Plant (PWS ID 536-0313-2)

c) Waterway Estates Service Area

Approximate Geographic Area: Northside - Pine Island Road, Southside - Caloosahatchee River, Westside - Del Prado Boulevard, and Eastside - U.S. 41.

Number of Service Connections: 3,120

- 1) Waterway Estates Water Treatment Plant (PWS ID 536-0303)

5) Project Description:

Lee County Utilities Division proposes to develop a V/A of its Potable Water System under this grant program utilizing the model developed by Sandia National Lab as the methodology basis. The overall goal of the V/A is to develop recommendations that will lead to a cost effective and balanced security protection against the risks posed. Lee County Utilities Division will utilize a Consultant with proof of Sandia National Lab training in performing V/A's. In addition, at least two (2) Lee County Utilities Division staff members will attend Sandia National Lab training courses in order to facilitate development of the V/A by the Consultant.

The V/A will be considered satisfactory by addressing the following eight (8) major elements and processes resulting in a thorough and systematic evaluation of the Lee County potable water system.

- a) Determination of the objectives of the Lee County Potable Water System.
- b) Prioritization of adverse events and consequences, that could affect the Lee County Potable Water System and the surrounding community.
- c) Definitions of how malevolent acts might be conducted and their potential affects on the Lee County Potable Water System.
- d) Assessment of the likelihood of such malevolent acts from defined threat sources.
- e) Systematic site characterization of the Lee County Potable Water System, including the collection of performance data.
- f) A performance based approach to the V/A that evaluates the risk to the Lee County Potable Water System based on the effectiveness of the security system against defined specific malevolent acts.

- g) Determination of the most critical assets or targets in the Lee County Potable Water System, plus detailing their interrelationships with other system assets, identifying the consequences of malevolent acts that could be directed against them, and evaluating the effectiveness of both existing and proposed protection systems.
- h) The V/A will identify the vulnerabilities of the Lee County Potable Water System. At a minimum, the V/A will provide the following:
 - i) A prioritized plan for security upgrades.
 - ii) Modifications of operational procedures.
 - iii) Recommendations regarding dedicated staffing levels necessary to monitor, maintain, and respond to potential breaches in the system security measures identified by the V/A.
 - iv) A basis for comparing the cost of protection against the risks posed.
 - v) Recommended policy changes to mitigate identified risks to critical assets.

LEE COUNTY UTILITIES DIVISION, FLORIDA
 FEDERAL GRANT FOR VULNERABILITY ASSESSMENTS APPLICATION
BUDGET DETAIL

April 2002

PERSONNEL (County Paid)

<u>Position</u>	<u>Annual Salary</u>	<u>Percent of Time Assigned to Project</u>	<u>Amount</u>
Util. Ops. Mgr.	\$74,400	5.0%	\$ 3,720
Water Trtmt. Supt.	\$54,000	10.0%	\$ 5,400

FRINGE BENEFITS (County Paid)

45.0% of Base Salary includes Retirement, Health Benefits, Annual and Sick Leave, Insurances, and Holidays. \$ 4,105

TRAVEL (County Paid)

In State

Travel for meetings and inspections:
 40 miles per trip @ \$0.25 per mile, 100 trips \$ 1,000

Out of State

Travel for V/A Training for 2 people:
 Lodging - 2 x 5 days @ \$125 per day
 Airfare - 2 x \$750 per round trip
 Meals - 2 x 5 days x \$21 per day
 Rental Car - 5 days x \$75 per day
 Incidentals - 2 x \$50 \$ 3,435

EQUIPMENT (County Paid)

None \$ 0

SUPPLIES (County Paid)

Office Supplies \$ 50

CONTRACTUAL (Paid Thru Grant)

Consultant Services to conduct the V/A. \$ 90,000
 Audit. \$ 9,500

OTHER (County Paid)

Long Distance Telephone Calls \$ 300
 Postage \$ 100
 Printing and Reproduction \$ 600

TOTAL DIRECT COSTS

GRANT \$ 99,500
 COUNTY \$ 18,710

TOTAL PROJECT COSTS (THERE ARE NO INDIRECT COSTS) \$118,210

LEE COUNTY UTILITIES DIVISION, FLORIDA
FEDERAL GRANT FOR VULNERABILITY ASSESSMENTS APPLICATION
RESUMES / QUALIFICATIONS TO COMPLETE JOB

April 2002

COUNTY EMPLOYEES

Will attend training in Sandia National Lab development of V/A's in order to facilitate the work that the Consultant will be doing.

Michael G. Crumpton, PE

Masters Degree in Public Administration - University of Central Florida.
Licensed Professional Engineer in Florida and Georgia.
Approximately 32 years of experience in public works and utilities.

Tom Hill

Bachelors Degree in Business Administration - Muskingum College, Ohio.
Licensed "A" Water Treatment Plant Operator in Florida.
Approximately 15 years of experience in the water treatment field.

CONSULTANT

Specific qualifications are unknown at this time, as the Consultant cannot be selected until the Grant is approved.

The Consultant will be required to demonstrate satisfactory completion of Sandia National Lab training courses in the development of V/A's.

LEE COUNTY UTILITIES DIVISION, FLORIDA
FEDERAL GRANT FOR VULNERABILITY ASSESSMENTS APPLICATION
KEY CONTACT INFORMATION

April 2002

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