

SECTION I - GENERAL GRANT INFORMATION

¹ Grant #: 06130-UCF-CFC-16-03		² Original <input checked="" type="checkbox"/>		Amendment #	
³ Grant Title: Communities Caring for Canopy					
⁴ Amount Previously Awarded: \$0.00		⁵ Amount Awarded This Action: \$ 1,000.00		⁶ Total Award Amount: \$ 1,000.00	
⁷ Award Start Date: July 1, 2016		⁸ Award End Date: June 30, 2017		⁹ Subrecipient Award: YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>	
¹⁰ Vendor #: 0000040109		¹¹ Grantee Name: Town of Charlotte			
¹² Grantee Address: PO Box 119					
¹³ City: Charlotte			¹⁴ State: VT		¹⁵ Zip Code: 05445
¹⁶ State Granting Agency: Forests, Parks and Recreation				¹⁷ Business Unit: 06130	
¹⁸ Performance Measures: YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>		¹⁹ Match/In-Kind: \$ Description:			
²⁰ If this action is an amendment, the following is amended: Amount: Funding Allocation: Performance Period: <input type="checkbox"/> Scope of Work: <input type="checkbox"/> Other: <input type="checkbox"/>					

SECTION II - SUBRECIPIENT AWARD INFORMATION

²¹ Grantee DUNS #: 028790046		²² Indirect Rate: 0% <small>(Approved rate or de minimis 10%)</small>		²³ FFATA: YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>	
²⁴ Grantee Fiscal Year End Month (MM format): June		²⁵ R&D: No			
²⁶ DUNS Registered Name (if different than VISION Vendor Name in Box 11):					

SECTION III - FUNDING ALLOCATION

STATE FUNDS

Fund Type	²⁷ Awarded Previously	²⁸ Award This Action	²⁹ Cumulative Award	³⁰ Special & Other Fund Descriptions
General Fund	\$0.00	\$0.00	\$0.00	
Special Fund			\$0.00	
Global Commitment (non-subrecipient funds)			\$0.00	
Other State Funds			\$0.00	

FEDERAL FUNDS

(includes subrecipient Global Commitment funds)

Required Federal Award Information

³¹ CFDA#	³² Program Title	³³ Awarded Previously	³⁴ Award This Action	³⁵ Cumulative Award	³⁶ FAIN	³⁷ Fed Award Date	³⁸ Total Federal Award
10.664	Cooperative Forestry Assistance	\$0.00	\$1,000.00	\$1,000.00	16-DG-11420004-TBD		\$189,200.00
³⁹ Federal Awarding Agency: US Forest Service			⁴⁰ Federal Award Project Descr: Urban and Community Forestry				
			\$0.00				
Federal Awarding Agency:			Federal Award Project Descr:				
			\$0.00				
Federal Awarding Agency:			Federal Award Project Descr:				
			\$0.00				
Federal Awarding Agency:			Federal Award Project Descr:				
			\$0.00				
Federal Awarding Agency:			Federal Award Project Descr:				
Total Awarded - All Funds		\$0.00	\$1,000.00	\$1,000.00			

SECTION IV - CONTACT INFORMATION

⁴¹ STATE GRANTING AGENCY: ANR Dept. Forests, Parks & Recreation		⁴² GRANTEE: Town of Charlotte	
NAME: Danielle Fitzko		NAME: Mark Dillenbeck	
TITLE: UCF Program Manager		TITLE:	
PHONE: 802-598-9992		PHONE: 802-355-0407	
EMAIL: Danielle.Fitzko@vermont.gov		EMAIL: mark@ocmq.com	

Contact persons:

Subrecipient Program Contact:

Name: **Mark Dillenbeck**
Phone: **802-355-0407**
E-mail Address: **mark@ocmga.com**

Subrecipient’s Fiscal Contact:

Name: **Mary Mead**
Phone: **802-425-3071**
E-mail Address: **mary@townofcharlotte.com**

State’s Program Contact:

Name: Danielle Fitzko, UCF Program Manager
Phone: 802-598-9992
E-mail Address: danielle.fitzko@vermont.gov

State’s Fiscal Contact:

Name: Kristin Freeman, Financial Manager
Phone: 802-522-0730
E-mail Address: kristin.freeman@vermont.gov

9. Attachments: This grant consists of **17** pages including the following attachments that are incorporated herein:

- Attachment A – Scope of Work to be Performed
- Attachment B – Budget and Payment Provisions
- Attachment C – Standard State Provisions for Grants
- Attachment D – Certification Regarding Drug-Free Workplace Requirements (Grants)
- Attachment E – Certification Regarding Debarment, Suspension and Other Responsibility Matters – Primary Covered Transactions
- Attachment F – Tree Planting Specifications

11. Order of Precedence: Any ambiguity, conflict or inconsistency in the Grant Document shall be resolved according to the following order of precedence:

- 1) Grant Agreement Part 1 and Part 2
- 2) Attachment C
- 3) Attachment D
- 4) Attachment E
- 5) Attachment A
- 6) Attachment B
- 7) Attachment F

WE, THE UNDERSIGNED PARTIES, AGREE TO BE BOUND BY THIS GRANT.

STATE OF VERMONT

SUBRECIPIENT

By:

By:

Michael C. Snyder, Commissioner

Name: (Print) _____

Dept. of Forests, Parks & Recreation

Title: _____

Date: _____

Date: _____

ATTACHMENT A

SCOPE OF WORK TO BE PERFORMED

- 1) Plant trees in accordance with the Tree Planting Specifications in Attachment F.
- 2) Hold a tree planting celebration.

Grant Requirements and Deliverables

The Subrecipient shall perform the activities as described above. In carrying out the project, the Subrecipient shall:

1. Submit, upon completion of the project, the budget and reporting documentation as outlined in Attachment B.
2. Maintain all documents, papers, accounting records and other evidence pertaining to the cost incurred under this Agreement and to make them available to the State for inspection for a period of three years.
3. Credit the Vermont Department of Forests, Parks and Recreation, Urban and Community Forestry Program in any material or publicity.

ATTACHMENT B

BUDGET AND PAYMENT PROVISIONS

1. The State shall pay the Subrecipient \$1,000.00 upon completion of and acceptance of the work by the State.
2. The Subrecipient shall submit to the State, no later than July 31, 2017, a final report on the project activities. This report shall include the following:
 - a. Written list of expenditures, comparing proposed budget outlined in grant application to actual expenditures.
 - b. A short, up to one page, written story about the project with photo documentation of the planting and celebration to be used by the Vermont Urban and Community Forestry Program to share the project. Possible uses include: social media, e-newsletter, blog post, website and printed material.
3. If the work described in any invoice as provided by the Subrecipient, has not been completed to the satisfaction of the State, as determined by the Grant Manager, the State reserves the right to withhold payment until the invoiced work has been satisfactorily completed. Overdue balances resulting from non-payment for unsatisfactory work will not be subject to interest or finance charges.
4. Any additional funds required to complete the project activities will be the responsibility of the Subrecipient to obtain. If the total cost of the completed project is less than the original agreed upon amount, the final payment will be reduced proportionally.
5. The State shall not be responsible for any other expenses of the Subrecipient.
6. The Grantee agrees to maintain records of cost of work for three (3) years from the end of the grant period.
7. Invoices shall be addressed to:

ATTN: Danielle Fitzko, UCF Program Manager
Vermont Department of Forests, Parks and Recreation
Agency of Natural Resources
1 National Life Drive, Davis 2
Montpelier, VT 05620-3801
8. Payment Terms for this grant will be net 30 from date of invoice in accordance with State of Vermont Finance and Management Policy #5.0 Dated June 2008.
9. Upon determination that the project activities have been successfully completed as outlined in Attachment A and upon receipt by the State of the Subrecipient's reporting documentation, the State will make the final payment as outlined in Attachment B. If the aforementioned conditions cannot be met by July 31, 2017, the Subrecipient must request from the State, in writing, an extension, one-month prior to the close-out date.

ATTACHMENT C
STANDARD STATE PROVISIONS FOR CONTRACTS AND GRANTS
(9-1-2015)

1. **Entire Agreement:** This Agreement, whether in the form of a Contract, State Funded Grant, or Federally Funded Grant, represents the entire agreement between the parties on the subject matter. All prior agreements, representations, statements, negotiations, and understandings shall have no effect.
2. **Applicable Law:** This Agreement will be governed by the laws of the State of Vermont.
3. **Definitions:** For purposes of this Attachment, "Party" shall mean the Contractor, Grantee or Subrecipient, with whom the State of Vermont is executing this Agreement and consistent with the form of the Agreement.
4. **Appropriations:** If this Agreement extends into more than one fiscal year of the State (July 1 to June 30), and if appropriations are insufficient to support this Agreement, the State may cancel at the end of the fiscal year, or otherwise upon the expiration of existing appropriation authority. In the case that this Agreement is a Grant that is funded in whole or in part by federal funds, and in the event federal funds become unavailable or reduced, the State may suspend or cancel this Grant immediately, and the State shall have no obligation to pay Subrecipient from State revenues.
5. **No Employee Benefits For Party:** The Party understands that the State will not provide any individual retirement benefits, group life insurance, group health and dental insurance, vacation or sick leave, workers compensation or other benefits or services available to State employees, nor will the state withhold any state or federal taxes except as required under applicable tax laws, which shall be determined in advance of execution of the Agreement. The Party understands that all tax returns required by the Internal Revenue Code and the State of Vermont, including but not limited to income, withholding, sales and use, and rooms and meals, must be filed by the Party, and information as to Agreement income will be provided by the State of Vermont to the Internal Revenue Service and the Vermont Department of Taxes.
6. **Independence, Liability:** The Party will act in an independent capacity and not as officers or employees of the State.

The Party shall defend the State and its officers and employees against all claims or suits arising in whole or in part from any act or omission of the Party or of any agent of the Party. The State shall notify the Party in the event of any such claim or suit, and the Party shall immediately retain counsel and otherwise provide a complete defense against the entire claim or suit.

After a final judgment or settlement the Party may request recoupment of specific defense costs and may file suit in Washington Superior Court requesting recoupment. The Party shall be entitled to recoup costs only upon a showing that such costs were entirely unrelated to the defense of any claim arising from an act or omission of the Party.

The Party shall indemnify the State and its officers and employees in the event that the State, its officers or employees become legally obligated to pay any damages or losses arising from any act or omission of the Party.

7. **Insurance:** Before commencing work on this Agreement the Party must provide certificates of insurance to show that the following minimum coverages are in effect. It is the responsibility of the Party to maintain current certificates of insurance on file with the state through the term of the Agreement. No warranty is made that the coverages and limits listed herein are adequate to cover and protect the interests of the Party

for the Party's operations. These are solely minimums that have been established to protect the interests of the State.

Workers Compensation: With respect to all operations performed, the Party shall carry workers' compensation insurance in accordance with the laws of the State of Vermont.

General Liability and Property Damage: With respect to all operations performed under the contract, the Party shall carry general liability insurance having all major divisions of coverage including, but not limited to:

Premises - Operations
Products and Completed Operations Personal Injury
Liability
Contractual Liability

The policy shall be on an occurrence form and limits shall not be less than:

\$1,000,000 Per Occurrence
\$1,000,000 General Aggregate
\$1,000,000 Products/Completed Operations Aggregate
\$ 50,000 Fire/ Legal/Liability

Party shall name the State of Vermont and its officers and employees as additional insureds for liability arising out of this Agreement.

Automotive Liability: The Party shall carry automotive liability insurance covering all motor vehicles, including hired and non-owned coverage, used in connection with the Agreement. Limits of coverage shall not be less than: \$1,000,000 combined single limit.

Party shall name the State of Vermont and its officers and employees as additional insureds for liability arising out of this Agreement.

8. **Reliance by the State on Representations:** All payments by the State under this Agreement will be made in reliance upon the accuracy of all prior representations by the Party, including but not limited to bills, invoices, progress reports and other proofs of work.
9. **Requirement to Have a Single Audit:** In the case that this Agreement is a Grant that is funded in whole or in part by federal funds, the Subrecipient will complete the Subrecipient Annual Report annually within 45 days after its fiscal year end, informing the State of Vermont whether or not a Single Audit is required for the prior fiscal year. If a Single Audit is required, the Subrecipient will submit a copy of the audit report to the granting Party within 9 months. If a single audit is not required, only the Subrecipient Annual Report is required.

For fiscal years ending before December 25, 2015, a Single Audit is required if the subrecipient expends \$500,000 or more in federal assistance during its fiscal year and must be conducted in accordance with OMB Circular A-133. For fiscal years ending on or after December 25, 2015, a Single Audit is required if the subrecipient expends \$750,000 or more in federal assistance during its fiscal year and must be conducted in accordance with 2 CFR Chapter I, Chapter II, Part 200, Subpart F. The Subrecipient Annual Report is required to be submitted within 45 days, whether or not a Single Audit is required.

10. **Records Available for Audit:** The Party shall maintain all records pertaining to performance under this agreement. "Records" means any written or recorded information, regardless of physical form or

characteristics, which is produced or acquired by the Party in the performance of this agreement. Records produced or acquired in a machine readable electronic format shall be maintained in that format. The records described shall be made available at reasonable times during the period of the Agreement and for three years thereafter or for any period required by law for inspection by any authorized representatives of the State or Federal Government. If any litigation, claim, or audit is started before the expiration of the three year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.

11. Fair Employment Practices and Americans with Disabilities Act: Party agrees to comply with the requirement of Title 21V.S.A. Chapter 5, Subchapter 6, relating to fair employment practices, to the full extent applicable. Party shall also ensure, to the full extent required by the Americans with Disabilities Act of 1990, as amended, that qualified individuals with disabilities receive equitable access to the services, programs, and activities provided by the Party under this Agreement. Party further agrees to include this provision in all subcontracts.

12. Set Off: The State may set off any sums which the Party owes the State against any sums due the Party under this Agreement; provided, however, that any set off of amounts due the State of Vermont as taxes shall be in accordance with the procedures more specifically provided hereinafter.

13. Taxes Due to the State:

- a. Party understands and acknowledges responsibility, if applicable, for compliance with State tax laws, including income tax withholding for employees performing services within the State, payment of use tax on property used within the State, corporate and/or personal income tax on income earned within the State.
- b. Party certifies under the pains and penalties of perjury that, as of the date the Agreement is signed, the Party is in good standing with respect to, or in full compliance with, a plan to pay any and all taxes due the State of Vermont.
- c. Party understands that final payment under this Agreement may be withheld if the Commissioner of Taxes determines that the Party is not in good standing with respect to or in full compliance with a plan to pay any and all taxes due to the State of Vermont.
- d. Party also understands the State may set off taxes (and related penalties, interest and fees) due to the State of Vermont, but only if the Party has failed to make an appeal within the time allowed by law, or an appeal has been taken and finally determined and the Party has no further legal recourse to contest the amounts due.

14. Child Support: (Applicable if the Party is a natural person, not a corporation or partnership.)
Party states that, as of the date the Agreement is signed, he/she:

- a. is not under any obligation to pay child support; or
- b. is under such an obligation and is in good standing with respect to that obligation; or
- c. has agreed to a payment plan with the Vermont Office of Child Support Services and is in full compliance with that plan.

Party makes this statement with regard to support owed to any and all children residing in Vermont. In addition, if the Party is a resident of Vermont, Party makes this statement with regard to support owed to any and all children residing in any other state or territory of the United States.

15. Sub-Agreements: Party shall not assign, subcontract or subgrant the performance of this Agreement or any portion thereof to any other Party without the prior written approval of the State. Party also agrees to include in all subcontract or subgrant agreements a tax certification in accordance with paragraph 13 above.

- 16. No Gifts or Gratuities:** Party shall not give title or possession of anything of substantial value (including property, currency, travel and/or education programs) to any officer or employee of the State during the term of this Agreement.
- 17. Copies:** All written reports prepared under this Agreement will be printed using both sides of the paper.
- 18. Certification Regarding Debarment:** Party certifies under pains and penalties of perjury that, as of the date that this Agreement is signed, neither Party nor Party's principals (officers, directors, owners, or partners) are presently debarred, suspended, proposed for debarment, declared ineligible or excluded from participation in federal programs, or programs supported in whole or in part by federal funds. Party further certifies under pains and penalties of perjury that, as of the date that this Agreement is signed, Party is not presently debarred, suspended, nor named on the State's debarment list at: <http://bgs.vermont.gov/purchasing/debarment>
- 19. Certification Regarding Use of State Funds:** In the case that Party is an employer and this Agreement is a State Funded Grant in excess of \$1,001, Party certifies that none of these State funds will be used to interfere with or restrain the exercise of Party's employee's rights with respect to unionization.
- 20. Internal Controls:** In the case that this Agreement is an award that is funded in whole or in part by Federal funds, in accordance with 2 CFR Part II, §200.303, the Party must establish and maintain effective internal control over the Federal award to provide reasonable assurance that the Party is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and the "Internal Control Integrated Framework", issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- 21. Mandatory Disclosures:** In the case that this Agreement is an award funded in whole or in part by Federal funds, in accordance with 2CFR Part II, §200.113, Party must disclose, in a timely manner, in writing to the State, all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Failure to make required disclosures may result in the imposition of sanctions which may include disallowance of costs incurred, withholding of payments, termination of the Agreement, suspension/debarment, etc.
- 22. Conflict of Interest:** Party must disclose in writing any potential conflict of interest in accordance with Uniform Guidance §200.112, Bulletin 5 Section X and Bulletin 3.5 Section IV.B.

(End of Standard Provisions)

ATTACHMENT D

U.S. DEPARTMENT OF AGRICULTURE

**Certification Regarding
Drug-Free Workplace Requirements (Grants)
Alternative I - for Grantees other than Individuals**

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 *et. seq.*), 7 CFR Part 3017, Subpart F, Section 3017.600, Purpose. The January 31, 1989 regulations were amended and published as Part II of the May 25, 1990 *Federal Register* (pages 21681-21691). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the grant.

**(BEFORE COMPLETING CERTIFICATION,
READ INSTRUCTIONS AT THE END OF THIS ATTACHMENT)**

Alternative I

- A. The grantee certifies that it will or will not continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about –
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will –
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
 - (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction.
 - (f) Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a

central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(g) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted –

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement or other appropriate agency;

(h) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, State, zip code)

Check ____ if there are workplaces on file that are not identified here.

Town of Charlotte
Organization

06130-UCF-CFC-16-03
Award Number or Project Name

Name and Title of Authorized Representative

Signature

Date

Form AD-1049 (2/93)

Instructions for Certification

1. By signing and submitting this form, the grantee is providing the certification set out on pages 1 in accordance with these instructions.
2. The certification set out on pages 1 and 2 is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph 3).
6. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled" substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal drug statute involving the manufacture, distribution, dispensing, use or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant including: (i) all "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

**ATTACHMENT E
U.S. DEPARTMENT OF AGRICULTURE**

**Certification Regarding Debarment, Suspension, and Other
Responsibility Matters - Primary Covered Transactions**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR Part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989 Federal Register (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the proposed covered transaction.

**(BEFORE COMPLETING CERTIFICATION,
READ INSTRUCTIONS ON FOLLOWING TWO PAGES)**

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its 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 or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Town of Charlotte	06130-UCF-CFC-16-03
Organization Name	PR/Award Number or Project Name

Name(s) and Title(s) of Authorized Representative(s)

Signature(s)

Date

Instructions for Certification

1. By signing and submitting this form, the prospective primary participant is providing the certification set out on the reverse side in accordance with these instructions.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out on this form. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
5. The prospective primary participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
6. The prospective primary participant further agrees by submitting this form that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Form AD-1047 (1/92)

ATTACHMENT F
**TREE PLANTING SPECIFICATIONS FOR
"COMMUNITIES CARING FOR CANOPY" GRANTS**

Part 1. General

1.1 Scope of Work

1.1.1 Planting trees

1.1.2 Initial maintenance and guarantee of plant materials

1.2 Quality and Performance Assurances

1.2.1 The Grantee shall furnish all contractors with a copy of these specifications, and all contractors must read, sign one copy, and agree to follow specifications outlined.

1.2.2 The Grantee shall inspect work periodically to insure that all specifications are adhered to. Changes in specifications can be made only after approval from the Urban and Community Forestry Program.

1.2.3 Grantee shall insure that contractor's use all means necessary to protect all materials before, during and after installation including proper storage. Follow the manufacturer's recommended procedures for unloading, storage and installation where applicable.

1.2.4 Plant materials shall be in accordance with the American Standard for Nursery Stock, ANSI Z60-1-1990, as defined by the American Association of Nurserymen.

1.3 Warranty

1.3.1 All plant material shall remain alive and be in a healthy, vigorous condition for a minimum period of three years after completion of the entire project.

1.3.2 Replace, in accordance with the drawings and specifications, all plants that are dead or, as determined by the Grantee or staff with the Urban and Community Forestry Program, are in an unhealthy or unsightly condition. Grantee or contractor shall bear the cost of replacement(s).

Part 2. Products

2.1 Plant Materials

2.1.1 Plant material shall conform to American Standard for Nursery Stock, ANSI Z60.1.

2.1.2 Plants shall be true to species and variety specified and nursery grown in accordance with good horticultural practices under climatic conditions similar to those in the locality of the project for at least two years. They shall have been freshly dug, oversized balled, and be of the form necessary to meet design standards. They shall be sound, healthy, vigorous, well-branched and densely foliated when in leaf and free of disease and insects (eggs or larvae). They shall have healthy, well-developed root systems and shall be free from physical damage or other conditions that would prevent thriving growth.

2.1.3 Plants shall not be heavily pruned before delivery. Trees with multiple leaders, unless specified, will be rejected. Trees with damaged or crooked leader, abrasion of bark, sunscald, disfiguring knots, insect damage, or cuts of limbs over 3/4" (2 cm) in diameter that are not completely callused should be rejected.

2.1.4 Plants shall conform to the measurements specified, except for plants larger than those specified. If larger plants are used, the root ball shall be increased in proportion to the size of the plant. Caliper measurements shall be taken on the trunk 6" (15 cm) above the natural ground line. Height and spread dimensions specified refer to the main body of the plant and not

from branch tip to branch tip. Plants shall be measured when branches are in their normal position. If a range of size is given, no plant shall be less than the minimum size specified. Balled and burlaped trees shall be a minimum of 2" caliper.

2.1.5 All plants shall be labeled by plant name and size. Labels shall be attached securely to all plants, bundles and containers of plant materials when delivered. Plant labels shall be durable and legible, with information given in weather-resistant ink or embossed process lettering.

2.2 Guying, Staking and Wrapping Materials (OPTIONAL)

2.2.1 Wood Stakes shall be sound, uniform, hardwood, redwood or cedar. Wood stakes shall be, a minimum 2" section, 6' long and pointed at one end. Ground anchors, if specified, shall be arrowhead shaped earth anchors of malleable iron castings, aluminum castings, or stamped steel. Support ties shall be 2" or wider bands of polypropylene, or elasticized or webbed strapping. Wrapping materials shall be a standard manufactured tree wrapping paper.

2.3 Mulch

2.3.1 Mulch shall be 6 months old well rotted bark mulch not larger than 4" in length and ½" in width, free from woodchips, sawdust, or twigs.

Part 3. Execution

3.1 Digging and Handling Plant Materials

3.1.1 Plants are to be dug with firm, natural balls of earth of diameter not less than that recommended in the Tree and Shrub Transplanting Manual as published by the International Society of Arboriculture, and of sufficient depth to include fibrous and feeding roots. Plants will not be accepted if the ball is dry, cracked or broken before or during planting operation. The root flare shall be within the top 2" of the soil ball.

3.2 Excavation

3.2.1 Tree pits are to be excavated no deeper than the depth of the root ball and three (3) times the diameter of the root ball.

3.2.2 Sub-grade soils shall be separated from the upper topsoil and if of poor quality, replaced with topsoil when backfilling. Sub-grade soil in pits shall be left undisturbed.

3.2.3 If tree pits are excavated with mechanical equipment, scarify the sidewalls and bottom prior to planting. Care shall be exercised to reduce soil compaction on site.

3.3 Planting Operations

3.3.1 Plants must be protected at all times from sun or drying winds. Plants that cannot be planted immediately on delivery shall be kept in the shade, well-protected with soil, covered with wet mulch or other acceptable material, and kept well watered. Plants shall not remain unplanted any longer than three days after delivery to the site. Plants shall not be bound with wire or rope so as to damage the bark or break branches. Plants shall be lifted and handled with suitable support of the soil ball to avoid damage.

3.3.2 Plants shall be set at the same relationship to finish grade as they were to the ground from which they were dug. Plants must be set plumb and braced rigidly in position until prepared topsoil has been tamped solidly around the ball and roots. Plants shall be set so that they will be the same depth one year. Care should be taken to ensure that root ball has not been covered

above root flare during the nursery cultivation. Briefly remove burlap to inspect root ball prior to setting in hole to determine proper hole depth.

- 3.3.3** Ropes, strings and wrapping from the top 2/3 of the ball are to be removed after the plant has been set. The balance of the wrappings are to be left intact under the ball. All waterproof or non-degradable wrappings shall be removed from the ball. Wire baskets shall be cut and removed from the top 2/3 of ball.
- 3.3.4** Plant pits shall be backfilled with on-site excavated material unless directed otherwise. When pits are approximately 2/3 full, they shall be thoroughly watered to eliminate air pockets. After this initial watering, topsoil is to be installed to the top of pit and watered. Puddled soil conditions are to be avoided.
- 3.3.5** Planting areas are to be finish-graded to conform to grades after full settlement has occurred.
- 3.3.6** Plantings shall receive a 3" (10 cm) layer of shredded bark mulch in minimum of a 24" diameter circle around the -trunk of the tree.
- 3.3.7** Plants shall be thoroughly watered immediately after planting.

3.4 Staking/Guying, Wrapping and Pruning (OPTIONAL)

- 3.4.1** Staking shall be done only if the tree requires support in strong winds or protection from equipment, vehicles or vandals. If staking is necessary, stakes of non-rusting metal or untreated wood shall be driven outside the root ball and attached to the tree with broad straps, not wires, about six inches above the lowest level at which the trunk can be held and still return upright after the top is deflected. The Contractor shall be responsible for removing, staking and guying materials no later than one year after planting.
- 3.4.2** Trees shall not be wrapped except in extreme weather zones or where reflective heat could be a problem. Wrapping shall only be used during, the winter months. It is the responsibility of the Contractor to remove the wrap in the spring.
- 3.4.3** Plants shall not be pruned at the time of planting except to remove broken or crossing branches. Broken or crossing branches shall be pruned with a sharp tool and in a manner to retain and encourage the plant's natural growth characteristics. The crown of a young tree should not be cut back to compensate for root loss. Wound paint or dressing shall not be used.

3.5 Maintenance of Plant Materials

- 3.5.1** Maintenance shall consist of pruning, watering, cultivating, weeding, mulching, tightening and repairing straps and stakes, stake and wrap removal after one growing season, resetting plants to proper grades or upright position, and furnishing and applying such sprays or other materials as are necessary to keep plantings free of insects and disease and in healthy and thriving condition.

3.6 Guarantee Period and Replacements

- 3.6.1** The guarantee period for plant materials shall begin at the date of planting.
- 3.6.2** The contractor shall guarantee all plant material to be in healthy and thriving condition for a minimum period of three years from the date of acceptance.
- 3.6.3** The Contractor shall replace, without cost and as soon as weather conditions permit, and within a specified planting period, all plants determined by the supervisor to be dead or dying during the guarantee period. Plants with dead or dying branches or branch tips, or with foliage showing abnormal density, size or color shall be replaced. Replacements shall be subject to requirements stated in this specification.
- 3.6.4** The guarantee of all replacement plants shall extend for an additional minimum period of one year from the date of their acceptance after replacement. In the event that a replacement plant

is not acceptable during the extended guarantee period, the supervisor may elect subsequent replacement or credit for that item.

3.7 Planting Season

- 3.7.1** All deciduous material shall have been dug when dormant and prior to bud swelling.
- 3.7.2** All conifers shall be dug in the spring, prior to bud elongation or in late summer after new growth has hardened off.
- 3.7.3** Planting should take place as soon as possible after trees have been dug. Typically, planting season shall be from April 15 through June 15, depending upon the region.
- 3.7.4** Although discouraged, summer planting may be performed, however it will be the responsibility of the contractor to provide proper irrigation. Softwoods need 30 days of frost free weather.

3.8 Plant Establishment

- 3.8.1** It is the responsibility of the Contractor to ensure the resumption and continued growth of transplanted material.
- 3.8.2** The Contractor shall make periodic inspections, at no extra cost, during the guarantee period to determine what changes, if any, should be made in the maintenance program.

3.9 Watering and Care

- 3.9.1** The plants shall be watered at least weekly during the dry season. Contractor shall keep the area immediately surrounding the tree free from weeds and turf. The contractor shall install a fresh top coat of bark mulch not to exceed 3". The Contractor shall provide after care maintenance for a minimum of one year.