



Speaker Won Pat <speaker@judiwonpat.com>

Messages and Communications: NOTICE FEDERAL GRANT APPLICATION

Speaker Won Pat <speaker@judiwonpat.com>  
To: Guam Legislature Clerks Office <clerks@guamlegislature.org>

Tue, Jul 29, 2014 at 9:09 AM

7/29/2014 7:25/2014 Guam State Clearinghouse

Federal Grant Application from (GWA-SDW and CWSRFP) 07807141155N \*emailed 32-14-1874

----- Forwarded message -----  
From: **Trinajae Apatang** <trinajae.apatang@gmail.com>  
Date: Mon, Jul 28, 2014 at 2:23 PM  
Subject: NOTICE FEDERAL GRANT APPLICATION  
To: Speaker Judi Won Pat <speaker@judiwonpat.com>

Hafa Adail Please see attached grant application submitted by Guam Waterworks Authority.

Kindest Regards,  
-Trinajae M. Apatang

*Ufisinan I Etmås Ge'helo'Gi Liheslaturan Guåhan*  
**Office of Speaker Judith T. Won Pat Ed.D.**  
*Kumiten Idukasion yan Laibirihan Publeko*  
**Committee on Education and Public Libraries & Women's Affairs**  
155 Hesler Place, Suite 201, Hagatna, Guam 96910  
472-3586 Fax: (671) 472-3589  
www.guamlegislature.com / speaker@judiwonpat.com

32-14-1874  
Office of the Speaker  
Judith T. Won Pat Ed.D.  
Date 7.29.14  
Time 9:09am  
Received by [Signature]

2014 JUL 29 AM 9:27

Tel: (671)

2 attachments

- Courtesy letter SPKR 155N.pdf  
309K
- SAI 07807141155N.pdf  
3008K

1874



# GUAM STATE CLEARINGHOUSE

P.O. Box 2950 Hagåtña, Guam 96932

Tel: (671) 475-9380

Website: [www.gsc.guam.gov](http://www.gsc.guam.gov)

Email: [clearinghouse@guam.gov](mailto:clearinghouse@guam.gov)

**EDDIE BAZA CALVO**

*I Maga'låhen Guahan*

**RAYMOND S. TENORIO**

*I Segundu Na Maga'låhen Guahan*

**Kate G. Baltazar**

*Administrator*

July 25, 2014

**HONORABLE JUDITH T. WON PAT, Ed. D.**

*Speaker gi I Mina'Trentai Dos Na Liheslaturan Guåhan*

155 Hesler Place

Hagåtña, Guåhan 96910

**Ref:** Guam Waterworks Authority federal grant application submitted for Safe Drinking Water and Clean Water State Revolving Funding Program (Consolidated Grants).

*Hafa Adai Madam Speaker,*

This letter is to respectfully notify you the Guam State Clearinghouse (GSC) has received a federal grant application from the Guam Waterworks Authority (GWA). The GSC has accepted the application, assigned the State Application Identifier (SAI) 07807141155N and has initiated the process for an area wide review. An abstract of the project is provided below.

**Grantor:** U.S. Environmental Protection Agency

**Grant Title/  
Project Title:** Safe Drinking Water and Clean Water State Revolving Funding Program

**Details:** GWA desires to plan, design, build, operate, maintain, and manage GWA systems and facilities. These wastewater projects involve wastewater system improvements by constructing new pump stations to remove customers from septic systems and to increase the reliability of wastewater collection system. Funds from this grant will be used to cover personnel, training, and contractual costs.

**Start Date:** 10/01/2014                      **End Date:** 12/31/2017

**Federal Grant:** \$8,138,073.00

**Non-Federal Match:** \$0

GSC conducts area wide reviews and solicits comments through electronic communication and this notice is sent to you as a part of the review process. A digital copy of the grant proposal is attached for your perusal. Please submit any comments you may have pertaining to this proposal to Anna Marie Pangelinan by **August 25, 2014**, via email at [anna.pangelinan@guam.gov](mailto:anna.pangelinan@guam.gov).

*Dangkolo Na Si Yu'os Ma'åse',*

**Kate G. Baltazar**

Administrator

Cc: File



GUAM STATE  
CLEARINGHOUSE

07/25/2014 2:22 PM

  
SIGNATURE

# GUAM WATERWORKS AUTHORITY

578 North Marine Corp Drive  
Tumon, Guam 96931

July 25, 2014

Kate G. Baltazar  
Administrator  
Guam State Clearinghouse  
Ricardo J. Bordallo Complex  
Hagatna, Guam 96932

Subject: Concurrent Review: USEPA Consolidated Grants CFDA 66.600. Grant Application for Federal Assistance \$8,138,073.00

Dear Ms. Baltazar:

The Guam Waterworks Authority is in the process of applying for financial assistance to request funding allocation for FY2014 under the Safe Drinking Water and Clean Water State Revolving Funding program. We are seeking application approval from USEPA and submitting to them concurrently with this application to your office. If we are successful with this application proceeds will go towards funding GWA's water and wastewater projects. The projects are Well Rehabilitation and improvements to our wastewater system.

Thank you for your assistance, for additional information please contact my staff Prudencio Aguon at 648-0209.



Thomas Cruz, P.E.  
General Manager, Acting

CC: Chief Engineer



# GUAM STATE CLEARINGHOUSE

P.O. Box 2950 Hagåtña, Guam 96932  
Tel: (671) 475-9380  
Website: www.guamclearinghouse.com  
Email: clearinghouse@guam.gov

EDWARD J.B. CALVO  
I Maga'låhen Guahan

RAYMOND S. TENORIO  
I Segundu Na Maga'låhen Guahan

## Grant Project Application Notice of Intent to Apply for Federal Assistance

GSC FORM REVISED 03/21/2012

*Guam State Clearinghouse Use Only*

Date Received: 07/25/2014  
Received By: [Signature]  
SAI Number: 0720714115N

Type of Application  New Grant\*  Continuing Grant\*\*  Supplemental Grant\*\*  Other\* [ ]

A.) DUNS Number 8550202230000 B.) Date [ ]

C.) Applicant/Department Name Guam Waterworks Authority

D.) Division Engineering

E.) Applicant Address 578 North Marine Corp Drive Tamuning

F.) Applicant/Department Point of Contact Information

Contact Person Name Prudencio Aguon Phone Number 648-0209

E-mail Address prudencio@guamwaterworks.org

G.) Due Date to Federal Agency [ ]

H.) Federal Funds

a.) Grant \$8,138,073.00

b.) Other [ ]

I.) Non-Federal, Matching Funds

a.) Local 0

b.) In-Kind 0

c.) Other 0

J.) TOTAL FUNDS \$8,138,073.00

K.) CFDA/Federal Program Name 66.600/Consolidated Grants

L.) Federal Agency Name U.S. Environmental Protection Agency

M.) Federal Agency Address 75 Hawthorne St., San Francisco, CA 94105

N.) For Continuing or Supplemental Grants, Please provide the following information:

- a.) Initial Grant Period
- b.) Guam State Clearinghouse SAI Number
- c.) Grant Year This Application Impacts

O.) Has the Federal Funding Agency been notified?  YES  NO

P.) During which Fiscal Year will this program be implemented?

Q.) If the project requires local funding in addition to the federal funding requested, please specifically identify source and rationale:

R.) This program is:  Budgeted - Please identify legal budget authority   
 Non-Budgeted

S.) Will this program require the hiring of additional employees? Is YES, please provide the number of employees (both existing and new) and justification.  YES - Existing  New   NO

T.) List Departments and Agencies that would be affected directly or indirectly by this application

U.) Please provide a Project Summary with supporting documents if needed.

- V.) Please answer the following:
- a.) Does this application require an Environmental Impact Study?  YES  NO
  - b.) Will this application conflict with any existing law?  YES  NO
  - c.) Is enabling legislation required?  YES  NO
  - d.) Will the program require a maintenance of effort?  YES  NO
  - e.) Are in-kind services allowed for this program?  YES  NO
  - f.) Does this program allow an indirect cost rate to be applied?  YES  NO

SUBMITTED AND APPROVED BY:

Printed Name, Position/Title of Authorized Representative

  
SIGNATURE

Date



# GUAM WATERWORKS AUTHORITY

578 North Marine Corp Drive  
Tumon, Guam 96931

July 25, 2014

Kate G. Baltazar  
Administrator  
Guam State Clearinghouse  
Ricardo J. Bordallo Complex  
Hagatna, Guam 96932

Subject: Concurrent Review: USEPA Consolidated Grants CFDA 66.600. Grant  
Application for Federal Assistance \$8,138,073.00

Dear Ms. Baltazar:

The Guam Waterworks Authority is in the process of applying for financial assistance to request funding allocation for FY2014 under the Safe Drinking Water and Clean Water State Revolving Funding program. We are seeking application approval from USEPA and submitting to them concurrently with this application to your office. If we are successful with this application proceeds will go towards funding GWA's water and wastewater projects. The projects are Well Rehabilitation and improvements to our wastewater system.

Thank you for your assistance, for additional information please contact my staff Prudencio Aguon at 648-0209.

Thomas Cruz, P.E.  
General Manager, Acting

CC: Chief Engineer



# GUAM STATE CLEARINGHOUSE

P.O. Box 2950 Hagåtña, Guam 96932  
Tel: (671) 475-9380  
Website: www.guamclearinghouse.com  
Email: clearinghouse@guam.gov

EDWARD J.B. CALVO  
*I Maga'låhen Guahan*

RAYMOND S. TENORIO  
*I Segundu Na Maga'låhen Guahan*

## Grant Project Application Notice of Intent to Apply for Federal Assistance GSC FORM REVISED 03/21/2012

Guam State Clearinghouse Use Only	
Date Received:	
Received By:	
SAI Number:	

Type of Application  New Grant\*  Continuing Grant\*\*  Supplemental Grant\*\*  Other\*

A.) DUNS Number  B.) Date

C.) Applicant/Department Name

D.) Division

E.) Applicant Address

F.) Applicant/Department Point of Contact Information  
Contact Person Name  Phone Number

E-mail Address

G.) Due Date to Federal Agency  H.) Federal Funds  
a.) Grant

I.) Non-Federal, Matching Funds  
a.) Local   
b.) In-Kind   
c.) Other   
J.) TOTAL FUNDS

K.) CFDA/Federal Program Name

L.) Federal Agency Name

M.) Federal Agency Address

N.) For Continuing or Supplemental Grants, Please provide the following information:

a.) Initial Grant Period 10/1/2014 to 12/31/2017  
b.) Guam State Clearinghouse SAI Number \_\_\_\_\_  
c.) Grant Year This Application Impacts N/A

O.) Has the Federal Funding Agency been notified?  YES  NO

P.) During which Fiscal Year will this program be implemented? FY2014

Q.) If the project requires local funding in addition to the federal funding requested, please specifically identify source and rationale:

\_\_\_\_\_

R.) This program is:  Budgeted - Please identify legal budget authority Guam Waterworks Authority  
 Non-Budgeted

S.) Will this program require the hiring of additional employees? Is YES, please provide the number of employees (both existing and new) and justification.  YES - Existing  New  NO

\_\_\_\_\_

T.) List Departments and Agencies that would be affected directly or indirectly by this application

Guam Waterworks Authority

U.) Please provide a Project Summary with supporting documents if needed.

Drinking Water and Clear Water system improvements: Well Rehab, Chalan Pago sewer pump station, Talofofo sewer pump station.

V.) Please answer the following:

a.) Does this application require an Environmental Impact Study?	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
b.) Will this application conflict with any existing law?	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
c.) Is enabling legislation required?	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
d.) Will the program require a maintenance of effort?	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
e.) Are in-kind services allowed for this program?	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
f.) Does this program allow an indirect cost rate to be applied?	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO

SUBMITTED AND APPROVED BY:

Printed Name, Position/Title of Authorized Representative Thomas Cruz, P.E. General Manager, Acting

  
SIGNATURE

Date 7/25/14





# GUAM WATERWORKS AUTHORITY

578 North Marine Corp Drive  
Tumon, Guam 96931

July 24, 2014

Thomas Konner  
Infrastructure Office (WTR-4)  
Water Division  
U.S. Environmental Protection Agency  
75 Hawthorne Street  
San Francisco, California 94105-3901

SUBJECT: Consolidated Grants Program CFDA 66.600 \$8,138,073.00

The Guam Waterworks Authority respectfully submits a grant application to request grant funding for FY 2014 from the Consolidated Grants program.

Attached are the original and one copy of the final grant application and an approvable work plan for your review and direction.

The following documents are submitted for your review:

- A. Application for Federal Assistance Form (Form SF-424)
- B. Assurances (Form SF-424B)
- C. Certification Regarding Lobbying Form
- D. Pre-award Compliance Review Report
- E. Budget Information (SF-424A)
- F. Budget Detail
- G. Work Plan
- H. Key People List

Should you have any questions or require additional information, please contact Prudencio Aguon at (671) 647-2612 or email at [Prudencio@guamwaterworks.org](mailto:Prudencio@guamwaterworks.org).

Thank you,

Thomas Cruz, P.E.  
General Manager, Acting

Application for Federal Assistance SF-424		
<b>* 1. Type of Submission:</b> <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	<b>* 2. Type of Application:</b> <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	<b>* If Revision, select appropriate letter(s):</b> <input type="text"/> <b>* Other (Specify):</b> <input type="text"/>
<b>* 3. Date Received:</b> <input type="text"/>	<b>4. Applicant Identifier:</b> <input type="text"/>	
<b>5a. Federal Entity Identifier:</b> <input type="text"/>	<b>5b. Federal Award Identifier:</b> <input type="text"/>	
<b>State Use Only:</b>		
<b>6. Date Received by State:</b> <input type="text"/>	<b>7. State Application Identifier:</b> <input type="text"/>	
<b>8. APPLICANT INFORMATION:</b>		
<b>* a. Legal Name:</b> <input type="text" value="Guam Waterworks Authority"/>		
<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b> <input type="text" value="66-0540236"/>	<b>* c. Organizational DUNS:</b> <input type="text" value="8550202230000"/>	
<b>d. Address:</b>		
<b>* Street1:</b> <input type="text" value="578 North Corp. Drive"/>	<input type="text"/>	
<b>Street2:</b> <input type="text"/>	<input type="text"/>	
<b>* City:</b> <input type="text" value="Upper Tumon"/>	<input type="text"/>	
<b>County/Parish:</b> <input type="text"/>	<input type="text"/>	
<b>* State:</b> <input type="text" value="GU: Guam"/>	<input type="text"/>	
<b>Province:</b> <input type="text"/>	<input type="text"/>	
<b>* Country:</b> <input type="text" value="USA: UNITED STATES"/>	<input type="text"/>	
<b>* Zip / Postal Code:</b> <input type="text" value="96931-000"/>	<input type="text"/>	
<b>e. Organizational Unit:</b>		
<b>Department Name:</b> <input type="text"/>	<b>Division Name:</b> <input type="text"/>	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
<b>Prefix:</b> <input type="text" value="Mr."/>	<b>* First Name:</b> <input type="text" value="Prudencio"/>	
<b>Middle Name:</b> <input type="text"/>	<input type="text"/>	
<b>* Last Name:</b> <input type="text" value="Aguon"/>	<input type="text"/>	
<b>Suffix:</b> <input type="text"/>	<input type="text"/>	
<b>Title:</b> <input type="text" value="Grant Administrator"/>		
<b>Organizational Affiliation:</b> <input type="text" value="Guam Waterworks Authority"/>		
<b>* Telephone Number:</b> <input type="text" value="671-648-0208/9"/>	<b>Fax Number:</b> <input type="text" value="671-647-2621"/>	
<b>* Email:</b> <input type="text" value="prudencio@guamwaterworks.org"/>		

**Application for Federal Assistance SF-424**

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

F: U.S. Territory or Possession

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

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

U.S. Environmental Protection Agency, Region 9

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

66.600

CFDA Title:

Consolidated Grants

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

\* Title:

**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:**

Drinking Water and Clear Water 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="8,138,073.00"/>
* 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="8,138,073.00"/>

**\* 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:

Acting GM

**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.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Acting General Manager
APPLICANT ORGANIZATION Guam Waterworks Authority	DATE SUBMITTED July 23, 2014

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.

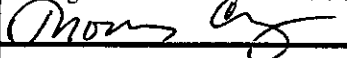
for Martin Roush, General Manager

Typed Name & Title of Authorized Representative

Thomas G. 7/24/14  
Signature and Date of Authorized Representative

### 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). <b>Guam Waterworks Authority, POB 3010, Hagatna, Guam 96932</b>		DUNS No. <b>855020223</b>
II. Is the applicant currently receiving EPA assistance? <b>Yes</b>		
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.) <b>None</b>		
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.) <b>None</b>		
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))		
VI. Is the applicant requesting EPA assistance for new construction? If no, proceed to VII; if yes, answer (a) and/or (b) below. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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). <input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
a. Do the methods of notice accommodate those with impaired vision or hearing? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
c. Does the notice identify a designated civil rights coordinator? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)) <b>Yes</b>		
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) <b>No</b>		
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. <b>No</b>		
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. <b>Yes</b>		
<b>For the Applicant/Recipient</b>		
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 <b>Acting General Manager</b>	C. Date <b>7/24/14</b>
<b>For the U.S. Environmental Protection Agency</b>		
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



**BUDGET INFORMATION - Non-Construction Programs**

<b>SECTION A - BUDGET SUMMARY</b>						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1. SDW & CW	66.600	\$	\$	\$ 8,138,073	\$	\$ 8,138,073
2.						
3.						
4.						
5. Totals		\$	\$	\$ 8,138,073	\$	\$ 8,138,073
<b>SECTION B - BUDGET CATEGORIES</b>						
Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					Total (5)
	(1)	(2)	(3)	(4)	(5)	
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual	8,138,073					8,138,073
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)	8,138,073					8,138,073
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$8,138,073	\$	\$	\$	\$	\$8,138,073
7. Program Income		\$	\$	\$	\$	\$0

**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 1 <sup>st</sup> Year	1 <sup>st</sup> Quarter	2 <sup>nd</sup> Quarter	3 <sup>rd</sup> Quarter	4 <sup>th</sup> Quarter
13. Federal	\$8,138,073	\$2,034,519	\$2,034,518	\$2,034,518	\$2,034,518
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)	\$8,138,073	\$2,034,519	\$2,034,518	\$2,034,518	\$2,034,518

**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: 8,138,073.00	22. Indirect Charges: 0.00
23. Remarks:	

Authorized for Local Reproduction

# Budget Detail

## a. PERSONNEL

POSITION	NUMBER	SALARY	WORK YEARS	AMOUNT
<b>a. Personnel Total</b>				

## b. FRINGE BENEFITS

BASE	
RATE	%
<b>b. FRINGE BENEFITS TOTAL</b>	

**c. TRAVEL** – List trips planned, destination, dates, and the amounts per trip. Please separate local travel and out-of-state travel.

TRAVEL EXPENSES	AMOUNT
<b>Explain:</b>	
<b>c. TRAVEL TOTAL:</b>	

**d. 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
<b>d. EQUIPMENT TOTAL</b>			

**e. SUPPLIES**

ITEM	NUMBER	COST PER UNIT	TOTAL
<b>e. SUPPLIES TOTAL</b>			

**f. CONTRACTUAL** [List each planned contract separately, type of service to be procured, **proposed procurement method (i.e. small purchase, sealed bids, competitive proposals)** and the estimated cost]

ITEM	PROCUREMENT METHOD	TOTAL
Contractual	Sealed bids	\$8,138,073
<b>f. CONTRACTUAL TOTAL</b>		<b>\$8,138,073</b>

**g. CONSTRUCTION (N/A)**

**h. OTHER**

ITEM	NUMBER	COST PER UNIT	TOTAL
<b>h. OTHER TOTAL</b>			

<b>i. TOTAL DIRECT COSTS</b>	<b>\$8,138,073.00</b>
<b>j. INDIRECT COSTS</b>	<b>(BASE \$ _____ x RATE _____ % = INDIRECT COSTS)</b>
<b>k. TOTAL PROPOSED COSTS</b>	<b>\$8,138,073.00</b>
<b>FEDERAL FUNDS REQUESTED</b>	<b>\$8,138,073.00</b>
<b>RECIPIENT SHARE (MATCH)</b>	
<b>RECIPIENT SHARE OF TOTAL PROPOSED COSTS</b>	<b>0%</b>
<b>FEDERAL SHARE OF TOTAL PROPOSED COSTS</b>	<b>100%</b>

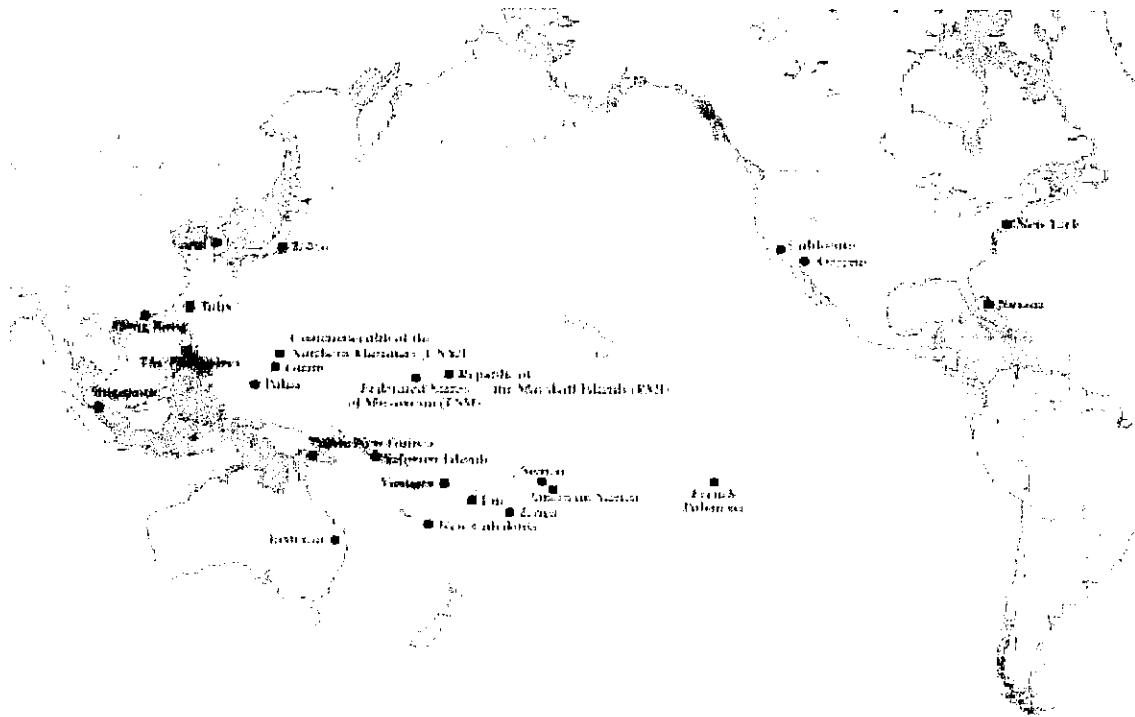
--END--

**WORK PLAN (September 2014)**  
**GUAM WATERWORKS AUTHORITY (GWA)**

**PROJECT NAME**

**Water & Wastewater System Improvements, Guam, hereafter referred to as the “Project”.**

**LOCATION**



Guam is an island territory of the United States, is located 900 miles north of the equator in the Western Pacific. Guam covers approximately 220 square miles and is the largest island in Micronesia. It is often referred to the “Gateway” to the region because major airlines utilize the island as the hub to branch out to Micronesia. It is approximately 6,000 miles from San Francisco; 3,800 miles west of Honolulu; 1,500 miles south of Japan; 1,596 miles east of the Philippines.

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## **BACKGROUND**

Guam Waterworks Authority (GWA) provides water (three public water systems) and wastewater services (seven wastewater treatment plants) to the people of Guam with a population of approximately 180,000.

Sources for the GWA drinking water system include approximately 120 wells (pumping approximately 37 mgd), 2-3 mgd raw water taken from the Ugum River, and treated at the Ugum Water Treatment Plant in southern Guam; and up to 4 mgd of purchased water from the Navy FENA WTP. Ground water is primarily extracted from the Northern Guam Lens Aquifer (NGLA) consisting of coral/karst geology which is highly vulnerable to microbial and other contamination. All wells are treated with chlorination/disinfection, and the Ugum SWTP has low-pressure membrane micro-filtration. Treated water is pumped and gravity fed to the distribution systems that include approximately 700 miles of water pipelines, 36 finished water reservoir/storage tanks, and 36 booster pump stations. Most of the well water is pumped directly into the distribution system (i.e. in general there is not a separate transmission system to storage).

GWA also provides wastewater collection and treatment for island residents of Guam and various local and federal government agencies. GWA operates seven wastewater treatment plants and its sewer collection and conveyance system with a total treatment capacity of approximately 26 mgd, 73 sewer pump stations and approximately 250 miles of sewer collection lines.

The Department of Defense (DoD) is in the middle of planning the relocation of a military Marine base from Okinawa to Guam but due changes in the U.S. strategy and the DoD announcement of the Record of Decision for the Supplemental Environmental Impact Statement to be made in 2015, the increase in population, the influx of construction workers and induced growth has yet to be determined. However, the planned military relocation from Okinawa to Guam will place additional stress on the GWA's water and wastewater infrastructure, further exacerbating compliance with the CWA and SDWA.

GWA desires to plan, design, build, operate, maintain, and manage GWA systems and facilities in a manner that provides long-term value while providing safe and reliable drinking and clean water to over 49,000 customers and meeting Guam's vision for growth and development in a sustainable manner.

Since June 2003, GWA has been subject to a Stipulated Order for violations of the Clean Water Act (CWA) and Safe Drinking Water Act (SDWA). The Order was an interim step which required GWA to take some immediate actions to address managerial, technical and operational deficiencies including implementation of short-term capital improvement projects. The Order also required GWA to develop a Drinking Water and Wastewater Master Plan, which was to form the basis for future capital improvements and serve as a roadmap for the next 20 years.



In late 2009, EPA initiated, with Department of Defense (DOD) funds, an independent assessment of GWA's master planning capabilities, which made recommendations regarding planning, prioritization and costing of capital improvement projects (CIP) operation and maintenance (O&M) of existing and future facilities, staffing needs, construction management and strategies for financing operations and CIPs. This work was completed on January 29, 2010.

GWA and EPA are now utilizing contract services to provide technical and planning support in developing and implementing GWA's CIP program. In April 8, 2011 GWA and EPA agreed on hiring consultant firm CDM Smith (Camp Dresser & McKee & Smith). The technical and planning support will improve GWA's institutional capacity in CIP planning to include but not be limited to, the following: GIS and hydraulic modeling development, project planning and prioritization, development of standard operating procedures (SOPs) for all aspects of project planning and management, cost estimating, project identification/prioritization, procurement, contract administration program, construction management, work inspection program, utility-wide asset management program including O&M program and conceptual project design development and review assistance. In addition, CDM Smith will provide technical support on specific projects.

### **Water Utilities**

The Guam Waterworks Authority's water utility is comprised of three public water systems. The Northern and Central public water systems are designated "Large" and the Southern public water system is designated "Small." The designation is based on the population served. The utility has approximately 41,000 customer connections.

Transmission and distribution are mostly combined into a common network for GWA's system. Water supply sources feed the same pipes to which service connections are made. The installed system provides severe challenges to GWA in attempting to meet the Safe Drinking Water Act (SDWA) disinfection requirements because some of the customer connections are adjacent to the wells, or close to disinfection points.

Water sources include 120 wells, 2 springs and 1 surface water, although almost three quarter of water production is derived from its wells located in the northern and central region of the island. Total water production is approximately 42 MGD including water purchases from the U.S. Navy making up about 3.5 MGD.

Treated water is pumped and gravity fed to the distribution systems that include approximately 700 miles of water pipelines, 36 finished water reservoir/storage tanks, and 36 booster pump stations. Most of the well water is pumped directly into the distribution system (i.e in general there is not a separate transmission system to storage).

### **Wastewater Utilities**

The GWA wastewater utility services Guam's general population and includes Andersen Air Force Base. The wastewater system is made up of seven wastewater basins: Agat, Umatac-Merizo, Inarajan, Baza Gardens, Northern District, Hagatna and Pago Socio.

The wastewater is comprised of 270 miles of collection lines, 77 wastewater pump stations and 7 wastewater treatment plants. The seven GWA wastewater treatment facilities, together with the collections systems, are sited on the island to collect and treat wastewater generated by significant population centers. In rural areas where the population is widespread and there is little or no risk to the environment, individual wastewater treatment and disposal system are used (e.g. cesspools and septic tanks). Approximately 41 percent of island residents live in areas that are not served by wastewater systems.

Wastewater collection pipelines system comprises approximately 236 miles of pipeline and an estimated 1,800 manholes on lines larger than 10 inch diameter. An estimated 4,000 manholes are on lines smaller than 10 inch in diameter. There are a total of seventy-seven wastewater pump stations of that twenty are submersible type and eight are ejector stations where the motive force is supplied by compressed air.

### **PROJECT GOALS & OBJECTIVES**

GWA aims to protect public health and the environment by implementing projects to improve the utility's understanding of its water and wastewater systems through new construction for the protection of public health and the environment.

The list of projects with a project cost breakdown aims on addressing water supply deficiencies through rehabilitating deficient wells. The Wastewater projects involve wastewater system improvements by constructing new pump stations to remove customers from septic systems and to increase the reliability of the wastewater collection system.

### **PROJECT COST**

The planning period is from FY2014 thru FY2018 with a total funded amount of \$8,138,073. Please refer to the Project Cost Breakdown list.

### **PROJECT PERIOD**

The project planned expenditure is from September 1, 2014 to December 31, 2018. The projects that fall under the FY2014 funds are expected to be fully constructed during the grant project and budget period.

Please refer to the Milestone Schedule.

## **ENVIRONMENTAL NARRATIVE**

- *Area Description* – The Water and Wastewater facilities are located on designated lots from Department of Land Management. The collection, transmission and distribution lines are either on public easement or road right of way. All of GWA's facilities are on public lands.

- *Shoreline, Beaches, Wetlands* – The Water Wells are located inland away from the intrusion of beach shoreline, largely are situated on hillsides and plain land. The improvements and new constructions for the Wastewater facilities are mainly of the existing disturbed facilities.
- *Vegetation and Wildlife Resources* – The Water and Wastewater projects will not have any impacts to threatened or endangered species.
- *Hazardous Toxic Substances* – The Water and Wastewater projects will not store, transport, handle, produce or dispose of any hazardous materials.
- *Streets, Traffic* – The project sites are mostly situated on a secluded dedicated land away from public traffic route.
- *Air Quality* – The construction activity will not have any significant effect on air quality within the vicinity. However, dust suppression BMPs will be exercised as appropriate.
- *Noise* – The noise level will be typical of light motorized construction equipment, transporting to and from the site and construction small tools.
- *Construction* – The project activities are mainly new well development, installing new generators to wastewater sewer pump stations.
- *Permits* – The project is fortunate from the standpoint of major construction permits, since most are located on disturbed areas.

The following are Guam Agencies that are part of the construction permitting process and are required to review and comment:

1. Bureau of Planning, Coastal Zone Management Program Office
2. Guam Environmental Protection Agency
3. Park & Recreation, Historic Preservation Office (SHPO)
4. Department of Public Works, Building Permits Section (DPW)
5. Department of Agriculture, Division of Fish and Wildlife

The standard construction specification requires the Contractor to secure all the necessary permits for the project.

The NEPA process must be completed for each project before USEPA authorizes funds to GWA and prior to commencing construction on any project. There is no guarantee that every project will receive a CatEx (Categorical Exclusion).

- *Public Notification* - GWA, upon receipt of permit application will determine if the project falls under major or minor siting category.

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- *Historical/Archaeological Properties* – There will be no surface elements of historic and/or pre-historic significance that will be impacted by the projects, however the historical clearance will be secured from the local Historical Preservation Office.

## **PROJECT IMPLEMENTATION**

### **General Project Approach**

SRF projects are identified, selected, and ranked utilizing a panel team consisting of GWA and the Guam Environmental Protection Agency. The projects are ranked primarily based on public health concerns, water resource protection and compliance issues. In addition, as the projects are prioritized, the projects are scheduled to best utilize data collection and assessment of DW and WW assets.

The Guam Waterworks Authority (GWA) follows its Procurement Regulations Guam Code Annotated Chapter 5. All projects are advertised for competitive procurement. Thereafter, the project is to be awarded to the lowest responsive and responsible bidder or qualification based selection in accordance with the procurement process of GWA.

### **Project Inspection and Management**

For infrastructure, a Construction Management (CM) firm shall be contracted for full time oversight of each project. The CM Engineer shall be responsible of preparing daily site reports. It shall be the CM firm's responsibility to keep the GWA project manager informed of the project's progress, assuring the safe construction regulations are adhered to and oversees all construction activities and ensures that all workmanship and materials (quality assurance) are as per specification, of highest quality and within cost and project schedule. The CM firm shall be contracted before finalization of the design.

For projects requiring assessments, planning, asset inventories, a Construction Management (CM) firm will also be contracted to oversee project work in accordance with the approved scope of work, specifications and quality assurance.

### **As-Built**

For construction projects, the Contractor is required to submit "As-Built" drawings to GWA and the EPA Project Officer and to maintain accuracy of the drawings during construction. An electronic as-built drawings and reproducible hard copies are usually required.

### **Operation and Maintenance**

For construction projects, the project scope requires the Contractor to submit an a "Plan of Operation" and "Operation and Maintenance Manual" of all the equipment that has to be replaced and newly installed in the water and wastewater facilities.

## **FINANCIAL PROCESS AND DOCUMENTATION**

### **Financial Management**

GWA administer all EPA Title 2 funds to provide engineering, construction and associated services in accordance with applicable Guam laws and regulations as well as USEPA requirements as cited in Title 40 of the Code of Federal Regulations (40CFR) Part 31, and Part 35, and the grant terms and conditions.

All project expenditures shall be processed through the regular GWA financial management system administered by the GWA Chief Financial Officer (CFO)'s Office. The following procedures will be followed:

- a) No contract purchases or other expenses shall be made until properly obligated and certified funds are available.
- b) No obligation can be incurred prior to allotment of funds for such obligation.
- c) GWA's Accounting Division shall maintain complete accounting documents for the project, including cash receipts and disbursement journals, payroll journals, purchase journals, and work order accounts with initial supporting documentations and other payment logs. Project financial reports shall be generated from these records on a monthly basis. GWA's CFO shall provide the construction Project Manager with a pertinent prime documents, memos, financial reports, and records of obligations and payments.
- d) The construction Project Manager/Engineer shall maintain a separate independent set of financial records for the project including all account files with all pertinent prime documents, memos, and records of obligations and payments. These records shall be reconciled monthly with proper account status reports generated by the CFO/Project Manager.
- e) All projects will be tracked separately for grant funding purposes.

### **Documentation**

In addition to the records required to be kept under the proceeding paragraphs of this section, the following non-financial documentation will be maintained:

- a) General correspondence, contract documents, bonds, permits, reports, logs, and related documents associated with vendors, contractors, and other parties involved in the project.
- b) Monthly project status and quarterly summary reports. In addition to a narrative description of project progress and problems, these reports shall quantify work-in-place, materials on hand, received and distributed, work hours paid out of the grants by individual, equipment condition, repairs and operating costs, project receipts, and expenditures during the report period.
- c) Submittal log, contractor's submittal and shop drawings.
- d) Inspector's daily reports.
- e) Photographic records of the project.
- f) Project As-Built drawings and notes, as appropriate.

## **USEPA Reporting Requirements**

The following items shall be submitted to the Project Officer (PO) for review and/or approval:

- a) All project plans, specifications and contract documents for review prior to bid solicitation.
- b) All Request For Proposals, Scope of Works as required by the grant conditions and Project Implementation Plans for each respective project.
- c) Prior to contract award, copies of bids, bonds, comparative bid tabulations, and other information supporting the basis of contractor selection shall be submitted to PO for review in accordance with 40 CFR Part 33.250.
- d) Prior to issuance of change order, copies of all change orders proposals, cost determinations, justification and other supporting documentations shall be submitted to Project Officer for approval. Change Order requests shall follow EPA or other approved guidelines.
- e) Documentation relating to any contractor disputes or claims.
- f) Final project inspections reports, final closeout reports and punch-lists from the CM.
- g) Copies of project acceptance and contractor's release of claims.
- h) Submission of quarterly project performance and progress reports in accordance with Programmatic Conditions P5.

## **Project Budget**

Please refer to the attached Workplan Project Funding Summary.

<u>FY2014 (Funding/Water &amp; Wastewater)</u>	<u>\$8,138,073</u>
Total	<u>\$8,138,073</u>

## **Grant Budget Summary**

<u>Contractual</u>	<u>\$8,138,073</u>
<b>T o t a l</b>	<u>\$8,138,073</u>

## **Programmatic Project Management Plan (PPMP)**

A Programmatic Project Management Plan (PPMP) shall be developed and submitted to the Project Officer for review and approval prior to commencement of any project to be funded by this grant. The PPMP shall evaluate all of the planning and construction projects to be funded by this consolidated grant and other relevant projects GWA will be implementing, to identify any linkages between projects that may require information, decisions, sequencing or project completion in order to successfully complete each project. The scheduling, funding, the planning and infrastructure completion requirements will be prepared in a detailed implementation plan (including budget and schedule) to move all projects forward. [As an example, the Public Water System Asset

Inventory where it is critical to understand how this information will be provided to and integrated with information technology (IT), asset management, SCADA, metering, and mapping.] The PPMP shall be submitted within ninety (90) days of approval of this workplan

### **Project Milestones and Deliverables**

EPA's GWA Programmatic Grant Conditions, P7 and P8, require that:

- “For each project describe in the Work Plan, the recipient shall submit draft Scope of Work, Request for Proposals, and/or Plans and Specifications, as appropriate...”
- For Projects described in the Work Plan that include performance of data collection, a QA Plan, or other comparable document covering QA activities must be prepared. The recipient should consult with EPA...”

### **Project Implementation Plan**

A Project Implementation Plan shall be submitted to the Project Officer for review and approval for each project GWA will be initiating in accordance to the approved PPMP. The Project Implementation Plan (PIP) shall provide a detailed scope, project schedule, and deliverables in accordance with this workplan and the programmatic conditions of the grant which are necessary to successfully complete each project. GWA will be initiating the following projects:

- New Wells To Restore Current Supply Deficiency - Well Rehab
- Chalan Pago Sewage Pump Station
- Talofofo Sewage Pump Stations

Where necessary, the PIP will also include GWA's written level of commitment and resources necessary to support tasks to be carried out by the EPA contractor to ensure successful project implementation and completion. The level of support preformed by EPA contractor is defined in Technical Assistance portion of this Workplan.

The PIP shall include deliverables identified in Tables 1 and 2 such as those listed for all types of planning or infrastructure projects:

- Project Management Plan which clearly defines the objectives of the project, provides work break down structure, total estimated cost and cost breakdown and detailed (critical path) schedule.
- Detailed Scope of Work defining protocols for executing project, and SOPs for collecting and managing data.



- 
- 
- Quality Assurance Project Plan (QAPP) defining roles and responsibilities, data quality objectives, and quality control as appropriate. QAPPs should follow EPA Guidance.

In addition, the PIP will incorporate milestones for deliverables specific to the project contained in Tables 1 or 2, as appropriate.

Prior to submission to the EPA Project Officer, GWA shall have a third party review of each PIP to perform a review of the assumptions, analysis, and recommendations for each project or GWA may contract out the development of the PIP to a qualified firm. The third party will review all documents included as part of the PIP and make recommendations to ensure the adequacy of the assumptions, analysis, schedule, estimated costs and scope of the project. GWA will provide a copy of the third party's recommendations with PIP.

Upon approval of the PIP by the Project Officer, GWA may implement the project per the approved PIP.

Tables 1 and 2 identify milestones/deliverables for the specific water and wastewater projects. The abbreviation *TM* (Technical Memorandum) is used throughout this table to represent a deliverable prepared specifically for a milestone review. Tables 1 and 2 include columns identifying:

- Project/Type – Specific Project or whether the project is Planning or Infrastructure (construction)
- EPA Work Plan Document Section - the section in the Work Plan where the milestones might be included, or added
- Milestone/Deliverable – Document that should require external review

All projects in Tables 1 and 2 below include the following Milestones/Deliverables:

- Project Management Plan which clearly defines the objectives of the project, provides Work Break Down structure and detailed (critical path) schedule.
- Detailed Scope of Work defining protocols for executing project, and SOPs for collecting and managing data.
- Quality Assurance Project Plan (QAPP) defining roles and responsibilities, data quality objectives, and quality control. QAPPs should follow EPA Guidance.
- Quality Management reports and corrective actions.
- Draft and Final Project Reports and complete data summary.

**Table 1. Drinking Water Projects (Interim Milestones and Deliverables)**

Description of Project/Work Plan Goals/Tasks	Estimated Start and End Dates	Deliverables/Interim Milestones	Estimated Project Cost	Responsible Staff
<p>1) <b>New Wells to Restore Current Supply Deficiency – Well Rehabilitation</b> – To address current water supply deficiencies in Guam and project public health, GWA will renovate up to four deepwells, including demolition work, new piping, drilling a new pilot hole, new pump and motor, new electrical system, and new well casing and screen.</p>	<p><b>Project duration: 23 months</b></p>	<p>The project will be procured through a design-bid-built.</p>	<p><b>\$5,000,000</b></p>	<p><b>GWA CIP Engr</b></p>
<p><b>Task 1: Well Exploration</b></p>	<p>6 months</p>	<p>Contractor will be responsible for permits and clearances obtain site access and prepare site for construction. Study (comment &amp; review) completion. Preparation of contract document for construction</p>	<p><b>\$275,000 (\$55,000 per well)</b></p>	<p><b>GWA CIP Engr</b></p>
<p><b>Task 2: Design</b></p>	<p>6 months</p>	<p>TM Basis of design, data gathering, preparation of contract document, USEPA approval. USEPA contract approval issue Notice to Proceed to contractor, project begins. Upon design completion (60% design) GWA will prepare document to procure a Contractor for construction. USEPA contract approval.</p>	<p><b>\$1,000,000</b></p>	<p><b>GWA CIP Engr</b></p>
<p><b>Task 3: Construction</b></p>	<p>11 months</p>	<p>Procurement of contractor for constructions and construction manager to oversee project and document milestones. Construction will be based on results from exploratory study, a cost benefit analysis and availability of grant funds. <b>USEPA &amp; GWA Approval:</b> Change Orders, O&amp;M manuals, testing and commissioning.</p>	<p><b>\$3,725,000</b></p>	<p><b>GWA CIP Engr</b></p>

**Table 2. Wastewater Projects (Interim Milestones and Deliverables)**

Description of Project/Work Plan Goals/Tasks	Estimated Start and End Dates	Deliverables/Interim Milestones	Estimated Project Cost	Responsible Staff
<p>1) <b>Chalan Pago Wastewater Pump Station</b> – To design and construct gravity collection lines, a sewage pump station, and a force main that are needed to service a small group of homes in the Chalan Pago Village that are currently on septic systems.</p> <p><b>Task 1: Design</b></p>	<p>Project duration: 16 months</p> <p>6 months</p>	<ul style="list-style-type: none"> <li>• The project will be procured through a design-bid-built.</li> <li>• TM Basis of design, data gathering, preparation of contract document, USEPA approval.</li> <li>• USEPA contract approval issue Notice to Proceed to contractor, project begins.</li> <li>• Upon design completion (60% design) GWA will prepare document to procure a Contractor for construction. USEPA contract approval.</li> </ul>	<p>\$1,000,000</p> <p>\$50,000</p>	<p>GWA CIP Engr</p> <p>GWA CIP Engr</p>
<p><b>Task 2: Construction</b></p>	<p>9 months</p>	<ul style="list-style-type: none"> <li>• Procurement of contractor for constructions and construction manager to oversee project and document milestones.</li> <li>• <b>USEPA &amp; GWA Approval:</b> Construction, Change Orders, O&amp;M manuals, testing and commissioning.</li> <li>• GWA operators will be trained to operate and maintain the pump station in accordance with the O&amp;M manual.</li> </ul>	<p>\$950,000</p>	<p>GWA CIP Engr</p>
<p><b>Task 3: Training</b></p>	<p>1 month</p>			<p>GWA CIP Engr</p>

Description of Project/Work Plan Goals/Tasks	Estimated Start and End Dates	Deliverables/Interim Milestones	Estimated Project Cost	Responsible Staff
<p>2) <b>Talofofo Wastewater Pump Stations</b> – Project to design and construct gravity collection lines, four sewage pump stations, and force mains that are needed to complete an unfinished wastewater collection system in the Talofofo Village that are currently on septic systems.</p> <p><b>Task 1: Design</b></p>	<p>Project duration: 16 months</p> <p>6 months</p>	<ul style="list-style-type: none"> <li>• The project will be procured through a design-bid-built.</li> <li>• TM Basis of design, data gathering, preparation of contract document, USEPA approval.</li> <li>• USEPA contract approval issue Notice to Proceed to contractor, project begins.</li> <li>• Upon design completion (60% design) GWA will prepare document to procure a Contractor for construction. USEPA contract approval.</li> </ul>	<p>\$2,138,073</p> <p>\$100,000</p>	<p>GWA CIP Engr</p> <p>GWA CIP Engr</p>
<p><b>Task 2: Construction</b></p>	<p>9 months</p>	<ul style="list-style-type: none"> <li>• Procurement of contractor for constructions and construction manager to oversee project and document milestones.</li> <li>• <b>USEPA &amp; GWA Approval:</b> Construction, Change Orders, O&amp;M manuals, testing and commissioning.</li> </ul>	<p>\$2,038,073</p>	<p>GWA CIP Engr</p>
<p><b>Task 3: Training</b></p>	<p>1 months</p>	<ul style="list-style-type: none"> <li>• GWA operators will be trained to operate and maintain the pump station in accordance with the O&amp;M manual.</li> </ul>		<p>GWA CIP Engr</p>



## KEY CONTACTS FORM

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

Name: Martin L. Roush, P.E.  
 Title: General Manager  
 Complete Address: P.O. Box 3010  
Hagatna, Guam 96932  
 Phone Number: 671-647-2603

**Payee:** *Individual authorized to accept payments.*

Name: Greg Cruz  
 Title: Chief Financial Officer  
 Mail Address: P.O. Box 3010  
Hagatna, Guam 96932  
 Phone Number: 671-647-2583

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

Name: Prudencio F. Aguon  
 Title: Grants Administrator  
 Mailing Address: P.O. Box 3010  
Hagatna, Guam 96932  
 Phone Number: 671-648-0208/9  
 FAX Number: 671-647-2621  
 E-Mail Address: prudencio@guamwaterworks.org

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

Name: Thomas Cruz, P.E.  
 Title: Chief Engineer  
 Mailing Address: P.O. Box 3010  
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