

MICHIGAN HISTORIC PRESERVATION  
CERTIFIED LOCAL GOVERNMENT  
GRANT MANUAL

FOR

REHABILITATION &  
REHABILITATION PLANNING PROJECTS

Catalog of Federal Domestic Assistance #15.904

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National Park Service  
1849 C Street, N.W.  
Washington, D.C. 20240

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## Introduction

The National Historic Preservation Act of 1966 (Chapter 16, U.S. Code, section 470 et seq.) provides matching funds for projects designed to facilitate the preservation of historic resources significant in American history, architecture, archaeology, engineering and culture. In Michigan, the program is administered by the Michigan State Housing Development Authority pursuant to Public Act 271 of 1913, section 399.1 et seq. of the Michigan Compiled Laws. Federal law requires that 10 percent of the annual federal Historic Preservation Fund allocation provided to the State Historic Preservation Office (SHPO) to operate its programs be set aside for Certified Local Governments (CLGs). Of \$1,000,000 estimated to be allocated to the Michigan SHPO, approximately \$100,000 will be sub-granted to CLGs. Awards have a 60/40 matching requirement and are paid on a reimbursement basis.

The purpose of the Michigan Heritage Restoration Program is to help local communities enhance their historic architectural resources. CLG grants can be used to identify, register, rehabilitate, and protect resources that are listed in or eligible for listing in the National Register of Historic Places. The grants can also be used for preservation planning and education.

To become a CLG, a local unit of government must apply to the SHPO and be certified by the National Park Service. The local government must have in place a local historic district ordinance pursuant to Michigan's Local Historic District Act, Public Act 169 of 1970, as amended, and a historic district commission with binding design review authority before it can be certified. A full description of the CLG program and how to apply for certification is found in The Certified Local Government Program in Michigan. This manual can be requested from the SHPO or obtained from our website at [www.michigan.gov/shpo](http://www.michigan.gov/shpo).

## Who Can Apply

Only Michigan CLGs may apply for CLG grant funds. CLGs may sponsor projects for nonprofit organizations and public entities within their jurisdictions. Note that when a CLG sponsors an application, the CLG is the applicant. If a grant is awarded, the CLG organization is the grant recipient.

## How To Apply

The historic preservation fund CLG grant manuals are available on the SHPO website at [www.michigan.gov/shpo](http://www.michigan.gov/shpo). Applications must be prepared according to the instructions in the grant manuals.

Completed applications must be **postmarked no later than 5:00 p.m. on Monday, October 3, 2016**. Send one original and one copy of the application to:

**Joelle Letts, Grants Manager/Budget Analyst  
Michigan State Housing Development Authority  
State Historic Preservation Office  
PO Box 30740  
702 West Kalamazoo Street  
Lansing, Michigan 48909-8240**

**For UPS, Federal Express or DHL deliveries:**

**Joelle Letts, Grants Manager/Budget Analyst  
Michigan State Housing Development Authority  
State Historic Preservation Office  
702 West Kalamazoo Street  
Lansing, Michigan 48915**

You are encouraged to discuss your proposed project with SHPO staff. SHPO staff will also review draft applications and provide recommendations. If you would like your draft application reviewed, please send one copy of the proposed scope of work and the project budget. Draft proposals must be received by the SHPO no later than six weeks before the application submission deadline.

*Questions regarding the application process should be addressed to:*  
**Joelle Letts - phone: 517.373.1904 or email: [LettsJ1@michigan.gov](mailto:LettsJ1@michigan.gov)**

*Questions regarding Certified Local Governments should be addressed to:*  
**Jessica Flores - phone: 517.241-6062 or email: [FloresJ3@michigan.gov](mailto:FloresJ3@michigan.gov)**

## **Grant Awards**

As soon as the SHPO receives notification from the National Park Service of its annual Historic Preservation Fund award, we will notify applicants about the status of their applications.

If an application is selected for funding, the Michigan Housing Development Authority (MSHDA), through the SHPO, prepares a grant agreement officially awarding the funds. Work must be under agreement during the current fiscal year (October 1 to September 30) and must be completed by June of the following year unless a formal project extension is requested by the CLG and approved by the SHPO. Work cannot begin before the grant agreement between the SHPO and the local unit of government has been executed. Expenses incurred prior to the execution of the grant agreement are not allowable costs. Typically, grant agreements will be executed in the spring following the application deadline.

CLG grants are paid on a reimbursement basis and the CLG must have sufficient funds available to complete project work. After financial documentation has been approved, payment is processed for project costs up to 60 percent, not to exceed the federal funds reserved for the project.

## **Grant Requirements**

Buildings must be individually listed in the National Register of Historic Places or be a contributing resource in a National Register listed district.

For rehabilitation projects, plans and specifications must meet the Secretary of the Interior's Standards, and must be submitted with the application. The standards are included in Appendix F, and can be found on the SHPO website at [www.michigan.gov/shpo](http://www.michigan.gov/shpo).

Rehabilitation and archaeological survey projects are subject to National Environmental Policy Act (NEPA) review process. NEPA requires SHPO to prepare a detailed summary of the environmental impacts on any impacted cultural resource. This summary is submitted to the National Park Service for approval prior to the execution of a consultant contract. The SHPO and grant recipient are required to follow any National Park Service recommendations.

Building specific planning projects related to properties that are not eligible for listing in the National Register of Historic Places are not eligible.

Rehabilitation planning projects must be developed by a person that meets the 36 CFR 61 professional qualifications developed by the National Park Service (Appendix F).

A covenant (an easement of maintenance and public accessibility) must be executed to protect structures receiving federal assistance to carryout rehabilitation work.

If interior work is included, the building must be owned by a public agency or a nonprofit organization and be open to the public a minimum of twelve (12) days per year.

For rehabilitation projects, a sign acknowledging federal assistance must be put up at the project site when work begins and be maintained until work is complete.

Rehabilitation planning projects can include plans and specifications, feasibility studies, façade improvement plans, marketing studies, etc.

Consultants must be competitively selected. The Michigan State Housing Development Authority must approve subcontracting at each step as it occurs.

## **Scoring Criteria**

SHPO staff will review and competitively score all applications. Each application will be scored with the appropriate Program Scoring Criteria. Final selections will be based on the highest scores as adjusted by administrative capability.

*The scoring criteria used by the SHPO are included in Appendix A for your information.*

## **Program Priorities**

Projects undertaken in association with one or more of the following priority programs identified by the SHPO will receive more points: Projects undertaken in association with resource identification and

designation in support of economic development and community planning activities; the revitalization of traditional downtowns; cultural heritage tourism; and Mid-Century Modern resources (1940-1970).

## **CHAPTER 1**

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### **Grant Application Instructions**

The applicant should consult the chapters on General Conditions, Allowable Costs, Matching Share, and Project Completion before completing the following information.

#### **1. PROJECT NAME AND ADDRESS**

#### **2. PROJECT COORDINATOR CONTACT INFORMATION**

This primary contact for the project should have complete knowledge of the progress of the project work. The Project Coordinator must be an individual directly associated with the day to day activities associated with the proposed grant funded work.

- Name and title
- Address
- Telephone number
- Fax number
- Email address

#### **3. GRANT RECIPIENT CONTACT INFORMATION**

The grant recipient must be an authorized CLG organization in good standing with the State Historic Preservation Office.

- Name
- Address
- Telephone number
- Fax number
- Email address

#### **4. CLG SPONSORSHIP FOR A NON-PROFIT ORGANIZATION OR OTHER PUBLIC ENTITY**

Indicate if the CLG is sponsoring a grant application for a non-profit organization or other public entity. The non-profit or other public entity must be located within the CLG's legal jurisdiction. The CLG is required to be the grant recipient. A written agreement between the CLG and the non-profit or other public entity is required prior to the execution of a grant agreement between the CLG and MSHDA. The agreement between the CLG and the non-profit other public entity must describe the following:

- The fiscal and administrative relationship between the CLG and the non-profit or public entity
- The roles of each organization relative to the grant project
- Which organization will provide the match funds?
- Which organization will administer the grant project?
- Which organization will solicit bids and pay vendors?
- Which organization will submit the final project report and final reimbursement request along with all required documentation?

*If a CLG sponsors a grant application for a non-profit organization or other public entity, the grant application must contain the required documents from both the CLG and the non-profit organization or public entity. Refer to each section to determine which documents are needed from both the CLG and the non-profit or other public entity.*

#### **5. PROPERTY OWNER CONTACT INFORMATION**

- Name
- Address
- Telephone number

#### **6. CONGRESSIONAL DISTRICTS**

List the districts in which the property is located and/or those that will be affected by the project. Include:

- U.S. congressional district(s), Name of U.S. Senator/Representative
- State senate district(s), Name of State Senator
- State house district(s), Name of State Representative

#### **7. DATA UNIVERSAL NUMBER SYSTEM (DUNS) NUMBER**

List the CLG organization's 9 digit DUNS Number. The Federal Funding Accountability and Transparency Act, requires the SHPO to report CLG grantees that have been awarded a grant of \$25,000 or more. The Federal Funding Accountability and Transparency Act Subaward Reporting System utilizes the CLG's DUNS Number to report grant information.

#### **8. W-9 REQUEST FOR TAXPAYER IDENTIFICATION NUMBER AND CERTIFICATION**

Complete the W-9 Request for Taxpayer Identification Number and Certification form. (Appendix B). List the name and federal identification number of the CLG which will be paid the grant funds. The CLG is the only organization that can be paid federal CLG funds.

#### **9. DEED AND OWNERSHIP INFORMATION.**

Submit a copy of the deed and

- For nonprofit owned structures, a title commitment
- For publicly owned structures, a legal opinion.

At the end of rehabilitation projects, a historic preservation easement guaranteeing maintenance and public accessibility must be recorded with the deed at the county Register of Deeds prior to the disbursement of any federal funds. (See Chapter 4). The deed and ownership information is needed so that SHPO can prepare the required historic preservation easement.

#### **10. FEDERAL REQUEST AND MATCH**

The federal funding request may be up to 60 percent of the project budget. Indicate the total matching share in the following format:

- Donor organization (city, nonprofit, etc.)
- Source (private, city general fund, etc.)
- Kind (cash, in-kind, volunteer)
- Amount

#### **11. BUDGET**

The budget should be detailed and describe the work to be done and include all estimated costs. The following list of commonly used categories or major work elements are derived from the uniform construction index and must be used when preparing the budget:

- General Conditions (start-up costs, scaffolding, and project sign)
- Site work (subsurface investigation, demolition, drainage, and underpinning)
- Concrete (poured-in-place concrete, pre-cast concrete, concrete restoration, and cleaning)
- Masonry (mortar, unit masonry, stone, masonry restoration and cleaning)
- Metals (structural metal framing, metal finishes, and restoration)
- Wood and Plastics (rough carpentry, finish carpentry, architectural woodwork, millwork)
- Thermal and Moisture Protection (waterproofing, dampproofing, insulation, roofing, flashings)
- Doors and Windows (doors and frames, entrances and storefronts, window repair and restoration, window replacement, hardware)
- Finishes (lath and plaster, gypsum wallboard, ceramic tile, wood, brick, and stone flooring, painting)
- Specialties (fire extinguishers and cabinets)
- Special Construction (solar and wind energy systems)
- Conveying Systems (elevators)
- Mechanical (plumbing, fire protection, heating, cooling, air distribution)
- Electrical (service and distribution, lighting)

#### **12. MATCH CERTIFICATION**

Provide proof of the availability and source of the match through a certification from an appropriate organization or official. This can be a statement included in a resolution from city council, a bank statement signed by an appropriate official, or a letter from a financial institution indicating that the appropriate amount of funds are available. (See Chapter 8).

#### **13. WORK SCHEDULE**

Develop a work schedule. *Assume that agreements will be executed no sooner than June 1.* Work cannot begin until the grant agreement is executed. Work schedules become an attachment to the agreement.

For rehabilitation projects, include dates for the following items in the work schedule:

- Execute grant agreement
- Submit quarterly progress report (due on September 15, January 15, April 15, and July 15 during grant period – list each date in the appropriate place in the work schedule)
- Submit draft Request for Proposal (RFP) for construction to the SHPO for approval

- Submit draft solicitation letter and advertisement to the SHPO for approval
- The SHPO approves RFP, solicitation letter, and advertisement (allow 30 days)
- Advertise for bids
- Bids due (allow 30 days)
- Submit bids to the SHPO with rationale for bidder selection
- The SHPO approves bidder selection (allow 30 days)
- Submit construction subcontract to the SHPO for approval
- The SHPO approves construction subcontract (allow 30 days)
- Execute construction subcontract
- Submit copy of executed subcontract to the SHPO
- Install project sign
- Submit photographic documentation of the project sign to the SHPO
- The SHPO prepares historic preservation easement (allow 90 days)
- Begin construction
- Finish construction
- Project close-out
- Sign easement and record at Register of Deeds
- Submit recorded easement to the SHPO
- SHPO staff conducts final on-site inspection
- Submit final completion report
- Submit final reimbursement requests with financial documentation to the SHPO

For rehabilitation projects where the project scope of work includes preparations of plans and specifications, include dates for the following items in the work schedule before "Submit Draft Request for Proposal (RFP) for construction to the SHPO for approval":

- Submit draft Request for Proposal (RFP) for plans and specifications to the SHPO for approval
- Submit draft solicitation letter and advertisement to the SHPO for approval
- The SHPO approves RFP, solicitation letter, and advertisement (allow 30 days)
- Advertise for bids
- Bids due (allow 30 days)
- Submit bids to the SHPO with rationale for bidder selection
- The SHPO approves bidder selection (allow 30 days)
- Execute subcontract
- Submit copy of executed subcontract to the SHPO
- Submit 75% draft of plans and specifications to the SHPO for review and comment
- The SHPO comments on 75% draft of plans and specifications (allow 30 days)
- Submit 95% draft of plans and specifications to the SHPO for review and comment
- The SHPO comments on 95% draft of plans and specifications (allow 30 days)
- Submit 100% plans and specifications to the SHPO

For planning projects where the scope of work is to prepare a Historic Structures Report (HSR) or Condition Assessment Report (CAR), include dates for the following items in the work schedule:

- Execute grant agreement
- Submit quarterly progress report (due on September 15, January 15, April 15, and July 15 during the grant period – list each date in the appropriate place in the work schedule)
- Submit draft Request for Proposal (RFP) for HSR or CAR to the SHPO for approval
- Submit draft solicitation letter and advertisement to the SHPO for approval
- The SHPO approves RFP, solicitation letter, and advertisement (allow 30 days)
- Advertise for bids
- Bids due (allow 30 days)
- Submit bids to the SHPO with rationale for bidder selection
- The SHPO approves bidder selection (allow 30 days)
- Submit subcontract to the SHPO for approval
- The SHPO approves subcontract (allow 30 days)
- Execute subcontract
- Submit copy of executed subcontract to the SHPO
- Submit 75% draft of HSR or CAR to the SHPO for review and comment
- The SHPO comments on 75% draft of HSR or CAR (allow 30 days)
- Submit 95% draft of HSR or CAR to the SHPO for review and comment
- The SHPO comments on 95% draft of HSR or CAR (allow 30 days)
- Submit 100% HSR or CAR to the SHPO
- Project close-out

- Submit final completion report
- Submit final reimbursement requests with financial documentation to the SHPO

For planning projects where the project scope of work includes the preparation of plans and specifications, include dates for these items in the work schedule:

- Submit draft Request for Proposal (RFP) for construction to the SHPO for approval
- Submit draft solicitation letter and advertisement to the SHPO for approval
- The SHPO approves RFP, solicitation letter, and advertisement (allow 30 days)
- Advertise for bids
- Bids due (allow 30 days)
- Submit bids to the SHPO with rationale for bidder selection
- The SHPO approves bidder selection (allow 30 days)
- Submit subcontract to the SHPO for approval
- The SHPO approves subcontract (allow 30 days)
- Execute subcontract
- Submit copy of executed subcontract to the SHPO
- Submit 75% draft of plans and specifications to the SHPO for review and comment
- The SHPO comments on 75% draft of plans and specifications (allow 30 days)
- Submit 95% draft of plans and specifications to the SHPO for review and comment
- The SHPO comments on 95% draft of plans and specifications (allow 30 days)
- Submit 100% plans and specifications to the SHPO
- Project close out
- Submit final completion report
- Submit final reimbursement requests with financial documentation to the SHPO

#### **14. ELIGIBILITY**

Provide proof that the resource is individually listed in the National Register of Historic Places, a contributing resource in a National Register listed district, or is a National Historic Landmark.

#### **15. SCOPE OF WORK/PROJECT NARRATIVE**

Describe in detail the work that will be completed as a part of the proposed grant project. Be sure that all items listed in the budget are described in the narrative with an explanation of why the items/services are needed. If possible, include a vendor quotation for the work/services to be completed. Note that vendor quotations are used for budgeting purposes only. If a grant is awarded all work/services must be secured through a competitive bid process.

#### **INELIGIBLE WORK**

The following work has been determined by the U.S. Department of the Interior to be ineligible: Development project for church-owned properties; total reconstruction; specific features may be eligible for funding if historical documentation is provided; landscaping in relation to site improvements for parking lots, sidewalks, etc.

#### **16. PLANS AND SPECIFICATIONS**

For rehabilitation projects only, plans and specifications, conforming with the Secretary of the Interior's Standards for Rehabilitation (Appendix F) must be submitted with the application, and be approved by the SHPO. Once approved, the plans and specifications become part of the grant agreement.

#### **17. CONSULTANT PROFESSIONAL QUALIFICATIONS (36 CFR 61)**

For rehabilitation planning projects only, acknowledge in your grant application that any consultants hired as part of the grant project work will meet National Park Service 36 CFR 61 professional qualifications. (Appendix F).

#### **18. PRODUCTS/DELIVERABLES**

For rehabilitation planning projects only, provide a comprehensive list of the products/deliverables that will result from the grant project. This would include written plans and specifications, Historic Structures Report, Rehabilitation Master Plan, Condition Assessment Report, etc.

#### **19. CONDITION/USE**

This section provides the opportunity to explain how this project will benefit the resource and the community and how the project connects with other community revitalization or economic development initiatives, planning efforts, etc. Some items to address include but are not limited to:

- Is the resource threatened by damage or destruction? If yes, please describe. Is this threat imminent (1-2 years, 3-4 years)? How will the project stabilize and/or enable continued use of the resource?
- What are the present and planned uses for the resource? Are they compatible with the resource?
- Document how the project is being undertaken with priority programs identified by the SHPO such as resource identification or designation in support of economic development activities and community planning activities; projects that focus on traditional downtown revitalization; cultural heritage tourism projects; projects that focus on Mid-Century Modern resources (1940-1970).
- Explain how this project meets an important community need.

## **20. HISTORIC DISTRICT COMMISSION SUPPORT LETTER**

CLG grant applications must include a letter from the historic district commission supporting the application.

## **21. FEDERAL FUND ADMINISTRATION**

Provide a brief description of the experience your organization has in administering federal funds.

*If the CLG is sponsoring an application for a non-profit or other public entity, submit this information for both the CLG and the other organization.*

## **22. FINANCIAL CERTIFICATION**

Include a certification from your financial manager that your organization has an adequate accounting system in place with appropriate internal controls to assure accuracy and reliability of accounting data and to encourage compliance with management standards set out in A-102 for local units of governments, A-120 for nonprofit institutions, or A-21 for educational institutions. The financial certification shall state the following items.

The financial management system shall:

- Provide accurate, current and complete disclosure of the financial results of each grant.
- Provide records that identify the source and application of funds for grant supported activities.
- Provide for effective control of all grant assets.
- Compare actual and budget amounts for the grant.
- Establish procedures for determining reasonableness, allowability, and allocability of costs in accordance with the provisions of the applicable cost principles and the terms of the grant agreement.
- Support accounting records by source documentation such as canceled checks, paid bills, payrolls, contract documents, etc. Separate project records must be established and identified by the grant name and number.
- Follow a systematic method to assure timely and appropriate resolution of audit findings. Recipients shall comply with federal Circular A-133 Audits of States, Local Government and nonprofit organizations.

*If the CLG is sponsoring an application for a non-profit or other public entity, submit this information for both the CLG and the other organization.*

## **23. RESOLUTION AND BYLAWS OF GOVERNING BODY**

Include a resolution authorizing acceptance of the grant, execution of the required grant agreement and designating authorized signatorie(s). The resolution must include the name(s) of the individuals authorized to sign the grant agreement, any amendments, and any related agreement documents which might be necessary. The resolution must include the fund source for the required matching funds. For rehabilitation projects, the resolution must also authorize the designated individuals to sign the required easement.

If a CLG sponsors an application from a non-profit or other public entity, the CLG is required to be the grant recipient and sign the CLG grant agreement. *The non-profit or public entity must also submit a resolution.* The non-profit or other entity resolution must include the name(s) of the individuals authorized to sign the agreement between the CLG and itself and any grant agreement related documents which might be necessary. If the non-profit or other public entity is providing the match funds, this must be authorized in the resolution and the fund source must be identified.

Non-profit or other public entities must submit copies of their articles of incorporation, by-laws and/or other documents, which demonstrate who has the authority to execute a contract.

The property owner also must provide authorization for execution of the easement. If the property owner is the non-profit or other public entity, its resolution should include the easement execution authorization.

The resolutions must describe the following:

- The owner's project contact name, title and contact information
- The applicant's project contact name, title and contact information
- The fiscal and administrative relationship between the applicant and the owner
- The roles of each organization relative to the grant project
- Which organization will provide the match funds?
- Which organization will administer the grant project?
- Which organization will pay vendors?
- Which organization will be reimbursed by SHPO?

For property owners, provide authorization to sign the required historic preservation easement. Identify the name of the position (i.e., Township Clerk, President, etc.) that will sign the required historic preservation easement.

**EXAMPLE OF A RESOLUTION FOR A LOCAL UNIT OF GOVERNMENT:**

I, \_\_\_\_\_, the duly qualified and acting Clerk of \_\_\_\_\_, do hereby certify that the following resolution was adopted at a meeting of the (governing body) held on \_\_\_\_\_; is on file; has not been amended, altered or revoked; and is in full force and effect.

RESOLVED:

That the (title) is authorized and directed to file an application for (amount) for (name of project) and that upon approval of the final application by the Michigan State Housing Development Authority, the (title) shall be authorized to sign the grant contract, any necessary amendments to the grant contract, other contract related document, and the required covenant/easement. The \_\_\_\_\_ shall provide the matching funds in the amount of \_\_\_\_\_, for a total project cost of \_\_\_\_\_. The source of the matching funds shall be \_\_\_\_\_.

SEAL \_\_\_\_\_ Signature of Clerk \_\_\_\_\_

**24. CIVIL RIGHTS COMPLIANCE & EEO**

Complete the appropriate Civil Rights Compliance forms included as an appendix to this manual. If it is determined that the applicant is not in compliance with equal opportunity standards as established by the Michigan Department of Civil Rights, the application will be rejected. If you are applying for \$25,000 or more in grant funds **or** if you have 25 or more employees in your organization you must submit the following *four (4)* documents:

- Work Force Status Report
- Affirmation of Equal Opportunity
- Work Force Analysis
- An Equal Opportunity Plan

If you are applying for less than \$25,000 in grant funds **and** you have less than 25 employees you are only required to submit the following two (2) documents:

- Work Force Status Report
- Affirmation of Equal Opportunity

*If the CLG is sponsoring an application for a non-profit or other public entity, submit this information for both the CLG and the other organization.*

**25. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION**

The Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion must be signed and dated by the authorized contract signatory or another appropriate individual and returned with the application. (Appendix C.)

*If the CLG is sponsoring an application for a non-profit or other public entity, submit this information for both the CLG and the other organization.*

## **26. CERTIFICATE VERIFYING KEY PERSONS OF THE CONTRACTOR/SUBGRANTEE**

The Certificate Verifying Key Persons of the Contractor/Subgrantee must be completed, signed and dated by the authorized grant agreement signatory or another appropriate individual and returned with the application. (Appendix D.)

*If the CLG is sponsoring an application for a non-profit or other public entity, submit this information for both the CLG and the other organization.*

## **27. OFFICER COMPENSATION REPORTING UNDER THE FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT**

The Officer Compensation Reporting form must be completed, signed and dated by the authorized contact signatory or another appropriate individual and returned with the application. This information must be submitted for the CLG only. (Appendix E).

## **28. TAX INCENTIVE CERTIFICATION**

Complete a certification that states neither federal nor state historic preservation tax incentives have been or will be taken for the work proposed under this application. The tax incentive certification must be completed by the owner of the property.

## **29. PHOTOGRAPHS**

Applicants should note that there are two (2) distinct photographic requirements for the **application** phase and the **completion** phase of Rehabilitation and Rehabilitation Planning grant projects. Photographic requirements for the completion phase of Rehabilitation and Rehabilitation Planning projects are addressed in *Chapter 9: Completion and Reimbursement* of this manual. Please see this chapter for what must be submitted upon completion of any grant project.

When submitting a CLG grant application for a Rehabilitation or Rehabilitation Planning project, the applicant must submit:

- At least two (2) 8" x 10" **black and white**, glossy photographs showing overall views of the existing conditions of the property, plus additional photos, if needed, to enable NPS and SHPO to evaluate the proposed rehabilitation work. All photographs submitted must be labeled. Please see *Appendix I: Photograph Technical Requirements* for proper labeling methods.
- A number of 4" x 6" **color** photographs that sufficiently and clearly illustrate the condition and details of the building, structure, site, or district that will be the focus of the work undertaken utilizing grant funds. All photographs submitted must be labeled. Please see *Appendix I: Photograph Technical Requirements* for proper labeling methods.
- A number of 4" x 6" **color** photographs that illustrate the context or setting for the building, structure, site or district. All photographs submitted must be labeled. Please see *Appendix I: Photograph Technical Requirements* for proper labeling methods.
- Printed photographs and a CD of digital images. All digital images must conform to the labeling and technical specification as noted in *Appendix I: Photograph Technical Requirements*.

## **30. FLOOD PLAIN CERTIFICATION**

Indicate whether the project is within a federally designated flood area. If not located in a federally designated flood area, provide proof that the project is not located in a federal designated flood area such as a letter from the municipal planner with a copy of the FEMA map. If located in a federally designated flood area, attach a copy of flood insurance policy or other proof of insurance.

## **31. SIGNATURES**

Have all authorized signatorie(s) sign the application; also type their names, titles, addresses (including city or town, state, and zip code), and telephone numbers.

*If the CLG is sponsoring an application for a non-profit or other public entity, authorized officials from both the CLG and the other organization must sign the application.*

**NOTE:** Failure to submit a timely application or failure to provide all information requested above may result in your application not being scored.

## GRANT APPLICATION CHECKLIST

Application must be **postmarked no later than 5:00 p.m. on Monday, October 3, 2016.**

1.  Project Name and Address
2.  Project Coordinator Contact Information
3.  Grant Recipient Contact Information (must be the CLG)
4.  CLG Sponsorship Information
5.  Property Owner Contact Information
6.  U.S. Congressional, State Senate, & State House District(s)
7.  Data Universal Number System (DUNS) Number (must be the CLG)
8.  W-9 Request for Taxpayer Identification Number and Certification (must be the CLG)
9.  Deed and Ownership Information
10.  Federal Funding Request and Match
11.  Budget
12.  Match Certification
13.  Work Schedule
14.  Eligibility
15.  Scope of Work/Project Narrative
16.  Plans and Specifications
17.  Consultant Professional Qualifications (Rehabilitation Planning Projects only)
18.  Products/Deliverables (Rehabilitation Planning Projects only)
19.  Condition/Use
20.  Historic District Commission Support Letter
21.  Federal Fund Administration
  - If CLG sponsors grant application for a non-profit or other public entity, submit federal fund administration information from both organizations
22.  Financial Certification
  - If CLG sponsors grant application for a non-profit or other public entity, submit financial certification from both organizations
23.  Resolution and Bylaws of Governing Body
  - If CLG sponsors grant application for a non-profit or other public entity, submit

resolution and bylaws from both organizations

24.  Civil Rights Compliance & EEO – CLG has 25 or more employees **or** applying for \$25,000 or more
- Work Force Status Report
  - Affirmation of Equal Opportunity
  - Work Force Analysis
  - Equal Opportunity Plan
- Civil Rights Compliance & EEO – CLG has less than 25 employees **and** applying for less than \$25,000
- Work Force Status Report
  - Affirmation of Equal Opportunity
- If CLG sponsors grant application for a non-profit or other public entity, submit all EEO documents for both organizations
25.  Debarment Certification
- If CLG sponsors grant application for a non-profit or other public entity, submit Debarment Certification for both organizations
26.  Certificate Verifying Key Persons of the Contractor/Subgrantee
- If CLG sponsors grant application for a non-profit or other public entity, submit Certificate Verifying Key Persons for both organizations
27.  Officer Compensation Reporting
28.  Tax Incentives Certification
29.  Photographs
- Two (2) 8" x 10" glossy, black and white, labeled, overall views
  - A number of 4" x 6" color, labeled, overall, and detail the properties current conditions
  - CD of digital images
30.  Flood Plain Certification
31.  Signatures
- If CLG sponsors grant application for a non-profit or other public entity, authorized officials from both organizations must sign the application

## CHAPTER 2

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### General Conditions for Funding

Below are general conditions that apply to the receipt of federal funds. These and all other applicable requirements, laws and regulations are addressed or referenced in the grant agreement that will be executed between the CLG and MSHDA.

#### 1. PROJECT PERIOD

Project costs must be incurred within the period the agreement is executed (signed and dated by the Authority) and the end date of the agreement. Costs that are incurred prior to the agreement execution or after the end date are not allowable project costs and will not be used as part of the federal or the matching share.

#### 2. PROJECT SCOPE

The scope of the project work is defined in the agreement. The grant recipient shall notify the SHPO in writing if a change in the scope of the work is necessary. Most changes will require a formal amendment. Some may be of a technical nature that does not require a formal amendment while others may require federal approval. It is imperative to notify the SHPO immediately of any proposed changes to the scope of work so that federal funds are not jeopardized or delayed.

#### 3. PROJECT BUDGET

The CLG must notify the Authority of any major changes in the budget prior to implementing the change.

#### 4. REPORTING REQUIREMENTS

Fifteen (15) days following the end of the quarter (January 15, April 15, July 15 and September 15), the CLG will submit a quarterly progress report describing the project work completed to date, any deviations from the approved performance schedule, budget and scope of work for the project, as well as an accounting of the projects costs, as compared to the approved budget. The September 15 report is used to meet end of fiscal year expenditure reporting requirements to the state and federal government.

#### 5. PROJECT EXTENSIONS

If, during the course of the project, the grant recipient believes the grant agreement end date cannot be met, a written request for an extension must be submitted to the SHPO prior to the grant agreement end date. This request must state the reason the extension is necessary. Approval of an extension will be dependent upon federal deadlines and other considerations and is not automatic. Note that project extensions may need to be approved by the Department of the Interior. CLG should notify the SHPO as soon as they become aware that a grant agreement extension may be necessary. Grant agreement end dates are extended through a letter signed by the State Historic Preservation Officer.

#### 6. METHOD OF PAYMENT

All grant funds are paid on a reimbursement basis only. Documentation of all expenditures (federal and local matching share) shall be submitted to and audited by the SHPO. Department of the Interior guidelines require that reports be filed for costs within each fiscal year.

#### 7. COMPLETION MATERIAL/REPORT

The completion materials or report will be specified in the grant agreement. Review this section of the agreement carefully. Completion materials for development projects include photographs of the project sign, work in progress, completed work and a written description of the project's accomplishments.

#### 8. ACKNOWLEDGMENT OF FUNDING AND NON-DISCRIMINATION

In all publications, reports, and newsletters, funding through the National Park Service and the Michigan State Housing Development Authority shall be acknowledged. The acknowledgment to be used is included in the grant agreement.

#### 9. AUDIT

Financial documentation must be submitted before reimbursement can be made to the grant recipient. In addition, federal Circular A 133 requires that local units of government, nonprofits, and educational institutions expending \$750,000 or more in federal funds have single audit completed annually. Each year the SHPO will send a letter requesting the grant recipient to file a form with the SHPO indicating the status of their single audit. The form indicates whether the grant recipient expended \$750,000 or more in

federal funds and whether the grant recipient is required to send in a copy of their single audit report to SHPO. If federal funds from a project are questioned during audit, the grant recipient is liable for payback to the Department of the Interior.

#### **10. LOBBYING WITH APPROPRIATED FUNDS**

Historic Preservation Fund CLG grants must conform to provisions of 18 USC 1913: "No part of the money appropriated by any enactment of Congress shall, in the absence of express authorization by Congress, be used directly or indirectly to pay for any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, intended or designed to influence in any manner a Member of Congress, to favor or oppose, by vote or otherwise, any legislation or appropriation by Congress, whether before or after the introduction of any bill or resolution proposing such legislation or appropriation; but this shall not prevent officers or employees of the United States or its Departments or agencies from communicating to Members of Congress on the request of any Member or to Congress, through the proper official channels, requests for legislation or appropriations which they deem necessary for the efficient conduct of the public business." In summary, costs associated with activities to influence legislation pending before the Congress, commonly referred to as lobbying, are unallowable as charges to federally assisted grants.

#### **11. HATCH ACT**

No officer or employee whose principal employment is connected with any activity which is financed in whole or in part with grant assistance shall take part in any of the political activity proscribed in the Hatch Political Activity Act, 5 USC 1501 et seq., as amended, with its stated exceptions.

#### **12. POLITICAL ACTIVITIES**

No expenditure of grant funds may be made for the use of equipment or premises for political purposes, sponsoring or conducting candidates' meeting(s), engaging in voter registration activity or voter transportation activity, or other partisan political activities.

#### **13. DISCLOSURE OF INFORMATION**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant provided by NPS are subject to disclosure to others under the federal Freedom of Information Act, 5 USC 552. They are also available to the public under the Michigan Freedom of Information Act, 1976 PA 442, MCL 15.231 et seq.

#### **14. SAFETY PRECAUTIONS**

The State of Michigan assumes no responsibility with respect to accidents, illnesses, or claims arising out of any work performed under a grant supported project. The grantee is expected to take necessary steps to insure itself and its personnel and to comply with the applicable local, state, or federal safety standards, including those issued pursuant to the National Occupational Safety and Health Act of 1970 (see 20 CFR 1910).

#### **15. CONFLICT OF INTEREST**

A conflict of interest in the selection, award, or administration of contracts is prohibited. A grant recipient shall not enter into any contract for the performance of project work whereby any current or former employee, officer, or agent of the federal government, the state or the grant recipient, who has or had authorization to plan, develop, negotiate, accept, approve, or take part in decisions regarding subcontracts, or other agreement in connection with the particular project grant, has a financial or other interest in the recipient selected for the award. This prohibition is also effective if any member of the immediate family of such employee, officer, or agent; his or her partner; or any organization, which employs, or is about to employ, any of the aforementioned, has a financial or other interest in the firm selected for the award. All subcontracts awarded pursuant to a grant must be accomplished free from bribery, graft, kickbacks, and other corrupt practices. Employees, officers, and agents of the grant recipient shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, potential contractors, or parties to subcontracts.

The grant recipient bears the primary responsibility for the prevention and detection of prohibited conduct and shall promptly notify the grants manager/budget analyst of the Michigan State Housing Development Authority when such conduct becomes known. Federal and state administrative or other legally available remedies will be pursued to the extent appropriate. A grant recipient shall take appropriate remedial action with respect to the prohibited conduct brought to its attention.

## **16. CIVIL RIGHTS LAWS**

As mandated under Title VI of the 1964 Civil Rights Act and in Executive Directive 1979-4, it is the policy of the state of Michigan to assure that all Michigan citizens receive full and equal access to benefits provided by state supported programs and services without discrimination based upon race, color, creed, religion, national origin, height, weight, marital status, age, sex, or handicap.

It is appropriate that the Michigan State Housing Development Authority, in fulfilling that policy, ensure compliance with the non-discrimination laws in connection with the use of grant funds. In furtherance of this policy, it is likewise appropriate that the Michigan State Housing Development Authority not enter into any contract, nor fund or serve as a conduit for funding, programs, which may have the effect of creating or perpetrating patterns of discriminatory practice. All grant recipients shall file affidavits pledging a reasonable representation of minority group representatives, and women, in all levels of their work force and that there exists equal opportunity to participate in and enjoy the benefits of programs and activities without regard to race, color, creed, religion, national origin, height, weight, marital status, age, sex, or handicap.

Subgrantees with grants of \$25,000 or more or employing twenty-five persons or more are also required to furnish a written Equal Opportunity Plan.

Forms and instructions for demonstrating Civil Rights Compliance that must accompany the application are part of this manual. If it is determined that the applicant is not in compliance with equal opportunity standards as established by the Michigan Department of Civil Rights, the application will be rejected.

## **17. BARRIER FREE ACCESS**

The Department of the Interior's Historic Preservation Grant Program, administered by the Michigan State Housing Development Authority, requires compliance with state and federal laws, including the Americans with Disabilities Act (ADA), concerning barrier free designs which facilitate access to grant assisted properties by persons with disabilities. The Michigan State Housing Development Authority strongly urges each applicant and other individuals contemplating rehabilitations of historic structures to consider the implications of such compliance at the earliest possible stage. It should be kept in mind that not all preservation work involving extant buildings or structures will trigger the need to meet the barrier free design requirements.

Should a determination be made that barrier free design requirements are applicable, the Michigan Barrier Free Design Board is empowered to grant an exemption to the Michigan requirements when an applicant sufficiently shows that:

"[T]he proposed repairs, alterations or additions are to be performed on a building or structure listed on or eligible for listing in the National Register of Historic Places or the State Register of Historic Sites; and that adherence to the barrier free design provisions would destroy or diminish a significant feature of the building's or structure's historical character or physical integrity, or both. The applicant will make this showing at an administrative hearing conducted in Lansing by a hearings officer for the Design Board."

The governmental entity having primary administration and enforcement authority over the barrier free design requirements can range from a city building official to various state agencies depending on where the building or structure is located and the type of function for which it is used. If you are unable to determine locally which entity you should be dealing with, you may contact the Michigan Department of Licensing and Regulatory Affairs, Plan Review Division, Barrier Free Design at (517) 241-9328 or Building Division at (517) 241-9317.

## **18. COASTAL ZONE MANAGEMENT**

Zone Management Act of 1972 prohibits federal assistance to local governments for projects that are inconsistent with the requirements of an approved coastal zone management plan. Further information may be obtained from the:

Office of Ocean and Coastal Resource Management  
National Oceanic and Atmospheric Administration  
Department of Commerce  
1305 East-West Highway  
Silver Spring, MD 20910

**19. DUAL COMPENSATION**

If a grant recipient staff member or consultant is involved simultaneously in two or more projects supported by federal funds, and compensation on either project is based upon a percentage of time spent, he or she may not be compensated for more than 100 percent of his/her time from any federal funds during the time of the period of dual involvement.

**20. RECORD ACCESSIBILITY AND RETENTION**

Grant recipients will submit program, financial or other reports as are required by the Michigan State Housing Development Authority or the National Park Service. Onsite inspections by the Michigan State Housing Development Authority or the National Park Service will be permitted as required to provide necessary information relevant to compliance with grant terms and conditions, such as compliance with federal preservation standards.

Documentation, papers and records of the grant recipient and any subcontractor shall be kept for a minimum of three years after federal funds have been reimbursed to the grant recipient or until all claims or audit findings have been resolved.

**21. NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REVIEW PROCESS**

Rehabilitation and archaeological survey projects are subject to National Environmental Policy Act (NEPA) review process. NEPA requires SHPO to prepare a detailed summary of the environmental impacts on any cultural resource. This summary is submitted to NPS for approval prior to the execution of a consultant contract. The SHPO and grant recipient are required to follow any NPS recommendations.

## CHAPTER 3

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### Grant Agreement

***A GRANT RECIPIENT WILL NOT BE REIMBURSED FOR ANY WORK PERFORMED BEFORE THE GRANT AGREEMENT IS EXECUTED.*** The grant is formally awarded after the grant agreement has been signed by an authorized representative of the CLG and is signed and dated by the State Historic Preservation Officer.

The grant agreement written by the Michigan State Housing Development Authority will specify:

- Exact work to be accomplished with the grant award;
- Method of and requirements for disbursement of funds, including any provisions authorizing partial reimbursement prior to the completion of all project work;
- Period for completion of the project;
- Federal and state statutes, regulations, and requirements which must be followed;
- Number and content of the completion report and/or materials.

Attachments to the grant agreement include:

- Work schedule detailing when various tasks will be completed.
- The approved budget.
- Certificate Verifying Key Persons of the Contractor/Subgrantee.
- Plans and specifications.
- Any other documents, figures, illustrations, drawing, annotated photographs or the like necessary to accurately and completely document and explain the scope of work.

The procedures for signing the grant agreement are:

- Two original grant agreement documents will be mailed to the project coordinator.
- The authorized individual(s) should sign both original grant agreements.
- Both original grant agreements should be returned to the grants manager/budget analyst, State Historic Preservation Office, Michigan State Housing Development Authority.
- The grant agreement will be signed and dated by the State Historic Preservation Officer.
- One original fully executed grant agreement will be returned to the CLG project coordinator.
- After the CLG authorized individual(s) and the State Historic Preservation Officer has signed the grant agreement, work may begin. No vendor or consultant subcontracts should be executed until the grant agreement with the Michigan State Housing Development Authority has been fully executed.

***MAKE COPIES OF THE GRANT AGREEMENT AVAILABLE TO PROJECT STAFF AND TO CONSULTANTS TO ENSURE THAT WORK MEETS THE SPECIFIED REQUIREMENTS.***

## CHAPTER 4

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### Covenant / Easement

For rehabilitation projects, a covenant (an easement of maintenance and public accessibility) must be executed to protect structures receiving federal assistance. The Michigan State Housing Development Authority will prepare the covenant. The subgrantee must execute the easement, record the covenant with the Register of Deeds and return one original to the Grants Manager/Budget Analyst before federal funds can be released to the subgrantee.

Cities must submit a legal opinion from the local unit of government attorney regarding ownership of the grant-assisted property. Nonprofit organizations must submit a title commitment. It is the obligation of the property owner to advise the Michigan State Housing Development Authority about any entity that may have an interest in the property. Present owner(s) and successor(s) will be bound by the covenant.

The length of a covenant to maintain and administer the property for the public's benefit varies depending on the amount of the grant:

\$0 to \$10,000	5 year letter of agreement (not recorded)
\$10,001-\$25,000	5 year covenant
\$25,001-\$50,000	10 year covenant
\$50,001-\$100,000	15 year covenant
\$100,001 and over	20 year covenant

The covenant will include, but is not limited to, the following provisions:

- The property must be maintained in such a way as to ensure its historical and architectural integrity.
- No major visual or structural changes may be made without the written approval of the Michigan State Housing Development Authority.
- The grounds must be maintained in keeping with the historical integrity of the property.
- Equal opportunity standards regarding race, color, religion, national origin, age, or sex in relation to any program or activity directly or indirectly related to the structure must be adhered to.
- Public access for twelve (12) days a year to the exterior is required where funds are used for exterior work, and to the interior where funds are used for interior work.

The procedures for executing the covenant are as follows:

- A resolution authorizing execution of a covenant and naming the designated signatory of the covenant must be provided.
- The covenant is prepared by the Michigan State Housing Development Authority.
- The covenant is approved by the Department of Attorney General.
- The covenant must be signed by the authorized individual(s) before a notary public. The covenant must also be signed by a witness. However, the witnesses need not appear before the notary.
- The notary public before whom the authorized individual(s) appear must execute a Certificate of Acknowledgment.
- The covenant must be recorded at the register of deeds for the county in which the property is located. For nonprofit organizations, there will be a fee for recording at the register's office. The subgrantee must pay this fee. The original covenant will be numbered and stamped by the register of deeds. The stamp reflects the date and time of recording. The covenant will be copied and placed with the deed and other documents of record concerning the property.
- After recording, the original covenant must be returned to the Michigan State Housing Development Authority. State law requires that the original covenant must be permanently filed with the Michigan Department of State. Copies for your use should be made prior to returning the original to the SHPO.

Following is a sample covenant/easement. This does not necessarily reflect the final covenant/easement you may be required to execute in finalizing your grant project.

### **HISTORIC PRESERVATION EASEMENT**

This Historic Preservation Easement (Easement) is made between the GOVERNMENTAL ENTITY, a Michigan municipal corporation whose address is STREET, CITY, MICHIGAN 49010 (Grantor), and the STATE OF MICHIGAN, MICHIGAN STATE HOUSING DEVELOPMENT AUTHORITY, a principal state department acting through its STATE HISTORIC PRESERVATION OFFICE (SHPO or Grantee), whose address is 702 W. Kalamazoo Street, Lansing, Michigan 48909-8240. The Grantee is authorized, pursuant to the National Historic Preservation Act, 16 USC 470 *et seq.*, to award 10 percent of its annual federal Historic Preservation Fund to Certified Local Governments for the rehabilitation and adaptive re-use of qualified properties. The consideration for this Easement totals DOLLARS and No/100 (\$DOLLARS.CENTS), comprised of a Certified Local Government Grant Award (Award) awarded by the Grantee to the CITY, a Certified Local Government.

The property that is the subject to this Easement is comprised of the historic PROPERTY (Property), situated in the City of CITY, and is more particularly described as:

#### METES AND BOUNDS.

This Easement is executed consistent with Subpart 11 of Part 21 of Article 1, Conservation and Historic Preservation Easements of the Michigan Environmental Protection Act, MCL 324.2140 *et seq.*, and is executed subject to the following terms and conditions:

1. In accordance with Grantee's Certified Local Government Grant policy and Certified Local Government the Grantor grants an easement for FIVE TO FIFTY (5, 10, 15, 25, 50) years.
2. The Grantor assumes all costs necessary to preserve the historic integrity of the features, materials, appearance, workmanship and environment of the Property pursuant to the U.S. Secretary of the Interior's *Standards for the Treatment of Historic Properties*, 36 CFR 67-68. Nothing in this Easement prohibits the Grantor from seeking financial assistance from any other source (including Historic Preservation Fund Development grants) for additional preservation efforts.
3. Pursuant to Section 102(a)(5) of the National Historic Preservation Act, the Grantor assumes the cost of the continued maintenance and repair of the Property so as to keep it in a sound state of repair, prevent deterioration and preserve the architectural, historical, and archaeological integrity of the Property and enhance those qualities that make the Property eligible for listing in the National Register of Historic Places.
4. The Grantor shall maintain and preserve the Property in accordance with the recommended approaches in the U.S. Secretary of the Interior's *Standards for the Treatment of Historic Properties*, 36 CFR 67-68, in order to preserve and enhance the distinctive materials, features and spaces that caused the Property to be listed or eligible for listing on the National Register of Historic Places. The Grantor acknowledges that no visual or structural alterations will be made to the Property without prior written permission from the Grantee, its successors or assigns.

5. If the Grantor intends to undertake future work, outside the scope of this Easement, that may affect the Property, Grantor must give prior written notice to the Grantee, through the SHPO or the SHPO's successors or assigns. The Grantor also agrees to notify the Grantee in writing of any action or undertaking proposed by another governmental agency upon becoming aware of the proposed action or undertaking.
6. The Grantor agrees that no ground-disturbing activities will be permitted to be undertaken which would affect any historically significant or archaeological resources without receiving prior written permission from the Grantee and affirming that such work will meet the Secretary of the Interior's *Standards for Archaeological and Historic Preservation*, 48 FR 44716. The Grantor also agrees to ensure that any relic and material excavated will be placed in a repository that will care for the relic and material or will care for them in the manner prescribed in the *Standards for Archaeological and Historic Preservation*, 48 FR 44716, or will comply with the requirements of the Native Americans Graves Protection and Repatriation Act and with 36 CFR 79 and 43 CFR 10.
7. The Grantor will permit the Grantee, its agents, officers, employees, subcontractors or designees to enter onto the Property at all reasonable times to inspect and ascertain compliance with the conditions of this Easement or carry out remedial actions as necessary. These rights shall be exercisable in any case in which an inspection, remedial action, response to remedial action, or corrective action is found to be necessary after the date of this Easement. The Grantor will not unreasonably withhold its permission for Grantee access to and inspection of the Property.
8. The Grantor will provide public access to the Property no less than twelve (12) days each calendar year so that the general public can view the grant-assisted work and investment of public funds on the Property. The days the Property is available to the public will be equitably spaced. The Grantor may take into account seasonal and other factors that will most effectively afford public access while implementing the purpose and intent of the Grant Award. The Grantor will also provide access to the Property by appointment.
9. The Grantor and the Grantee acknowledge that as long as the grant-assisted work is clearly visible from a public right-of-way, public access to the Property is not required. Public access is also not required when interior development work such as electrical or plumbing repairs would not be visible if general access to the Property were to be provided.
10. If the Property is not open to the public except for the required twelve (12) days per calendar year, and where the improvements assisted by the Grant Awards are not visible from the public right-of-way, or the Property was acquired with Historic Preservation Fund grant funds, the Grantor agrees to provide public notification in the community or area in which the Property is located, giving the dates and times when the Property will be open to the public. The Grantor will annually publish dates and times when the Property will be open to the public. The Grantor will annually, in December of each year, provide documentation of notice of publication to Grantee during the term of this Easement.
11. The Grantor may charge a reasonable nondiscriminatory admission fee to the public that is comparable to fees charged at similar facilities in the area. The Grantor will not discourage public visitation of the Property.

12. The Grantor agrees to maintain flood insurance on the premises as required by Section 102 (a) of the Flood Disaster Protection Act of 1973, 42 USC 4001 *et seq.*, as amended, if the Property is situated in a location designated by the U.S. Secretary of Housing and Urban Development as a location with special flood hazards.
13. The Grantor shall comply with the Elliott-Larsen Civil Rights Act, MCL 37.2101 *et seq.*, the Persons with Disabilities Civil Rights Act, MCL 37.1101 *et seq.*, and all other state, federal and local fair employment practices and equal opportunity laws and covenants that it shall not discriminate against any employee or applicant for employment, to be employed in the performance of this Easement with respect to his or her hire, tenure, terms, conditions, or privileges of employment, or any other matter directly or indirectly related to employment, because of his or her race, religion, color, national origin, age, sex, height, weight, marital status, or disability that is unrelated to the individual's ability to perform the duties of a particular job or position. The Grantor agrees to include in every subcontract entered into for the performance of its obligations under this Easement this same covenant not to discriminate in employment.
14. The Grantor must comply with the Americans with Disabilities Act and with Section 504 of the Rehabilitation Act when interior public access is required at least twelve (12) days per calendar year and at other times by appointment. The Grantor is not required to make every part of the Property accessible to and useable by disabled persons by means of physical alterations. During public access periods, videos, slide presentations and/or other audio-visual media should be used to depict otherwise inaccessible areas or features. The intent of this paragraph is to communicate that the preservation/accessibility issue must be addressed and that the solution is to take careful steps to determine what can be done to improve access without sacrificing historic fabric.
15. The Grantor covenants that upon receipt of a written request from the Grantee, the Grantor shall promptly furnish the Grantee with written certification that to the best of the Grantor's knowledge, the Grantor is in compliance with the terms and conditions of this Easement.
16. The Easement runs with the land and is binding on the Grantor, its successors and assigns. The Grantor agrees to provide notice of the Easement in any deed or other legal instrument in which it divests itself of either fee simple title or some other lesser estate in the Property.
17. If the Grantor plans to sell the Property or enter into a long-term lease during the term of this Easement, the Grantor covenants to first offer the Property to the Grantee for purchase or lease, at the same price and on the same terms of the intended sale or lease. If the Grantor proposes a conveyance other than a sale or long-term lease, the Grantor, before completing the conveyance, shall first offer the Property to the Grantee at a price based on the fair market value of the land, structures and improvements thereon. The Grantee has thirty (30) days from receipt of the offer to accept or reject it in writing.
18. If the Grantor leases the Property, the Grantor covenants to incorporate into the lease all of the terms, conditions and covenants of this Easement.
19. The Grantor covenants not to employ any subcontractor, manufacturer or supplier who appears in the register compiled by the State of Michigan, Department of Licensing and Regulatory Affairs, pursuant to 1980 PA 278, MCL 423.321 *et seq.* (State Contracts with Certain Employers Prohibited).

20. The Grantor covenants to consult with the Grantee through the SHPO or the SHPO's successors or assigns, to ensure that any contracts entered into for the performance of the obligations of this Easement comply with the applicable barrier free design laws, including the Architectural Barriers Act of 1968, 42 USC 4151 *et seq.*, and the Utilization of Public Facilities by Physically Limited Act, MCL 125.1351 *et seq.* It is understood that the Grantor may apply for lawful exemptions from the requirements of these laws.
21. The Grantor, its successors and assigns, shall pay all legally required property taxes and special assessments, if any, on the Property as they become due and will not permit any taxes and assessments to become delinquent.
22. In the event that the Property is damaged by flood, snow, ice, rain, windstorm, fire, earth movement or any other natural disaster or casualty, the Grantor agrees to notify the Grantee, through the SHPO or the SHPO's successors or assigns, in writing within fourteen (14) days of the damage or destruction, further indicating what, if any, emergency work has already been undertaken and completed. The Grantor agrees not to undertake repairs or reconstruction of any type, other than emergency work to prevent further damage to the Property or to protect public safety, without the Grantee's prior written approval, which specifies that the proposed work will conform with the U.S. Secretary of the Interior's *Standards for the Treatment of Historic Properties*, 36 CFR 67-68. The Grantee agrees to give its approval or denial of work requested by the Grantor under this paragraph within sixty (60) days of receiving the Grantor's request.
23. The Grantor acknowledges that the Grantee, after providing written notice to the Grantor, may institute action(s) to enjoin violations of this Easement, to require specific performance, and to require restoration of the Property in conformity with the U.S. Secretary of the Interior's *Standards for the Treatment of Historic Properties*, 36 CFR 67-68. The Grantee has available to it all legal and equitable remedies to enforce Grantor's obligations under this Easement. If the Grantor is found by a court of competent jurisdiction to have violated any of its obligations, the Grantor shall reimburse the Grantee for all costs and expenses incurred in connection with the Grantee's enforcement of the terms of this Easement, including but not limited to all court costs, attorney's fees, architectural fees, engineering and expert witness fees.
24. This Easement constitutes the entire easement between the parties and may only be amended in writing by the Grantor with the written Easement of the Grantee, provided the amendment is consistent with the preservation purpose of the Grant Award and does not reduce the Easement term. No amendment will be effective unless it is executed in the same manner as this Easement was originally executed, expressly refers to the Easement and is recorded in the Register of Deeds' Office in the county in which the Property is located.
25. This Easement will be interpreted in accordance with the laws of the State of Michigan.
26. If any provision of this Easement or any amendment thereto is found to be illegal or otherwise unenforceable by a court of competent jurisdiction, such provision will be severed from the remainder of the Easement and such action will not affect the enforceability of the remaining provisions of the Easement.
27. Upon execution, the Grantor covenants to promptly record this Easement, in the Register of Deeds Office in county in which the Property is located.



**Drafted By:**

Assistant Attorney General  
State Operations Division  
P. O. Box 30754  
Lansing, MI 48909  
(517) 373-1162

**Legal Description Reviewed By:**

Legal Affairs – SHPO  
Michigan State Housing Development Authority  
735 E. Michigan Avenue  
Lansing, MI 48912  
(517) 373-4765

Legal Affairs – SHPO  
Michigan State Housing Development Authority  
735 E. Michigan Avenue  
Lansing, MI 48912  
(517) 373-4765

**DRAFT**

**THIS INSTRUMENT IS EXEMPT FROM REAL ESTATE  
TRANSFER TAXES PURSUANT TO SECTION 5(h) OF 1966 PA  
134, MCL 207.505(h)(i), AND SECTION 6(h) OF 1993 PA 330, MCL  
207.526(h)(i)**

## CHAPTER 5

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### Project Sign

When a rehabilitation project is undertaken using CLG grant funds, a sign at the project site acknowledging federal assistance shall be installed when work begins and be maintained until work is complete. The sign must be clearly readable from the public right-of-way.

The sign shall be obtained and installed by the grant recipient. **The cost of the sign is an allowable project expense.** The sign should be at least 2' x 3' and be located in a publicly accessible location. The sign must read:

**HISTORIC PRESERVATION CLG GRANT PROJECT**

This rehabilitation of (name of property), which is listed in the National Register of Historic Places, has been funded with the assistance of a matching grants-in-aid from the U. S. Department of the Interior, National Park Service, under the provisions of the National Historic Preservation Act of 1966. This grants-in-aid has been awarded by and is administered through the Michigan State Housing Development Authority.

One 4" x 6" color photograph of the sign must be submitted to the Michigan State Housing Development Authority prior to project completion.

## CHAPTER 6

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### Allowable and Unallowable Costs

#### GENERAL

The principles governing which direct costs are allowable are determined in accordance with federal Management and Budget Circular A 87 and A 102, and the National Park Service's Grant Manual. The following factors affect the allowability of costs.

- The cost item must be necessary for proper and efficient conduct of grant supported activities; be reasonable and within the scope of approved work; be allowable under these principles; and, except as otherwise specified in this manual, not be a general expense required to carry out the overall responsibilities of state or local governments.
- The cost item must be authorized or not prohibited under state or local laws or regulations.
- The cost item must conform to any limitations or exclusions set forth in these cost principles, federal laws, this manual, or other limitations included in the grant award as to types or amounts of cost items.
- The cost items must be consistent with policies, regulations, and procedures that apply uniformly to both federally assisted and other activities of the unit of government or organization of which the grantee is a part.
- The cost item must be accorded consistent treatment through application of generally accepted accounting principles and practices appropriate to the particular circumstances.
- The cost item must not be allocable to, or included as, a cost of any other federally financed program in either the current or a prior period.
- The cost item must be net of all applicable credits.
- The cost must be incurred after the execution and before the end date of the grant agreement with the Michigan State Housing Development Authority. Costs for grants, which cross federal fiscal years, must be claimed at the appropriate time for each fiscal year. Costs from the previous fiscal year will not be allowable as part of the second fiscal year costs.

#### ALLOWABLE COSTS

The SHPO will review and may make changes in the budget line items in the application as submitted. The final budget approved by the SHPO will become an attachment to the grant agreement. Following are some examples of allowable project costs:

- **PAID STAFF TIME AND IN-KIND SERVICES**  
Compensation for project personnel during the project period including wages, salaries, and supplementary compensation and benefits are allowable costs. Payrolls must be supported by daily time and attendance records that shall indicate the time worked and the work performed, and be signed by the employee and supervisor. See the sample time sheet at the end of this manual. Time in excess of a regular working day is not allowable. It is recommended that time sheets be handwritten, rather than typed.
- **FRINGE BENEFITS**  
Fringe benefits for paid or in-kind employees in the form of employer's contributions to social security, life and health insurance plans, unemployment insurance coverage, worker's compensation plans, and pension plans are allowable, provided costs are distributed equitably to grant costs and other activities.
- **VOLUNTEER OR DONATED TIME**  
Donated service represents the value of non-cash contributions provided by the local sponsor or non-federal third parties. If donated services are part of the match, the application must include a certification from the volunteer justifying the proposed rate and stating the number of hours to be donated. In addition, a resume for each volunteer shall be submitted. The Michigan State Housing Development Authority must approve proposed rates for volunteers.

A professional is defined as a person who does the work in question for a living and should be assigned a professional rate. A person not meeting this standard must be considered a non-professional and should be assigned the minimum wage as an allowable rate. You would not expect to pay a neighbor for helping paint a house at the same rate that you would a professional painter. Likewise, a physician may not use his standard charge if he is working as a surveyor. A person's qualifications must be considered along with the tasks in assigning a rate to that work.

Rates assigned for donated services must be consistent with those paid at the state level or, if such services are not provided at the state level, consistent with rates that would be paid if the services were purchased in the labor market. Donated time from individuals or groups other than the grant recipient shall be exclusive of fringe benefits. The time donated will be documented when project work begins by use of time sheets as in the Appendix.

- **PROFESSIONAL/CONSULTANT FEES**

The grant recipient may subcontract all or part of the project work. Free and open competition must be maintained. The Michigan State Housing Development Authority must receive documentation of the procurement at each stage and must approve the subcontractor and the subcontract. The following shall be submitted to the Michigan State Housing Development Authority, and each step must be approved, before the grant recipient proceeds further:

1. Copy of the specifications or request for proposals. The RFP shall identify all evaluation factors.
2. Documentation that bids were requested from at least three consultants and a copy of each proposal. Federal regulations require that all subcontractors certify that they have not been prohibited from participation in federal programs. Please require all bidders to complete and return the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion form with their proposals.
3. Documentation of the evaluation of the proposals. Grant recipients may develop their own systems for evaluating proposals as long as the award is made to the responsible offer whose proposal will be most advantageous, price and other factors considered. Unsuccessful bidders should be notified promptly.

Possible proposal evaluation criteria:

- Price (35 percent) (Favors the least expensive proposal providing an adequate work product).
  - Capability and qualifications (35 percent) (Covers the ability of a prospective consultant to meet the terms of the RFP, especially the time constraints, and the quality and relevance of similar projects completed by the consultant. Emphasis will also be placed on the soundness of the consultant's approach to the problem, including the techniques to be used for collecting and analyzing data, as well as the ability to utilize the data collected or recovered from the project to address the research problems involved).
  - Professionalism (30 percent) (Refers to the competence of professional personnel who will be assigned to the project by the consultant for both the administrative and infield components of the work. Qualifications of professional personnel will be measured by education and experience (36 CFR 61) with particular reference to experience on projects similar to that described in this RFP and familiarity with and experience in Michigan architecture, history and archaeology. Emphasis will be placed upon the qualifications of the project manager and the amount of dedicated management planned for this project by the consultant. It is the responsibility of the contractor to provide field personnel of sufficient qualifications and training to ensure proper collection of data. The project manager/principal investigator is responsible for the adequate performance of all project work).
4. The SHPO must approve a consultant you wish to hire before a subcontract is executed.
  5. A copy of the signed subcontract will be submitted to the SHPO at the time it is executed. This contract shall specify the project work and be priced at a set fee or a not to exceed figure and include a debarment certification form. Because the subcontract must include all work as outlined in the grant agreement with the Michigan State Housing Development Authority and also references to laws, regulations, and guidelines which your organization must pass along to the subcontractor, it is recommended that the Michigan State Housing Development Authority grant agreement be an attachment to the subcontract.

**Note:** The SHPO can provide assistance in locating consultants who are qualified to perform project work.

- **SUPPLIES**

The cost of supplies necessary to carry out the grant work is allowable. Purchases made specifically for the grant work shall be charged at their actual prices after deducting all cash

discounts, trade discounts, rebates, and allowances received by the grant recipient. Withdrawals from general stores or stockrooms should be charged at cost under a recognized method of pricing consistently applied.

The grant recipient must perform a cost analysis for all purchased supplies. The following is suggested:

Value of Proposed Contract	Award Process Required
\$0 to \$500.00	Competition not required but encouraged
\$500 to \$4,999.99	Documentation of competitive pricing through phone, mail, personal shopping, fee schedules. Must use "Documentation of Contract Award" process. If a proposal with a work statement is required, "Small dollar" Request for Proposals (RFP) process must be used.
\$5,000.00 or more	"Small Dollar" RFP process required, formal process optional.

- **TRAVEL**

Travel costs are allowable for expenses for transportation, lodging, subsistence, and related items for project personnel who are in travel status for project related work. Such costs may be charged on an actual basis or on a standard rate basis so long as the standard rate is consistent with state rates. When actual costs are used, documentation must be provided for each cost. All lodging costs must be substantiated with invoices. First class airfare is not allowable.

- **CONSTRUCTION COSTS**

See the next chapter on bidding construction work.

- **PUBLICATIONS**

Costs of publication may be allowable if the publication is defined in the application. The grant recipient must delineate how the publication relates to the Historic Preservation Program, how many copies will be printed, estimated cost per copy, and how the publication will be distributed. During the project period, all publications will be distributed free of charge. Any publication shall contain the acknowledgment of federal funding statement and the statement of non-discrimination.

### **UNALLOWABLE COSTS**

Unallowable costs include but are not limited to:

- Bad Debts. Any losses arising from non-collectable accounts and other claims, and related collection costs, are unallowable.
- Equipment. The cost of equipment is not allowable.
- Fundraising. Expenses and costs of organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions are unallowable.
- Interest and Other Financial Costs. Interest on borrowing is not allowable.
- Interpretive Expenses. Staff salaries for interpretive services or maintenance of interpretive devices are unallowable.
- Entertainment. Costs of amusements, social activities, and related incidental cost such as meals, beverages, lodgings, rentals, transportation, and gratuities are unallowable. Costs of meals for employees when they are not in travel status are not allowable.
- Markers. Historical markers are not an allowable cost.
- Work Study Students. Students in a federally funded work/study program cannot contribute donated services as matching share.
- Archaeological Salvage
- Entertainment
- Lobbying

## CHAPTER 7

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### Procurement & Subcontracts

#### 1. CONSTRUCTION

All work over \$10,000 must be advertised for bids in one or more general circulation newspapers. The advertisement must be published at least three times, state that federal funds are involved, and that compliance with all applicable federal, state and local laws, rules, and regulations are required. The specifications should be written in such a way as to avoid restrictions that might unduly limit the number of bidders. Sufficient time should be given for contractors to prepare and submit bids, preferably 30 days. Positive efforts should be made to utilize small business and minority-owned business sources. If the project cost is over \$100,000 a bid guarantee is required from each bidder equivalent to 5 percent of the bid price.

Formally advertised procurements should use sealed bids, public openings of bids, and fixed-price type subcontracts. The subcontract must be awarded to the lowest bidder whose bid is responsive to the invitation.

Documentation of the bidding process shall be submitted to the Michigan State Housing Development Authority (SHPO) when it has been completed. This process and the contract shall be approved by SHPO. The necessary documentation includes:

- A copy of the advertisement.
- A description of the methods of publicizing the solicitation, including dates and places of publication or posting.
- Copies of responses received. These should include a debarment form.
- Method and justification for contractor selection.
- A signed copy of the bid tabulation sheet.
- A copy of the signed and dated subcontract.

When purchases are to be under \$10,000, or when professional/architectural or engineering services are being secured, three proposals must be solicited, and the award should be made to the responsible offer or the proposal that is most advantageous to the grantee. Documentation of the competition and a copy of the signed subcontract must be submitted to the SHPO as soon as the bid process is complete. Note that cost-plus subcontracts and unlimited time and materials contracts are not allowable.

All construction subcontracts must evidence:

- That work was accomplished in accordance with contract specifications.
- A provision for compliance with the Copeland "Anti-Kick Back" act (18 usc 874).
- Formal advertising, sealed bids, and public opening of bids; or that negotiation occurred only when no acceptable bids were received after formal advertising; or that other conditions existed which allowed negotiation in lieu of formal advertising in accordance with federal guidelines.
- That the terms of all negotiated contracts met contract specifications.
- Provisions or conditions that will allow for administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as may be appropriate.
- Requirement that contractors maintain all required records for three years after grant end date, or until any audit questions are resolved.

In addition, all subcontracts over \$10,000 (aggregate) must include evidence of:

- A provision for termination and basis for settlement.
- A description of conditions under which the contract may be terminated due to default.
- A description of conditions for termination of the contract because of circumstances beyond the control of the contractor.
- A provision requiring compliance with Executive Order 12246, "Equal Employment Opportunity". (See federal requirements at the end of this chapter).

In addition, all subcontracts over \$100,000 must include evidence:

- That a bid guarantee (bid bond, certified check, or other negotiable instrument) for 5 percent of the bid price was obtained from the contractor.
- That a performance bond for 100 percent of contract price was obtained from the contractor.

- That a payment bond for 100 percent of contract price was obtained from the contractor.
- Of a provision which requires compliance with section 306 of the Clean Air Act (42 USC 1847 (h)), section 508 of the Clean Water Act (33 USC 1368), Executive Order 12738, and Environmental Protection Agency regulations (40 CFR Part 15), which prohibit the use under non-exempt federal contracts, grants or loans of facilities included on the EPA list of violating facilities. The provision shall require reporting of violations to the Department of the Interior and to the US EPA assistant administrator for enforcement.

It is federal policy to award a fair share of contracts to small and minority business firms. Accordingly, affirmative steps must be taken to assure that small and minority businesses are utilized when possible as sources of supplies, equipment, construction, and services. Affirmative steps shall include the following:

- Including qualified small and minority businesses on solicitation lists.
- Assuring that small and minority businesses are solicited whenever they are potential sources.
- When economically feasible, dividing total requirements into smaller tasks or quantities so as to permit maximum small and minority business participation.
- Where the requirement permits, establishing delivery schedules that will encourage participation by small and minority business.
- Using the services and assistance of the Small Business Administration and the Office of Minority Business Enterprise of the U.S. Department of Commerce, and the Michigan Department of Labor and Economic Growth, Office of Business and Community Development, Box 30225, Lansing, MI 48909 (telephone 517-373-6378) as required.
- If any subcontracts are to be let, requiring the prime contractor to take the affirmative steps in 1-5 above.

## **2. EQUAL OPPORTUNITY REQUIREMENTS FOR CONSTRUCTION CONTRACTS**

The following federal requirements (Executive Order 12246) apply to all construction contracts in excess of \$10,000 (federal and matching share):

### **a. GRANT RECIPIENT RESPONSIBILITIES:**

- i. For bidding documents include the following:
  - Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity (EEO), including goals that are to be inserted by contracting officer or applicant. Goals may be obtained from:

Office of Federal Contract Compliance Programs (OFCCP)  
 Assistant Regional Administrator  
 U.S. Department of Labor, New Federal Building, 16th Floor  
 230 S. Dearborn Street, Chicago, Illinois 60604  
 (312) 353-8887

- ii. For construction subcontracts over \$10,000 the following must be included in the contract:
  - "Equal Opportunity Clause". (This may be included by reference. See Appendix K).
  - "Standard Federal Equal Employment Opportunity Construction Contract Specification." (See Appendix K).
  - "Certification of Non-Segregated Facilities" signed by prime contractor and subcontractor. (See Appendix K).
  - Provide notice of contract awards subject to these provisions to the Director of OFCCP within 10 days after the award (notice shall include name, address and telephone number of contractor, employer identification number, dollar amount of contract, estimated starting and completion dates, contract number, and geographical area in which the contract is to be performed). Notice should be sent to OFCCP's Regional Office.
  - Cooperate with the Director of NPS and the Director of OFCCP in the implementation of the program.
  - Ensure that EEO posters are displayed at federally assisted construction sites. Posters may be obtained from OFCCP.
  - Ensure that contractors engaged in federally assisted construction contracts are providing data and reports to the appropriate OFCCP regional office as required or requested.
  - Ensure that the provisions of the "Equal Opportunity Clause" are followed for construction contracts involving force account labor.
  - Pursuant to Executive Order 12246, carry out sanctions and penalties imposed by the Secretary of Labor upon the federally assisted construction contractor or subcontractor,

and refrain from entering into any contract, extension of a contract, or other modification of such a contract with a contractor debarred from government contracts under this order.

**b. SUBCONTRACTOR RESPONSIBILITIES**

- i. Abide by the provisions of the "Equal Opportunity Clause", whether it applies to government construction contracts or to federally assisted construction contracts (Appendix K).
- ii. Abide by the provisions of the following:
  - "Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity." (Appendix J)
  - "The Standard Federal Equal Employment Opportunity Construction Contract Specification." (Appendix K).
- iii. Ensure that personnel decisions are also in accordance with the following:
  - Uniform Guidelines on Employee Selection Procedures (see 41 CFR 60-3).
  - Sex Discrimination Guidelines (see 41 CFR 60-20).
  - Guidelines on Discrimination Because of Religion or National Origin (see 41 CFR 60-50).
- iv. Incorporate into all subcontracts the following:
  - "Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity."
  - "The Standard Federal Equal Employment Opportunity Construction Contract Specification."
  - "The Equal Opportunity Clause."
- v. Provide data and reports to OFCCP as required or requested including the following:
  - One-time notification within 10 days of all federal and non-federal construction projects in the designated geographic area, by agency, contract number, location, estimated dollar value, percent completed and project completion date.
  - Notifications of any subsequent federal or nonfederal construction work in the designated geographic area in excess of \$10,000.
  - Workforce Utilization Report to be filed monthly. (Form CC-257).
- vi. Maintain non-segregated facilities.
- vii. Include a signed "Certification of Non-Segregated Facilities" in contracts, and require subcontractors to include a signed "Certification of Non-Segregated Facilities." (Appendix K).
- viii. Expressly state in all employment solicitation or advertising that the contractor is an Equal Opportunity Employer.
- ix. Display Equal Opportunity Poster.
- x. Allow OFCCP personnel access to site, records, and employees for purpose of determining the contractor's compliance status.
- xi. Refrain from entering into contracts with contractors debarred from federal contracts or federally assisted construction contracts by the Secretary of Labor.

The Construction Procurement Summary Sheet found in Appendix K may be used to ensure that all requirements have been met.

## CHAPTER 8

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### Matching Share

The CLG grant program is a 60-40 match program. Forty (40) percent of the total project cost is to be provided by the grant recipient. Certification of the availability of the match must be provided with the final application. Certification may be a statement from a banker that funds are available, a resolution from the city council setting aside specific funds, or similar verification. The certification should specify the amount and source of the funding, that the funds are earmarked for the project, and that the funds will not be used to match other federal funds. Donated time will be certified through a certification from the person donating his/her time that he/she will donate "X" hours at "X" rate.

The matching share must be approved by the SHPO prior to execution of a contract. SHPO staff will use the project budget to approve the matching share. Any changes to the project budget or to the proposed match must be approved in advance in writing by the SHPO. Matching funds may include the following:

- Private Funds
- Municipal Funds
- State Funds
- Federal Community Development Block Grant Funds. Note that provisions of the Davis-Bacon Act apply if CDBG funds are used as matching share.
- In-Kind Services. The in-kind contributions of paid staff may be valued at the grant recipient's actual cost. Fringe benefits for in-kind salary costs are allowable. In-kind salary costs will be supported by daily time records that indicate the time worked, the work performed and be signed by the employee and the supervisor (a sample timesheet is included in this manual).
- Donated Services. Donated services represent the value of non-cash contributions provided by non-federal third parties. If donated services are part of the match, the project sponsor shall provide documentation of the type, rate, and source of such services. Fringes may not be applied to donated services.
- Rates assigned for donated services must be consistent with those paid in state government or, if services are not available in state government, the rates shall be consistent with those paid if the services were purchased in the labor market. In estimating donated match, a rate must be established at the time of application for each prospective individual donating his/her services. A resume for each worker must be included with the application if the rates charged are above the minimum wage rate. The time donated will be supported by daily time records, which indicate the time worked, the work performed and be signed by the employee and the supervisor (a sample timesheet is included in this manual).
- Donated Equipment or Material. Equipment may be used as match if included in the final application. The use of donated equipment and material must be documented. The SHPO can provide sample forms. Donated services, equipment or material are not eligible for reimbursement as if they were cash expenditures. They may be used as match only.

## CHAPTER 9

### Completion and Reimbursement

Funds will be disbursed to the grant recipient only on a reimbursement basis. Requests for reimbursement must include documentation of both federal and match portions of the grant. Reimbursement shall not exceed the amount of the grant award. No advances shall be made under any circumstances. Please also refer to the chapter on allowable and unallowable costs.

Project coordinators who are part of large institutions should assure that the appropriate personnel are advised of documentation requirements at the beginning of the project work.

#### 1. EXPENDITURE DOCUMENTATION

All documents and supporting entries on the accounting records must be available for inspection by authorized representatives of the U.S. Department of the Interior and the Michigan State Housing Development Authority. All such records must be retained for inspection for three years after the federal reimbursement has been received or until all claims or audit findings have been resolved. Grant projects that cross the September 30/October 1 fiscal year ending will be required to submit the following by September 15:

- A progress report on work accomplished and any completed products.
- A summary of all expenditures through September 30 by cost category and by federal and matching share.
- Copies of invoices, time sheets, and canceled checks.
- All bidding documents for subcontractors must have been approved and a signed copy of the contract with the subcontractor submitted.

At the end date of the contract, the grant recipient shall submit to the SHPO the following:

- Copies of the completion report (as described below).
- A Request for Reimbursement form (see appendix).
- Copies of all invoices, time sheets and canceled checks (see below).

A special project account should be established for each project for auditing purposes. The account should be opened as a single purpose checking account or, in governmental sub-units, through a separate cost account. Copies of canceled checks, time sheets, vouchers, and similar documents shall be used to substantiate expenses. Please group each set of documentation, matching the checks with their corresponding invoices. Attach a summary to each set of documentation itemizing the material such as:

Description	Amount
<i>LABOR:</i>	
Ty Debevoise, 200 hours @ \$10 per hour	<b>\$2,000</b>
<i>SUPPLIES:</i>	
Hausmann Photography Supply (film) 10 rolls @ \$5 per roll	<b>\$50</b>
Mitchell Parr Photo Services 10 rolls @ \$10 per roll	<b>\$100</b>
	<b>\$2,150</b>

## **2. SALARIES AND WAGES**

### **PAID**

A grant recipient shall submit proof of expenditures (canceled checks) for salaries and wages. This will include in-kind services. Time spent on the project must be documented by time sheets, and the time sheets must be approved by the project coordinator

### **DONATED**

Donated time spent on the project must be logged by means of time sheets. Time sheets must indicate work performed and the days and hours worked, and must be signed by the employee and the project director. All donated time to be used toward reimbursement must have been approved in the final application. Any pay rate more than minimum rate must be justified in the final application. Fringe benefits cannot be computed on donated time.

## **3. SUPPLIES**

The grant recipient must perform a cost analysis for all purchased supplies.

### **PAID**

Itemized invoices must be submitted and supported by copies of canceled checks. If a printout is used, it must be itemized so that all costs can be tracked. Invoices and canceled checks to consultants must be submitted. Cash purchases must be supported by invoices. If invoices are not attainable, itemized purchase orders or check requests from your agency must be submitted. The supporting purchase order or check request must describe each item and its price.

### **DONATED**

Donated equipment and supplies must be listed separately. There must be a letter from the donor (not the grant recipient). This letter shall describe the type of material donated, source of material, rate charged, and a statement on how the value was assigned. All donated supplies or equipment to be used toward reimbursement must have been approved with the final application. Forms for verifying donation may be obtained from the SHPO.

## **4. TRAVEL**

Documentation of travel expenses must be maintained throughout the project. The documentation shall include name of employee, dates of travel, amount of travel, expenses incurred, nature of travel and canceled checks as proof of payment for travel.

If standardized travel rates are used, these should be consistent with the standard state travel rates for mileage, meals and lodging. A paid bill must support lodging charges. Travel charges may only be charged to a project if a project representative is in travel status. Gasoline receipts shall be provided if gasoline costs are to be charged to the grant. Gasoline costs cannot be charged in addition to mileage for the same trip.

## **5. DEVELOPMENT PROJECT COMPLETION REPORT**

The grant recipient should consult his grant agreement to determine what is needed for the completion report. Usually the recipient shall submit to the Michigan State Housing Development Authority copies of a project completion report, including two sets of photographs of professional quality, which includes at a minimum the following: (See list on next page)

## Rehabilitation Project Completion Report Checklist

- National Register title and address of the grant-assisted property
- Project number
- Name and address of subgrantee
- Names and titles of project supervisors and consultants
- Total project cost
- Federal share
- Donor, source, kind and amount of other federal or non-federal funds.
- Final work cost breakdown by major work categories.
- Any reports from consultants and any test results.
- An evaluation of the project work.
- Photographs
  - NPS photograph requirements for the final project report:**
    - One set of photographs of at least 5" x 7" that identify all work performed with grant assistance. Photographs must illustrate the before and after conditions of the property. "After" views shall duplicate "before" views as closely as possible.
  - SHPO photograph requirements for the final project report:**
    - 4" x 6" photographs showing the project work in progress. Photographs shall be of sufficient quantity to ensure that all aspects of project work are adequately documented.
    - 4" x 6" photographs showing the completed project. "After" views shall duplicate "before" views as closely as possible.
    - One 4" x 6" photograph of the project sign.
    - One CD of project images that includes both work in progress and completed project images.
  - Refer to **Appendix I: Photograph Technical Requirements** in this manual for information regarding both printed photographs and digital images.

**GRANT MANUAL APPENDIX A (for SHPO use only)**

**Building Rehabilitation Scoring Criteria**

The scoring criteria sheets used by the SHPO are included for your information.

Project Name: \_\_\_\_\_

Applicant: \_\_\_\_\_

If the project includes interior work the building must be open to the public at least 12 days per year. Documentation of public use of the resource is provided in the grant application.

\_\_\_\_\_ YES \_\_\_\_\_ NO

CERTIFICATION		
YES	NO	N/A
<p><b><i>Plans and specifications are sufficient to proceed with bidding the work, and are consistent with the Secretary of Interior's Standards for Rehabilitation.</i></b></p>		
<p>_____</p> <p>Historical Architect Signature</p>		<p>_____</p> <p>Date</p>

			MAXIMUM POINTS AVAILABLE	TOTAL POINTS RECEIVED
<b>CRITERIA</b>	1)	Is being undertaken in association with one or more of these priority programs: resource identification and designation in support of economic development and community planning activities; revitalization of traditional downtowns.	20	
	2)	Resource is a Mid-Century Modern building. (1940 – 1970)	10	
	3)	Resource supports cultural heritage tourism.	10	
	4)	Seeks to integrate current green/energy efficiency best practices and preservation technologies.	10	
	5)	Project will stabilize structure and/or promote continued use of the resource.	25	
	6)	Application demonstrates that the project is consistent with the community master plan.	10	
	7)	Product will appeal to and be marketed to a broader audience than the applicant community or building.	5	
	8)	Will result in published or web-based information available to the public. Application addresses how project will be promoted to the public, before, during and after the project is completed.	5	
	9)	Application demonstrates that the project has a planned use that is compatible with the resource	5	
<b>TOTAL POINTS</b>			100	

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Reviewer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## Building Rehabilitation Planning Scoring Criteria

The scoring criteria sheets used by the SHPO are included for your information.

Project Name: \_\_\_\_\_

Applicant: \_\_\_\_\_

		<b>MAXIMUM POINTS AVAILABLE</b>	<b>TOTAL POINTS RECEIVED</b>	
<b>CRITERIA</b>	1)	Is being undertaken in association with one or more of these priority programs: resource identification and designation in support of economic development and community planning activities; revitalization of traditional downtowns.	20	
	2)	Resource is a Mid-Century Modern building. (1940 - 1970)	10	
	3)	Resource will support cultural heritage tourism.	10	
	4)	Seeks to integrate current green/energy efficiency best practices and preservation technologies.	10	
	5)	Project will result in the creation of a rehabilitation master plan, historic structures report, feasibility or marketing study, or comprehensive plans and specifications for building rehabilitation.	20	
	6)	Application demonstrates that the resource is threatened by demolition, policy change, or by loss of significant features.	10	
	7)	Application demonstrates that the project is consistent with the community master plan.	10	
	8)	Will result in published or web-based information available to the public. Application addresses how project will be promoted to the public before, during and after the project is completed.	5	
	9)	Application demonstrates that the project has a planned use that is compatible with the resource.	5	
<b>TOTAL POINTS</b>		100		

Comments: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Reviewer Signature: \_\_\_\_\_ Date: \_\_\_\_\_



The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,
- The U.S. grantor or other owner of a grantor trust and not the trust, and
- The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS a percentage of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

#### Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

Also see *Special rules for partnerships* on page 1.

### Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

### Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

### Specific Instructions

#### Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

**Sole proprietor.** Enter your individual name as shown on your income tax return on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name/disregarded entity name" line.

**Partnership, C Corporation, or S Corporation.** Enter the entity's name on the "Name" line and any business, trade, or "doing business as (DBA) name" on the "Business name/disregarded entity name" line.

**Disregarded entity.** Enter the owner's name on the "Name" line. The name of the entity entered on the "Name" line should never be a disregarded entity. The name on the "Name" line must be the name shown on the income tax return on which the income will be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a domestic owner, the domestic owner's name is required to be provided on the "Name" line. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on the "Business name/disregarded entity name" line. If the owner of the disregarded entity is a foreign person, you must complete an appropriate Form W-8.

**Note.** Check the appropriate box for the federal tax classification of the person whose name is entered on the "Name" line (Individual/sole proprietor, Partnership, C Corporation, S Corporation, Trust/estate).

**Limited Liability Company (LLC).** If the person identified on the "Name" line is an LLC, check the "Limited liability company" box only and enter the appropriate code for the tax classification in the space provided. If you are an LLC that is treated as a partnership for federal tax purposes, enter "P" for partnership. If you are an LLC that has filed a Form 8832 or a Form 2553 to be taxed as a corporation, enter "C" for C corporation or "S" for S corporation. If you are an LLC that is disregarded as an entity separate from its owner under Regulation section 301.7701-3 (except for employment and excise tax), do not check the LLC box unless the owner of the LLC (required to be identified on the "Name" line) is another LLC that is not disregarded for federal tax purposes. If the LLC is disregarded as an entity separate from its owner, enter the appropriate tax classification of the owner identified on the "Name" line.

**Other entities.** Enter your business name as shown on required federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name/disregarded entity name" line.

**Exempt Payee**

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the "Exempt payee" box in the line following the "Business name/disregarded entity name," sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

**Note.** If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
  2. The United States or any of its agencies or instrumentalities,
  3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
  4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
  5. An international organization or any of its agencies or instrumentalities.
- Other payees that may be exempt from backup withholding include:
6. A corporation,
  7. A foreign central bank of issue,
  8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
  9. A futures commission merchant registered with the Commodity Futures Trading Commission,
  10. A real estate investment trust,
  11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
  12. A common trust fund operated by a bank under section 584(a),
  13. A financial institution,
  14. A middleman known in the investment community as a nominee or custodian, or
  15. A trust exempt from tax under section 664 or described in section 4947.

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 5 and 7 through 13. Also, C corporations.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 7 <sup>2</sup>

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney, and payments for services paid by a federal executive agency.

**Part I. Taxpayer Identification Number (TIN)**

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note.** See the chart on page 4 for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at [www.ssa.gov](http://www.ssa.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/businesses](http://www.irs.gov/businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting [IRS.gov](http://IRS.gov) or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note.** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

**Part II. Certification**

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, below, and items 4 and 5 on page 4 indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on the "Name" line must sign. Exempt payees, see *Exempt Payee* on page 3.

**Signature requirements.** Complete the certification as indicated in items 1 through 3, below, and items 4 and 5 on page 4.

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

### What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee <sup>1</sup>  The actual owner <sup>1</sup>
5. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulation section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulation section 1.671-4(b)(2)(i)(B))	The trust

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or "DBA" name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.

\*Note. Grantor also must provide a Form W-9 to trustee of trust.

**Note.** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

### Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, social security number (SSN), or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

### Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: [spam@uce.gov](mailto:spam@uce.gov) or contact them at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 1-877-IDTHEFT (1-877-438-4338).

Visit [IRS.gov](http://IRS.gov) to learn more about identity theft and how to reduce your risk.

### Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

## GRANT MANUAL APPENDIX C

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Instructions for  
U.S. Department of Interior form DI-2010

Certification Regarding Debarment, Suspension and  
Other Responsibility Matters, Drug-Free Workplace  
Requirements and Lobbying

- Subgrantees (Lower Tier Participants) must complete Part B.
  - If the subgrantee is an organization, Part C must also be completed.
  - If the subgrantee is an individual, Part D must also be completed.

**Note:** Part C contains two sections, both of which must be completed if Part C applies.

- The subgrantee authorized certifying official must complete the signature section of this form located after Part E.

**Note:** U.S. Department of Interior form DI2-2010 follows. This form cannot be altered, amended, changed, or modified in any way.

U.S. Department of the Interior

**Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying**

Persons signing this form should refer to the regulations referenced below for complete instructions:

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions - **The prospective primary participant further agrees by submitting this proposal that it will include the clause titled, "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," 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. See below for language to be used or use this form certification and sign. (See Appendix A of Subpart D of 43 CFR Part 12.)**

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions - (See Appendix B of Subpart D of 43 CFR Part 12.)

Certification Regarding Drug-Free Workplace Requirements - Alternate I. (Grantees Other Than Individuals) and Alternate II. (Grantees Who are Individuals) - (See Appendix C of Subpart D of 43 CFR Part 12)

Signature on this form provides for compliance with certification requirements under 43 CFR Parts 12 and 18. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of the Interior determines to award the covered transaction, grant, cooperative agreement or loan.

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

*CHECK \_\_\_ IF THIS CERTIFICATION IS FOR A PRIMARY COVERED TRANSACTION AND IS APPLICABLE.*

- (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 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.

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**PART B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions**

*CHECK \_\_\_ IF THIS CERTIFICATION IS FOR A LOWER TIER COVERED TRANSACTION AND IS APPLICABLE.*

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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**PART C: Certification Regarding Drug-Free Workplace Requirements**

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CHECK \_\_\_ IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS NOT AN INDIVIDUAL.

Alternate I. (Grantees Other Than Individuals)

- A. The grantee certifies that it will or 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. 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;
  - (f) 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;
  - (g) 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)

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Check \_\_\_ if there are workplaces on files that are not identified here.

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**PART D: Certification Regarding Drug-Free Workplace Requirements**

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CHECK \_\_\_ IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS AN INDIVIDUAL.

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

DI-2010  
June 1995  
(This form replaces DI-1953, DI-1954,  
DI-1955, DI-1956 and DI-1963)

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**PART E: Certification Regarding Lobbying  
Certification for Contracts, Grants, Loans, and Cooperative Agreements**

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*CHECK \_\_\_ IF CERTIFICATION IS FOR THE AWARD OF ANY OF THE FOLLOWING AND  
THE AMOUNT EXCEEDS \$100,000: A FEDERAL GRANT OR COOPERATIVE AGREEMENT;  
SUBCONTRACT, OR SUBGRANT UNDER THE GRANT OR COOPERATIVE AGREEMENT.*

*CHECK \_\_\_ IF CERTIFICATION FOR THE AWARD OF A FEDERAL  
LOAN EXCEEDING THE AMOUNT OF \$150,000, OR A SUBGRANT OR  
SUBCONTRACT EXCEEDING \$100,000, UNDER THE LOAN.*

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 an agency, a Member of Congress, and 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, an officer or employee of Congress, or an employee of 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 subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify 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.

As the authorized certifying official, I hereby certify that the above specified certifications are true.

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SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

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TYPED NAME AND TITLE

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DATE

DI-2010  
June 1995  
(This form replaces DI-1953, DI-1954,  
DI-1955, DI-1956 and DI-1963)

## GRANT MANUAL APPENDIX D

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### CERTIFICATE VERIFYING KEY PERSONS OF THE CONTRACTOR/SUBGRANTEE

The Contractor/Subgrantee acknowledges that the following personnel are Key Persons of the Contractor/Subgrantee Agreement:

(1) Name \_\_\_\_\_  
(Print or type Name above line)

Title with Contractor/Subgrantee \_\_\_\_\_

Is the Key Person a retiree who receives a pension from the Michigan State Employees Retirement System? Yes \_\_\_\_\_/No \_\_\_\_\_

(2) Name \_\_\_\_\_  
(Print or type Name above line)

Title with Contractor/Subgrantee \_\_\_\_\_

Is the Key Person a retiree who receives a pension from the Michigan State Employees Retirement System? Yes \_\_\_\_\_/No \_\_\_\_\_

(3) Name \_\_\_\_\_  
(Print or type Name above line)

Title with Contractor/Subgrantee \_\_\_\_\_

Is the Key Person a retiree who receives a pension from the Michigan State Employees Retirement System? Yes \_\_\_\_\_/No \_\_\_\_\_

Print or Type Contractor/Subgrantee Name Above Line

By: \_\_\_\_\_  
Signature Date

Name of Signatory for Contractor/Subgrantee: \_\_\_\_\_  
Print/Type Name of Signatory Above Line

Its: \_\_\_\_\_

Federal Identification Number: \_\_\_\_\_

Pensioned Retirees (2007, MCL 38.68) (12/7/07 Rev)  
Exhibit - Certificate Verifying Key Persons of the Contractor

## GRANT MANUAL APPENDIX E

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### Officer Compensation Reporting Under the Federal Funding Accountability and Transparency Act

#### Federal Funding Accountability and Transparency Act (FFATA)

The Federal Funding Accountability and Transparency Act, P.L. 109-282, as amended by section 6202(a) of P.L. 110-252, requires the State Historic Preservation Office (SHPO) to report first-tier subawards related to federal contracts and grants. In addition, executive compensation of awardees must also be made publicly available.

To comply with federal reporting requirements of FFATA, the SHPO is required to collect and report the following information from each Certified Local Government (CLG) grantee awarded a grant of \$25,000 or more.

#### Officer Compensation Guidance

The grantee must enter "Yes" or "No" to indicate whether it is required to report its top five most highly compensated officers. Grantee reports "Yes" if:

- (i) In the recipient's fiscal year immediately preceding the year in which the federal award was awarded, the recipient received:
  - a. 80% or more of its annual gross revenues from federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
  - b. \$25 million or more in annual gross revenues from federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
- (ii) The public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.

***If "No", there is no officer compensation information requirement.***

***If "Yes", the grantee must provide the names and "total compensation" of the top five most highly compensated officers for the calendar year in which the grant is awarded.***

Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's past fiscal year of the following (for more information see 17 CFR 229.402(c)(2)):

- (i) Salary and bonus
- (ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R.
- (iii) Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- (iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- (v) Above-market earnings on deferred compensation which are not tax-qualified.
- (vi) Other compensation. For example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the value for the executive exceeds \$10,000.

**Officer Compensation Form**

This form must be completed by all agencies receiving \$25,000 or more in funding through the Historic Preservation Fund, Certified Local Government grant program. This form must be completed before the agreement can be prepared.

Agency Name: \_\_\_\_\_

Address: \_\_\_\_\_

\*Dun and Bradstreet DUNS Number: \_\_\_\_\_ \* required

**Read the following:**

In the grantee’s fiscal year immediately preceding the year in which the federal award was awarded, the grantee received:

1. 80% or more of its annual gross revenues from federal contracts (and subcontracts), loans, grants (and sub grants) and cooperative agreements; and
2. \$25 million or more in annual gross revenues from federal contracts (and subcontracts), loans, grants (and sub grants) and cooperative agreements; and
3. The public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.

**Check One:** \_\_\_\_\_ Yes – the above does apply to my agency.

\_\_\_\_\_ No – the above does not apply to my agency.

**If you checked yes above, please complete the following for the top five most highly compensated officers in the previous calendar year:**

Name	Total Compensation
	\$
	\$
	\$
	\$
	\$

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Date

---

Type Name and Title of Authorized Official

## **GRANT MANUAL APPENDIX F**

### **The Secretary Of The Interior's Standards for Rehabilitation**

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1. A property shall be used for its historic purpose or be placed in a new use that requires minimal change to the defining characteristics of the building and its site and environment.
2. The historic character of a property shall be retained and preserved. The removal of historic materials or alteration of features and spaces that characterize a property shall be avoided.
3. Each property shall be recognized as a physical record of its time, place and use. Changes that create a false sense of historic development, such as adding conjectural features or architectural elements from other buildings, shall not be undertaken.
4. Most properties change over time; those changes that have acquired historic significance in their own right shall be retained and preserved.
5. Distinctive features, finishes, and construction techniques or examples of craftsmanship that characterize a property shall be preserved.
6. Deteriorated historical features shall be repaired rather than replaced. Where the severity of deterioration requires replacement of a distinctive feature, the new feature shall match the old in design, color, texture, and other visual qualities. Replacement of missing features shall be substantiated by documentary, physical, or pictorial evidence or structures.
7. Chemical or physical treatments, such as sandblasting, which cause damage to historic materials, shall not be used. The surface cleaning of structures, if appropriate, shall be undertaken using the gentlest means possible.
8. Significant archaeological resources shall be protected and preserved. If such resources must be disturbed, mitigation measures shall be undertaken.
9. New additions, exterior alterations, or related new construction shall not destroy historic materials that characterize the property. The new work shall be differentiated from the old and shall be compatible with the massing, size and architectural features to protect the historic integrity of the property and its environment.
10. New additions and adjacent or related new construction shall be undertaken in such a manner that if removed in the future, the essential form and integrity of the historic property and its environment would be unimpaired.

### **Professional Qualifications for Historical Architect (36 CFR 61)**

The minimum professional qualifications are a professional degree in architecture or a State license to practice architecture, plus one of the following:

1. At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or a closely related field; or
2. At least one year of full time professional experience on preservation projects. Such graduate study or experience shall include detailed investigation of historic structures, preparation of historic structures, research reports, and preparation of plans and specifications for preservation projects.

## GRANT MANUAL APPENDIX G

### Michigan State Housing Development Authority Historic Preservation Personnel Log

Historic Preservation Project Timesheet

Name:			
Project Name:			
Project Number:			
Date	Work Description	Preservation Project Hours	Non-Preservation Project Hours
<b>Total Hours Worked</b>			
<b>x Rate Per Hour</b>			
<b>Total Value of Labor</b>			
			/ /20
Employee Signature			Date
			/ /20
Supervisor Signature			Date

## GRANT MANUAL APPENDIX H

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### Request for Reimbursement Instructions

1. Reimbursement requests must include the following:
  - The name of the Historic Preservation Fund project
  - The name of the project number
  - The name of the grant recipient
  - The address where the check should be mailed
  - The amount of the grant award
  - The amount of the reimbursement request
  - The amount of the grant award less the amount of the reimbursement request
  - The total matching share for this reimbursement request
  - The source of the matching share.
    - Indicate the source of the cash match, e.g., city general fund, private funds, Community Development Block Grant funds, etc.
2. Any request for reimbursement must be accompanied by documentation of both the federal and matching shares. Documentation should include an itemization of expenditures, copies of canceled checks or other proof of payment, timesheets, and invoices. The final completion report and/or other finished product must accompany the request for final payment. In the case of a partial payment, a progress report will be required.

***This form must be signed by the person who signed the grant agreement or the chief financial officer. The federal identification number must be included. Payment cannot be processed without it.***

# Michigan State Housing Development Authority Historic Preservation Reimbursement Request

<b>Project Name:</b>			
<b>Project Number:</b>			
<b>Name of Grant Recipient:</b>			
<b>Address to which reimbursement check should be sent:</b>			
	<small>STREET ADDRESS</small>		
	<small>STREET ADDRESS</small>		
	<small>CITY</small>	<small>STATE</small>	<small>ZIP CODE</small>
<b>Federal ID Number:</b>			
<b>- SHPO USE ONLY -</b>			
<b>Grant Amount</b>	\$	<b>Verified:</b>	
<b>Amount of this Request</b>	\$	<b>Verified:</b>	
<b>Grant Balance</b>	\$	<b>Verified:</b>	
<b>Total Matching</b>	\$	<b>Verified:</b>	
<b>Source of Matching Share:</b>			
<b>Attachments:</b>			
<input type="checkbox"/> Itemization of Expenditures <span style="margin-left: 200px;"><input type="checkbox"/> Copies of Invoices</span> <input type="checkbox"/> Copies of Cancelled Checks <span style="margin-left: 200px;"><input type="checkbox"/> Progress or Completion</span>			
<i>I certify that all expenditures for the above project have been made during the duration of the grant agreement, are relevant to the project and do hereby request reimbursement. No federal funds have been used as match for the project unless authorized as part of the approved grant budget. Matching funds have not been used to match any other federally assisted project.</i>			

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Signature of Responsible Officer
Date
Telephone Number

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State Historic Preservation Officer
Date
SHPO Grants Manager
Date

### Photograph Technical Requirements

- **Printed Photograph Requirements**
  - Printed photographs must only be printed on photographic paper. Regular copy or office paper is unacceptable.
    - **NOTE:** Either matte or gloss finish is acceptable for SHPO photographs.
    - **NOTE:** Only glossy finish is acceptable for NPS photographs.
  - Printed photographs shall be printed in accordance with the requirements outlined in the individual sections of this manual. Where no specific size is given photos shall be no smaller than 4" x 6".
  - Photographs must be labeled with the following information:
    - Name of property/grant application
    - Photograph number
    - Date of photograph
    - Description of view (e.g. east side, facing south, etc)
    - Brief description of what is shown
  - Photographs must only be labeled on the reverse side of the photograph. Do not write on, or label, the front of the photograph.
  - Photographs must not be mounted or affixed by any means (staples, tape, glue, etc.) to any surface.
  - Photographs may be placed in sleeves or photo pages.
  - Photos must be keyed to a site plan, floor plan, or sketch map, when applicable.
- **Digital Image Requirements**
  - Digital images must be taken at a minimum resolution of 300 ppi (pixels per inch), and have dimensions of at least 1200 x 1600 pixels.
  - Digital images must be burned/written to a CD or DVD in uncompressed TIFF format.
  - Images burned/written to a CD or DVD must be labeled according the following format:  
**County\_City/Town\_Historic District Name (if applicable)\_Property Name\_Image Number.tiff** Example: Ingham\_East Lansing\_Grevstad House\_01.tiff
- **Additional Information**
  - Photographers should note the locations or viewpoints from which "before" photographs are taken. Doing so will better facilitate "after" views matching "before" views, as is required.
  - Avery labels 5163 (2" x 4" Shipping Labels) work well for labeling photographs.
    - **NOTE:** The National Park Service's National Register of Historic Places program will not accept photographs with adhesive labels. Please make the appropriate accommodations when submitting photographs that will be used in a National Register nomination.
  - For a comprehensive guide and useful links regarding digital images, you can access the National Park Service's *National Register of Historic Places and National Historic Landmarks Survey Photo Policy Expansion, March 2005* at **[www.nps.gov/history/nr/policyexpansion.htm](http://www.nps.gov/history/nr/policyexpansion.htm)**.

## GRANT MANUAL APPENDIX J

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### Civil Rights Manual For The Historic Preservation Fund Program In Michigan

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This publication has been financed with federal funds from the National Park Service, Department of the Interior. However, the contents and opinions do not necessarily reflect the views and policies of the Department of the Interior. This program receives federal financial assistance for identification and protection of historic properties. Under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973 and the Age Discrimination Act of 1975, as amended, the U.S. Department of the Interior prohibits discrimination on the basis of race, color, national origin, age or handicap in its federally assisted programs. If you believe you have been discriminated against in any program, activity, or facility as described above, or if you desire further information, please write to:

Office for Equal Opportunity  
National Park Service  
P.O. Box 37127  
Washington, D.C. 20013-7127

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## CIVIL RIGHTS REQUIREMENTS

### Introduction

These procedures are issued under the authority of Title VI of the 1964 federal Civil Rights Act, and the State of Michigan Executive Directive 1979-4. It is the policy of the State of Michigan to afford all Michigan citizens full and equal employment benefits provided by federal- and state-supported programs and services, without discrimination based upon race, color, creed, religion, national origin, age, sex or handicap.

It is appropriate that the State of Michigan, in fulfilling that policy, assure compliance with the non-discrimination provisions of state and federal laws whenever grant funds are awarded and used. It is further appropriate that the state not enter into any contract or agreement, not fund or serve as a conduit for funding, for programs which may have the effect of creating or perpetuating patterns of discriminatory practice.

All recipients of state grants and federal grants passing through the Michigan State Housing Development Authority are therefore required to file a statement pledging that there is a reasonable representation of minority group individuals and women in all levels of their work forces and that there exists equal opportunity to participate in and enjoy the benefits of all programs and activities without regard to race, color, religion, national origin, age, sex or handicap.

Subgrantees receiving sums of \$25,000 or more or employing twenty-five persons or more will also be required to complete a written Equal Employment Opportunity Plan.

Enclosed are instructions for completion of the Civil Rights forms that must accompany an application for a Historic Preservation grant.

If it is determined at any time that an applicant is not in compliance with the equal opportunity standards established by law, the application will be rejected or the contract terminated.

### Definitions (As used in this document:)

<b>Subgrantee:</b>	Any public or private agency, organization or contractor, to whom state or federal funding is extended through the Michigan State Housing Development Authority.
<b>Contractor:</b>	All contractors, vendors, subcontractor, and suppliers providing goods or services directly or indirectly to a subgrantee.
<b>Minority persons:</b>	American Indians or Alaskan Natives. Persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition; Asian or Pacific Islanders. Persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands, and Samoa; Blacks. Persons having origin in any of the black racial groups of Africa; Hispanics. Persons of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.
<b>White persons:</b>	Persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.
<b>Program, activity or service:</b>	Any function conducted by any unit of the subgrantee or contractor receiving funds through the Michigan State Housing Development Authority.
<b>Population base:</b>	The relevant population for the area from which the work force is drawn (e.g., county, municipality, or geographic area).
<b>Handicap:</b>	A determinable physical or mental characteristic of an individual or the history of the characteristic which may result from disease, injury, congenital condition of birth or functional disorder which characteristically is unrelated to the individual's ability to perform the duties of a particular job or position, or is unrelated to the individual's

qualifications for employment or promotion, or is unrelated to the individual's ability to utilize and benefit from a program. Qualified handicap includes a handicapped person who, with reasonable accommodation, can perform the essential functions of the job in question.

## What Must Be Submitted With The Application

- 1. Recipients employing fewer than twenty-five (25) employees and receiving less than \$25,000 are required to submit the following reports to the Michigan State Housing Development Authority with the application:**
  - a. The Work Force Status Report (Appendix II).
  - b. The Affirmation of Equal Opportunity (Appendix III).
- 2. Recipients employing twenty-five (25) or more persons or receiving \$25,000 or more are required to submit the following reports with the application:**
  - a. The Work Force Status Report (Appendix II).
  - b. The Affirmation of Equal Opportunity (Appendix III).
  - c. Work Force Analysis (Appendix IV)
  - d. An Equal Employment Opportunity Plan (Appendix V).
- 3. Additional Responsibilities**

A subgrantee's responsibilities include requiring its contractors to file a Work Force Status Report and an affirmation of Equal Opportunity.
- 4. Alternative Compliance**

A subgrantee who has obtained a current Certificate of Awardability from the Michigan Department of Civil Rights (MDCR) may fulfill the minority and female reporting requirements of these procedures by submitting a copy of the Certificate to the SHPO, Michigan State Housing Development Authority.
- 5. Preservation of Records**

Each subgrantee/contractor is required to keep employment and other records used in preparation of the above reports for not less than six months beyond the end date of the contract and to permit access to records by the SHPO of the Michigan State Housing Development Authority, MDCR, or the Office of Equal Opportunity to ascertain compliance with Executive Directive 1979-4 and Title VI of the Civil Rights Act.
- 6. Reporting Requirements**

Failure to file timely, complete and accurate documents as described above constitutes presumptive noncompliance with the obligations of recipients under Executive Order 1979-4 and Title VI of the 1964 Civil Rights Act and may be a basis for the imposition of sanctions authorized under Executive Directive 1979-4 and Title VI of the 1964 Rights Act.

## Equal Opportunity In The Provision Of Services, Activities And Programs

- 1. Prohibited Discriminatory Actions**

No person in the State of Michigan shall, on the grounds of race, color, religion, national origin, age, sex or handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any contract, program or activity funded in whole or in part with funds made available through any state agency. Prohibited discriminatory actions include, but are not limited to, the following:

  - a. Deny any service or other benefit provided.
  - b. Provide any service or other benefit to a minority, female or handicapped person that is different, or is provided in a different form, from that provided to the majority, unless such action is necessary to provide qualified handicapped persons with benefits or services provided to others.
  - c. Treat a minority, female or handicapped individual differently from others in determining whether the person satisfies any admission, enrollment, eligibility, membership, or other requirement that persons must meet in order to provide any service or other benefit.
  - d. Deny any person an equal opportunity to participate as an appointed member of a planning or advisory body involved in administering state or federal funds.

## **2. Site Selection**

Each subgrantee/contractor shall, make selections of site and location of facilities that are available to all individuals without regard to race, color, religion, national origin, age, sex or handicap.

## **3. Imbalance in Services**

Each subgrantee/contractor shall take action to improve any imbalance in services or facilities provided to any geographic area or specific group in order to overcome the effects of prior discriminatory practice.

# **Equal Opportunity In Employment**

## **1. General**

In any program or activity funded in whole or in part with public funds, each subgrantee/contractor shall not directly or indirectly subject any individual to unlawful discrimination on the basis of race, religion, color, national origin, age, sex or handicap in its employment practices. These practices include recruitment, recruitment advertising, hiring, lay-off, termination, up-grading, demotion, transfer, rates of pay or other forms of compensation, use of facilities, and all other terms and conditions of employment.

## **2. Employment Selection Procedures**

MDCR, in carrying out its responsibilities under the Michigan Constitution and Act No. 453 of the Public Acts of 1976, has adopted and promulgated the Guidelines on Employee Selection Procedures as published by the U.S. Equal Employment Opportunity Commission (EEOC), to assist in establishing and maintaining equal employment opportunities. Among other things, these guidelines forbid the use of employee selection practices (e.g., tests, minimum educational levels, experience) which disqualify a disproportionate number of minorities or women for employment and which are not related to job performance.

## **3. Sex Discrimination**

MDCR has adopted and promulgated guidelines on sex discrimination as published by EEOC. Among special requirements relating to equal opportunity for women are:

- There shall be no distinction based upon sex in employment opportunities, wages, hours, the granting of fringe benefits, leave, mandatory or optional retirement age, and other terms and conditions of employment.
- Medically verifiable disabilities caused or contributed to by pregnancy, miscarriage, therapeutic abortion, childbirth, and recovery shall be treated as temporary disabilities under any health or temporary disability insurance policy or sick leave plan. Written and unwritten employment policies and practices involving matters such as the commencement and duration of leave, the availability of extensions, the accrual of seniority and other benefits, reinstatement, and payment under any health or temporary disability insurance policies or sick leave plans, shall be applied to pregnancy disability or childbirth in the same way as they are applied to other temporary disabilities.
- Advertisements for employment in newspapers and other media must not express a sex preference. The placement of an advertisement in columns "male" or "female" is considered to be a discriminatory limitation.
- Nothing in these procedures shall prohibit the hiring of employees of one sex, provided sex is an established bona fide occupational qualification, as provided under section 208 of Act No. 453 of 1976. A bona fide occupational qualification will be interpreted narrowly. The assumption that women are not aggressive or that co-workers or customers prefer one sex or the other does not establish a bona fide occupational qualification.

## **4. Religious Discrimination**

MDCR has adopted and promulgated guidelines on religious discrimination, requiring in part that employers make "reasonable" accommodations to the religious needs of employees and applicants for employment. These procedures shall not apply to a religious corporation, association or society with respect to the employment of an individual of the same religion to perform work connected with carrying on its religious activities.

## **5. National Origin**

MDCR has adopted and promulgated guidelines on national origin discrimination. In addition to the protection guaranteed to all minorities, requiring proficiency in the English language where it is not a requirement for satisfactory performance on the job is prohibited.

## **6. Age**

A subgrantee or contractor shall not refuse to hire, and shall not otherwise discriminate against, a person with respect to employment because of the age of that person, except as otherwise provided by law.

## **7. Handicap**

With regard to handicapped persons:

- Under the obligations imposed by Executive Directive 1979-4, each subgrantee is required to take specific action to employ and advance in employment qualified handicapped individuals at all levels of employment, including the executive level. Specific action shall apply to all employment practices, including but not limited to: hiring, upgrading, demotion or transfer; recruitment or termination; rates of pay or other forms of compensation; and selection for training including apprenticeship.
- Each subgrantee shall evaluate its total selection process, including training and promotion, to ensure freedom from stereotyping handicapped persons in a manner that limits their access to all jobs for which they are qualified.
- If a physical or mental job qualification requirement is used in the selection of applicants for employment or changes in employment status such as promotion, demotion or training and to the extent that the requirement tends to screen out qualified handicapped individuals, the requirement shall be related to the specific job for which the individual is being considered. The subgrantee shall bear the burden of demonstrating that it has complied with the requirements of this paragraph.
- Each subgrantee must make reasonable accommodations for the physical and mental limitations of an employee or applicant, unless the contractor can demonstrate that such accommodations would impose an undue hardship. In determining the extent of these accommodation obligations, business necessity and financial cost among other factors may be considered.

## **Funding Approval**

### **1. Condition of Approval of EEO**

The execution or renewal of any contract awarding a grant covered under Executive Directive 1979-4, shall be conditioned upon written approval of the subgrantee's EEO Affirmation or the Equal Opportunity Plan.

### **2. Review of Reports and Program Proposals**

The SHPO of the Michigan State Housing Development Authority has primary responsibility to review and accept or reject the reports and program proposals submitted by each subgrantee.

### **3. Review of Remedial Action**

When the subgrantee/contractor who employs more than 25 employees or receiving grants of \$25,000 or more has areas of underutilization that require a written plan, the SHPO will review any remedial action which the recipient proposes to take to determine whether the requirements of Executive Directive 1979-4 have been met.

- When the requirements appear to have been met, the recipient will be notified of acceptance on the condition that the proposed corrective action will be taken.
- When the recipient fails to submit a required plan or submits a plan that does not meet the requirements of Executive Directive 1979-4, the SHPO will notify the recipient that the plan (or lack thereof) is not acceptable, specifying each area of deficiency. If necessary, assistance shall be provided to the recipients in revising the plan to meet the Executive Directive.

### **4. Review On-site**

On-site compliance reviews of a subgrantee/contractor's program may be scheduled by the SHPO pending or following acceptance of a plan. Priority shall be given to any subgrantee that excludes handicapped persons or that has a significant disparity between the percentage of minorities and women in the population area and the percentage in the recipient's work force.

## **5. Alternative in Event of Noncompliance**

When the SHPO and the subgrantee/contractor cannot agree on a mutually acceptable plan, the SHPO may:

- Declare the subgrantee/contractor unawardable and proceed as in any determination of nonperformance under the contract.
- Notify MDCR that the SHPO and the subgrantee are unable to resolve their differences. Written notice to that effect will be served on the subgrantee by the SHPO.
- Staff from MDCR will review the file, consider any additional information either party cares to submit, and offer assistance in resolving the differences in a final effort to secure voluntary compliance. Whenever an amicable resolution cannot be achieved, MDCR will issue a written determination to the SHPO that the subgrantee/contractor is or is not in compliance. Thereafter, either party may petition MDCR for a Hearing as provided for in the rules of the Michigan Civil Rights Commission.

## CIVIL RIGHTS MANUAL APPENDIX II

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### Instructions For Work Force Status Report

1. Every subgrantee shall submit a report on the status of the present work force to the SHPO (see next page). The report shall include the following information:
  - Current total number of employees, and the numbers of minority, female and handicapped employees in all levels of employment.
  - The percentage of minority and the percentage of female employees in all levels of employment.
  - The total number of employees, and the numbers of minority, female and handicapped employees hired and/or terminated for any reason within the preceding 12 months.
  - A calculation of the percentage of minorities in the population and women in the work force for the geographic area from which employees are drawn, based on figures obtained from the Michigan Employment Security Commission or an equally reliable source. The basis for establishing the geographic area must be included.
  - A comparison of the available percentage of minorities and females (above) and the percentage of minorities and women among the total employees. Reasonable representation for minorities and females means employing a work force that reflects the percentage of minorities and females in the population base at all job levels and in all areas. A subgrantee or contractor whose work force does not meet this standard is required to take remedial action, described in Appendices IV or V.
  - Provide the date of the payroll used to obtain the workforce breakdown.
  - Fill in minority population figures for your area by using the Minority Population percentages found in this manual.
  - Circle each percentage that is less than the minority availability for your area in the "Minority %" column.
  - Circle each percentage that is less than 51 percent, which is the statewide percentages of females in the labor force, in the "Female %" column.
  - Is residence required for employees in the above classification?
  
2. *The subgrantee shall submit the Work Force Status Report to:*

**Joelle Letts, Grants Manager/Budget Analyst  
State Historic Preservation Office  
Michigan State Housing Development Authority  
PO Box 30740  
702 West Kalamazoo Street  
Lansing, Michigan 48909-8240**

# Work Force Status Report

Payroll Date Used \_\_\_\_\_  
 Minority Population Base \_\_\_\_\_

Job Category	Total	Black		Hispanic		American Indian		Asian		Female		Other Minority		Handicapped	
		M	F	M	F	M	F	M	F	Total	%	Total	%	Total	%
Administrative															
Professionals															
Technicians															
Office/Clerical															
Service/Maintenance															
<b>Total</b>															
<b>New Hires</b>															
<b>New Hires Within Last Year</b>															
<b>Terminated</b>															
<b>Wage Range</b>															
<b>Annual Salary</b>	<b>Administrative</b>	<b>Professionals</b>				<b>Technicians</b>				<b>Office/Clericals</b>				<b>Service/Maintenance</b>	
<b>Minimum</b>															
<b>Maximum</b>															

1. Provide date of the payroll used to obtain the workforce breakdown.
2. Fill-in Minority Population figure for your area.
3. Use the Minority Population percentages on the following pages.
4. Circle each percentage, which is less than minority availability for your area in the Percentage Minority Column.
5. Circle each percentage, which is less than 51%, which is the statewide percent of females in the labor force, in the Female column.
6. Is residence required for employees in the above classification?

Name	Date
Organization	

## Michigan Population Statistics – By County

Source: 2010 U.S. Census

COUNTY	% TOTAL MINORITY	% BLACK	% HISPANIC	% AMERICAN INDIAN	% ASIAN AMERICAN	% OTHER MINORITY
Alcona	2.2	0.1	1.1	0.6	0.2	0.2
Alger	12.1	6.4	1.2	4.1	0.3	0.1
Allegan	11.9	1.2	6.7	0.6	0.6	2.8
Alpena	2.4	0.3	1	0.5	0.5	0.1
Antrim	3.5	0.2	1.7	1	0.2	0.4
Arenac	3.4	0.2	1.4	1.2	0.2	0.4
Baraga	21.6	7.2	1	13.1	0.1	0.2
Barry	4.2	0.4	2.3	0.5	0.4	0.6
Bay	8.3	1.6	4.7	0.5	0.5	1
Benzie	4.3	0.4	1.7	1.4	0.3	0.5
Berrien	23.8	15.3	4.5	0.5	1.6	1.9
Branch	9.6	3.1	4	0.4	0.5	1.6
Calhoun	19.1	10.9	4.5	0.6	1.6	1.5
Cass	11.1	5.4	3	1	0.6	1.1
Charlevoix	4.0	0.3	1.4	1.5	0.4	0.4
Cheboygan	4.7	0.5	0.8	3	0.3	0.1
Chippewa	24.4	6.5	1.2	15.8	0.6	0.3
Clare	3.2	0.5	1.5	0.7	0.3	0.2
Clinton	9.1	2.1	3.9	0.4	1.5	1.2
Crawford	2.7	0.4	1.3	0.5	0.4	0.1
Delta	4.1	0.2	0.9	2.4	0.4	0.2
Dickinson	2.6	0.3	1	0.6	0.5	0.2
Eaton	14.3	6.3	4.7	0.4	1.7	1.2
Emmet	6.2	0.5	1.3	3.7	0.5	0.2
Genesee	25.8	20.7	3	0.5	0.9	0.7
Gladwin	2.5	0.2	1.2	0.5	0.3	0.3
Gogebic	7.8	4.1	0.9	2.4	0.2	0.2
Grand Traverse	5.9	1.2	2.2	1.2	0.7	0.6
Gratiot	13.4	5.5	5.4	0.5	0.3	1.7
Hillsdale	3.5	0.5	1.8	0.4	0.4	0.4
Houghton	5.3	0.5	1.1	0.6	2.9	0.2
Huron	3.5	0.4	2	0.3	0.4	0.4
Ingham	27.2	11.8	7.3	0.6	5.2	2.3
Ionia	11.3	4.7	4.4	0.5	0.4	1.3
Iosco	3.8	0.5	1.6	0.7	0.5	0.5
Iron	2.9	0.1	1.4	0.9	0.3	0.2
Isabella	11.1	2.4	3.1	3.4	1.6	0.6
Jackson	12.8	7.9	3	0.4	0.7	0.8
Kalamazoo	18.9	10.9	4	0.4	2.1	1.5

<b>COUNTY</b>	<b>% TOTAL MINORITY</b>	<b>% BLACK</b>	<b>% HISPANIC</b>	<b>% AMERICAN INDIAN</b>	<b>% ASIAN AMERICAN</b>	<b>% OTHER MINORITY</b>
Kalkaska	2.8	0.3	1.2	0.9	0.2	0.2
Kent	26.7	9.7	9.7	0.5	2.3	4.5
Keweenaw	0.9	0.1	0.7	0.1	0	0
Lake	12.5	9.2	2.1	0.8	0.1	0.3
Lapeer	7.1	1	4.1	0.5	0.3	1.2
Leelanau	8.9	0.3	3.7	3.5	0.4	1
Lenawee	13.1	2.5	7.6	0.5	0.5	2
Livingston	3.9	0.4	1.9	0.4	0.8	0.4
Luce	17.6	11.1	1.2	5	0.3	0
Mackinac	19.3	0.5	1.1	17.3	0.2	0.2
Macomb	14.8	8.6	2.3	0.3	3	0.6
Manistee	8.6	2.9	2.6	2.1	0.3	0.7
Marquette	5.3	1.7	1.1	1.7	0.6	0.2
Mason	7.3	0.6	4	1	0.5	1.2
Mecosta	5.9	2.5	1.7	0.6	0.7	0.4
Menominee	4.7	0.3	1.2	2.7	0.3	0.2
Midland	6.0	1.2	2	0.4	1.9	0.5
Missaukee	3.8	0.3	2.1	0.6	0.3	0.5
Monroe	6.9	2.1	3.1	0.3	0.6	0.8
Montcalm	7.2	2.3	3.1	0.5	0.4	0.9
Montmorency	1.9	0.2	1	0.4	0.2	0.1
Muskegon	22.0	14.5	4.8	0.8	0.5	1.4
Newaygo	9.6	1	5.5	0.8	0.4	1.9
Oakland	24.0	13.6	3.5	0.3	5.6	1
Oceana	21.5	0.4	13.7	1.1	0.2	6.1
Ogemaw	2.9	0.2	1.4	0.7	0.4	0.2
Ontonagon	2.4	0.1	0.9	1.1	0.2	0.1
Osceola	3.0	0.6	1.5	0.5	0.2	0.2
Oscoda	2.0	0.2	0.9	0.6	0.1	0.2
Otsego	2.8	0.3	1.2	0.7	0.4	0.2
Ottawa	16.5	1.5	8.6	0.4	2.6	3.4
Presque Isle	2.4	0.4	0.9	0.7	0.3	0.1
Roscommon	2.6	0.4	1.1	0.6	0.3	0.2
Saginaw	30.7	19	7.8	0.4	1.1	2.4
St. Clair	6.9	2.4	2.9	0.4	0.5	0.7
St. Joseph	13.9	2.6	6.6	0.5	0.7	3.5
Sanilac	5.5	0.3	3.3	0.5	0.3	1.1
Schoolcraft	10.0	0.1	0.8	8.8	0.2	0.1
Shiawassee	4.3	0.5	2.4	0.5	0.4	0.5
Tuscola	5.4	1.1	2.8	0.5	0.3	0.7
Van Buren	20.8	4.1	10.2	0.9	0.4	5.2

<b>COUNTY</b>	<b>% TOTAL MINORITY</b>	<b>% BLACK</b>	<b>% HISPANIC</b>	<b>% AMERICAN INDIAN</b>	<b>% ASIAN AMERICAN</b>	<b>% OTHER MINORITY</b>
Washtenaw	26.1	12.7	4	0.3	7.9	1.2
Wayne	50.4	40.5	5.2	0.4	2.5	1.8
Wexford	3.6	0.4	1.6	0.6	0.6	0.4

## CIVIL RIGHTS MANUAL APPENDIX III

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### Affirmation Of Equal Opportunity

1. The subgrantee/contractor hereby affirms a policy of equal opportunity in employment and participation in and benefit from all programs, activities, and services without regard to race, color, religion, national origin, age, sex, or handicap.
2. The subgrantee/contractor hereby agrees to:
  - Take all remedial steps necessary to correct any under-representation of minorities or women reported on the Work Force Status Report.
  - To achieve a reasonably representative work force at all levels of employment.
  - State in all promotional, and advertising materials that all programs, services, and activities are performed without regard to race, color, religion, national origin, age, sex, or handicap and that in employment practices all applicants shall receive equal consideration.
  - Post, in conspicuous, place, notices setting forth the law on equal opportunity in employment and services. (Posters are available from the SHPO, Michigan State Housing Development Authority or the Michigan Department of Civil Rights).

Typed Name:	Date:
Signature:	
Title:	
Organization:	

3. *The subgrantee shall submit the Affirmation of Equal Opportunity form to:*

**Joelle Letts, Grants Manager/Budget Analyst  
State Historic Preservation Office  
Michigan State Housing Development Authority  
PO Box 30740  
702 West Kalamazoo Street  
Lansing, Michigan 48909-8240**

## CIVIL RIGHTS MANUAL APPENDIX IV

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### Work Force Analysis

In addition to completing Appendix II and III, a subgrantee/contractor with a contract in excess of \$25,000, or employing 25 or more persons is required to prepare the following analysis:

1. The first step in analyzing the present representation of minority and female persons accomplished by completing the Work Force Status Report. If the minority and female work force in all job categories is equal to or exceeds the standard at all levels, no further analysis is required for minorities and women.
2. The first step in providing equal opportunity for handicapped persons shall be a self-evaluation that shall identify any selection, promotion or training programs that exclude or tend to exclude handicapped persons who are otherwise qualified to perform a particular job.
3. Each subgrantee/contractor is required to conduct a continuing program of self-evaluation to ascertain whether any recruitment, selection, or promotional policy directly or indirectly has the effect of denying equal opportunities to minority individuals, women, or handicapped persons.
4. In making the evaluation of employment opportunities, the subgrantee/contractor shall conduct a separate analysis for minorities, women, and handicapped persons. However, all racial and ethnic data collected should be cross classified by sex to ascertain the extent to which minority women and minority men may be under-utilized.
5. Whenever under-utilization of minorities and women occurs or whenever conditions have resulted in the limited participation of handicapped persons, it will be necessary to identify those policies and procedures which operate to the disadvantage of minorities, women, or handicapped persons. The analysis should include:
  - A review of the employment selection procedures for the preceding fiscal year, including application forms, recruitment methods, interview procedures, test validity, experience/education requirements, and final selection methods to insure that unnecessary barriers do not disadvantage minorities, women, and handicapped persons. The number of individuals by race, sex, national origin, and handicap applying for employment within the preceding fiscal year should be compared with the number of applicants who were offered employment and those who were actually hired. Attention should be paid to the reasons for rejection and the effects on minorities, women, and handicapped persons. If such data is unavailable, the subgrantee should institute a system for the collection of such data.
  - A review of promotion procedures and training programs during the preceding year in order to insure that equal opportunity. The race, sex, age, national origin, and handicap of applicants who made application for promotion or training should be compared with the number who were actually promoted or trained.
  - For handicapped persons, the subgrantee shall invite applicants and employees who believe themselves covered by the Executive Directive and who wish to benefit under the affirmative action program to identify themselves as handicapped. The invitation shall state that the information is voluntary, and will be used only in accordance with the Executive Directive. Refusal to provide the information will not result in adverse treatment. If a handicapped person is identified the subgrantee should seek suggestions from the applicant or employee regarding proper placement and appropriate accommodation.

## **CIVIL RIGHTS MANUAL APPENDIX V**

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### **Equal Employment Opportunity Plan**

This section applies to those plan/contractors employing 25 or more or contracts in excess of \$25,000 and who have an under-utilization of minorities and females or limited participation of handicapped persons in one or more areas. A written Equal Opportunity Plan shall specifically address the areas of under-utilization for minorities, women or handicapped persons and should include:

1. A plan for the recruitment of minorities women, and handicapped persons based on what is necessary to attract applicants including but not necessarily limited to use of advertising media patronized by women, minorities, and handicapped persons.
2. A statement of the plan's existing employment policies and practices, e.g., testing, experience and education requirements, with particular emphasis on steps which have been taken or will be taken to assure that each is job-related.
3. An evaluation of the effect the policies and practices have on minorities, women, and handicapped persons. Specific attention should be given to transfer and promotion policies and procedures, including credit for departmental seniority that may disadvantage women, minorities, and handicapped persons. Where improvement is necessary, the plan shall set forth the steps that will be taken to assure equal opportunity.
4. The equal opportunity goal is the employment of minorities and women in each job category so that the work force reflects the percentage of minorities and women found in the population base. In establishing goals and timetables for the employment of minorities and women during the life of the contract, the availability for specific job categories may be determined by the following factors:
  - The minority and female population of the labor area surrounding the facility;
  - The availability of minorities and females having requisite skills in an area in which the plan can reasonable recruit;
  - The availability of minorities and females within the work force who may be transferred or promoted.
  - The existence of training institutions capable of preparing minority persons and females in the requisite skills.

These goals should be significant, measurable, and attainable. In establishing timetables to meet the goals, the plan or contractor will consider the anticipated expansion, contraction or turnover of the work force. In no case are the goals to be viewed as rigid quotas. The purpose of setting a projected goal is to permit the plan to measure the success of the steps taken to implement equal employment opportunity. Failure to meet a goal should alert the plan that the plan is not working and that additional action is required.

5. Provision for dissemination of the Equal Employment Opportunity Plan to all personnel, applicants, and the general public.

**END OF CIVIL RIGHTS MANUAL**

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## GRANT MANUAL APPENDIX K

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### Procurement And Subcontract Forms

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## Notice Of Requirement For Affirmative Action To Ensure Equal Employment Opportunity (Executive Order 12246)

1. The Bidder's attention is called to the "Equal Opportunity Clause" and the "Standard Federal Equal Employment Opportunity Construction Contract Specifications" set forth herein.
2. The goals and timetables for minority and female participation, expressed in percentage terms for the contractor's aggregate workforce in each trade on all construction work in the covered area, are as follows:

Timetable	Goals for Minority Participation in Each Trade (Insert goals for each trade and year)	Goals for Female Participation in Each Trade (Insert goals for each trade and year)

These goals are applicable to all the Contractor's construction work (whether it is federal or federally assisted) performed in the covered area.

The Contractor's compliance with the Executive Order and the regulations in 41 CFR 60-4 shall be based on the contractor's implementation of the Equal Employment Clause, specific affirmative action obligations required by the specification set forth in 41 CFR 60-4.3(a), and the Contractor's efforts to meet the goals established for the geographical areas where the contract resulting from this solicitation is to be performed. The hours of minority and female employment and training must be substantially uniform throughout the length of the contract and in each trade, and the contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from Contractor-to-Contractor or from project-to-project for the sole purpose of meeting the Contractor's goals shall be a violation of the contract, the Executive Order, and the regulations in 41 CFR 60-4. Compliance with the goals will be measured against the total work hours performed.

3. The contractor shall provide written notification to the Director of the Office of Federal Contract Compliance Programs within 10 working days of award of any construction subcontract in excess of \$10,000 at any tier for construction work under the contract resulting from this solicitation. The notification shall list the name, address, and telephone number of the subcontractor and the geographical area in which the contract is to be performed.
4. As used in this Notice and in the contract resulting from this solicitation, the "covered area" is (insert description of the geographical area(s) where the contract is to be performed giving the state, county and city, if any).

## **Standard Equal Employment Opportunity Construction Contract Specification (Executive Order 12246)**

1. As used in these specifications:
  - a. "Covered area" means the geographical area described in the solicitation from which this contract resulted.
  - b. "Director" means Director, Office of Federal Contract Compliance Programs, United States Department of Labor, or any person to whom the Director delegates authority.
  - c. "Employer identification number" means the federal Social Security Number used on the Employer's Quarterly Federal Tax Return, U.S. Treasury Department Form 941.
  - d. "Minority" includes:
    - i. Black (all persons having origins in any of the Black African racial groups not of Hispanic origin)
    - ii. Hispanic (all persons of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish Culture or origin, regardless of race)
    - iii. Asian and Pacific Islander (all persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands)
    - iv. American Indian or Alaskan Native (all persons having origins in any of the original peoples of North America and maintaining identifiable tribal affiliations through membership and participation or community identification).
2. Whenever the Contractor, or any Subcontractor at any tier, subcontracts a portion of the work involving any construction trade, the Contractor/Subcontractor shall physically include in each subcontract in excess of \$10,000 the provisions of these specifications and the Notice which contains the applicable goals for minority and female participation and which is set forth in the solicitations from which the contract resulted.
3. If the Contractor is participating (pursuant to 41 CFR 60-4.5) in a Hometown Plan approved by the U.S. Department of Labor in the covered area either individually or through an association, the Contractor's affirmative action obligations on all work in the Plan Area (including goals and timetables) shall be in accordance with that Plan for those trades that have unions participating in the Plan. Contractors must be able to demonstrate their participation in and compliance with the provisions of any such Hometown Plan. Each Contractor or Subcontractor participating in an approved Plan is individually required to comply with their obligations under the EEO clause, and to make a good faith effort to achieve each goal under the Plan in each trade in which it has employees. The overall good faith performance by other Contractors or Subcontractors toward a goal in an approved Plan does not excuse any covered Contractor's or Subcontractor's failure to take good faith efforts to achieve the Plan's goals and timetables.
4. The Contractor shall implement the specific affirmative action standards provided in paragraphs 7a through 7p of this Attachment. The goals set forth in the solicitation are expressed as percentages of the total hours of employment and training that the Contractor should reasonably be able to achieve for minority and female utilization in each construction trade in which it has employees in the covered area. The Contractor is expected to make substantially uniform progress toward these goals in each craft during the period specified.
5. Neither the provisions of any collective bargaining agreement, nor the failure by a union with whom the Contractor has a collective bargaining agreement to refer either minorities or women, shall excuse the Contractor's obligations under these specifications, Executive Order 12246, or the regulations promulgated pursuant thereto.
6. In order for the non-working training hours of apprentices and trainees to be counted in meeting the goals, such apprentices and trainees must be employed by the Contractor during the training period, and the Contractor must have made a commitment to employ the apprentices and trainees at the completion of their training, subject to the availability of employment opportunities. Training must be in accordance with training progress approved by the U.S. Department of Labor.

7. The Contractor shall take specific affirmative actions to assure equal employment opportunity. The evaluation of the Contractor's compliance with these specifications shall be based upon the Contractor's efforts to achieve maximum results for these actions. The Contractor shall document these efforts fully, and shall implement affirmative action steps at least as extensive as the following:
- a. Ensure and maintain a working environment free of harassment, intimidation, and coercion at all sites, and in all facilities at which the Contractor's employees are assigned to work. The Contractor, where possible, will assign two or more women to each construction project. The Contractor shall specifically ensure that all foremen, superintendents, and other on-site supervisory personnel are aware of and carry out the Contractor's obligation to maintain such a work environment, with specific attention to minority or female individuals working at such sites or in such facilities.
  - b. Establish and maintain a current list of minority and female recruitment sources, provide written notification to minority and female recruitment sources and to community organizations when the Contractor or the Contractor's union have employment opportunities available, and maintain a record of the organizations' responses.
  - c. Maintain a current file of the names, addresses and telephone numbers of each minority and female off-the-street applicant and minority or female referral from a union, a recruitment source, or a community organization, and of what action was taken with respect to each such individual. If such individual was sent to the union hiring hall for referral and was not referred back to the Contractor by the union, or if referred, not employed by the Contractor, this shall be documented in the file with the reason therefore, along with whatever additional actions the Contractor may have taken.
  - d. Provide immediate written notification to the Director when the union or unions with which the Contractor has a collective bargaining agreement has not referred to the Contractor a minority person or woman sent by the Contractor, or when the Contractor has other information that the union referral process has impeded the Contractor's effort to meet its obligations.
  - e. Develop on-the-job training opportunities and/or participate in training programs for the areas that expressly include minorities and women, including upgrading programs and apprenticeship and trainee programs relevant to the Contractors' employment needs, especially those programs funded or approved by the Department of Labor. The Contractor shall provide notice of these programs to the sources compiled under 7b, above.
  - f. Disseminate the Contractor's EEO policy by providing notice of the policy to unions and training programs and requesting their cooperation in assisting the Contractor in meeting EEO obligations; by including it in any policy manual and collective bargaining agreement; by publicizing it in the company newspaper, annual report, etc.; by specific review of the policy with all management personnel and with all minority and female employees at least once a year; and by posting the company EEO policy on bulletin boards accessible to all employees at each location where construction is performed.
  - g. Review, at least annually, the company's EEO policy and affirmative action obligations under these specifications with all employees having any responsibilities for hiring, assignment, layoff, termination or other employment decisions including specific review of these items with on-site supervisory personnel such as superintendents, general foremen, etc., prior to the initiation of construction work at any job site. A written record shall be made and maintained identifying the time and place of these meetings, persons attending, subject matter discussed, and disposition of the subject matter.
  - h. Disseminate the Contractor's EEO policy externally by including it in any advertising in the news media, specifically including minority and female news media, and providing written notification to and discussing the Contractor's EEO policy with other Contractors and Subcontractors with whom the Contractor does or anticipates doing business.
  - i. Direct recruitment efforts, both oral and written, to minority, female and community organizations, to schools with minority and female students, and to minority and female recruitment and training organizations serving the Contractor's recruitment area and employment needs. Not later than one month prior to the date for the acceptance of applications for apprenticeship or other training by any recruitment sources, the Contractors shall send written

notification to organizations such as the above, describing the openings, screening procedures, and tests to be used in the selection process.

- j. Encourage present minority and female employees to recruit other minority persons and women and, where reasonable, provide after-school, summer, and vacation employment to minority and female youth, both on the site and in other areas of a Contractor's workforce.
  - k. Validate all tests and other selection requirements where there is an obligation to do so under 41 CFR 60-3.
  - l. Conduct, at least annually, an inventory and evaluation of all minority and female personnel for promotional opportunities, and encourage these employees to seek or to prepare for, through appropriate training, etc., such opportunities.
  - m. Ensure that seniority practices, job classifications, work assignments and other personnel practices do not have a discriminatory effect by continually monitoring all personnel and employment-related activities to ensure that the EEO policy and the Contractor's obligations under these specifications are being carried out.
  - n. Ensure that all facilities and company activities are non-segregated except that separate or single-user toilet and necessary changing facilities shall be provided to assure privacy between the sexes.
  - o. Document and maintain a record of all solicitations of offers for subcontractors from minority and female construction contractors and suppliers, including circulation of solicitations to minority and female contractor associations and other business associations.
  - p. Conduct a review, at least annually, of all supervisors' adherence to and performance under the Contractor's EEO policies and affirmative action obligations.
8. Contractors are encouraged to participate in voluntary associations that assist in fulfilling one or more of the affirmative action obligations (7a through 7p). The efforts of a contractor association, joint contractor-union, contractor-community (or other similar group of which the contractor is a member and participant), may be asserted as fulfilling any one or more of their obligations under 7a through 7p of these specifications provided that:
- a. The contractor actively participates in the group
  - b. Makes every effort to assure that the group has a positive impact on the employment of minorities and women in the industry
  - c. Ensures that the concrete benefits of the program are reflected in the Contractor's minority and female workforce participation
  - d. Makes a good faith effort to meet its individual goals and timetables
  - e. Provides access to documentation that demonstrates the effectiveness of actions taken on behalf of the Contractor. The obligation to comply, however, is the Contractor's, and failure of such a group to fulfill an obligation shall not be a defense for the Contractor's noncompliance.
9. The Contractor is required to provide equal employment opportunity and to take affirmative action for all minority groups, both male and female, and all women, both minority and non-minority. Consequently, the Contractor may be in violation of the Executive Order if a particular group is employed in a substantially disparate manner (for example, even though the Contractor has achieved the goals for women generally, the Contractor may be in violation of the Executive Order if a specific minority group of women is underutilized).
10. The Contractor shall not use the goals and timetables of affirmative action standards to discriminate against any person because of race, color, religion, sex, or national origin.
11. The Contractor shall not enter into any subcontract with any person or firm debarred from government contracts pursuant to Executive Order 12246.

12. The Contractor shall carry out such sanctions and penalties for violation of these specifications and of the Equal Opportunity Clause, including suspension, termination, and cancellation of existing subcontracts as may be imposed or ordered pursuant to Executive Order 12246, as amended, and its implementing regulations, by the Office of Federal Contract Compliance Programs. Any Contractor who fails to carry out such sanctions and penalties shall be in violation of these specifications and Executive Order 12246, as amended.
13. The Contractor, in fulfilling the obligations under these specifications, shall implement specific affirmative action steps, at least as extensive as those standards prescribed in paragraph 7 of this Attachment, so as to achieve maximum results from the efforts to ensure equal employment opportunity. If the Contractor fails to comply with the requirements of the Executive Order, the implementing regulations, or these specifications, the Director shall proceed in accordance with 41 CFR 60-4.8.
14. The Contractor shall designate a responsible official to monitor all employment-related activity to ensure that the company EEO policy is being carried out, to submit reports relating to the provisions thereof as may be required by the Government, and to keep records. Records shall at least include for each employee the name, address, telephone numbers, construction trade, union affiliation if any, employee identification number when assigned, social security number, race, sex, status (e.g., mechanic, apprentice, trainee, helper, or laborer), dates of changes in status, hours worked per week in the indicated trade, rate of pay, and locations at which the work was performed. Records shall be maintained in an easily understandable and retrievable form; however, to the degree that existing records satisfy this requirement, contractors shall not be required to maintain separate records.
15. Nothing herein provided shall be construed as a limitation upon the application of other laws which establish different standards of compliance or upon the application of requirements for hiring of local or other area residents (e.g., those under the Public Works Employment Act of 1977 and the Community Development Block Grant Program).

## Equal Employment Opportunity Clause

The applicant hereby agrees that it will incorporate or cause to be incorporated into any contract for construction work, or modification thereof, as defined in the regulations of the Secretary of Labor 41 CFR Chapter 60, which is paid for in whole or in part with funds obtained from the federal Government or borrowed on the credit of the federal Government pursuant to a grant, contract, loan insurance, or guarantee, or undertaken pursuant to any federal program involving such grant, contract, loan insurance, or guarantee, the following equal opportunity clause:

During the performance of this contract, the contractor agrees to the following:

1. The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. The contractor will take affirmative action to ensure the applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin.
2. The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.
3. The contractor will send to each labor union or representative of workers with which the Contractor has a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said labor union or workers' representatives of the Contractor's commitments under this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
4. The contractor will comply with all provisions of Executive Order 12246 of September 24, 1965, and of the rules, regulations, and relevant orders of the Secretary of Labor.
5. The contractor will furnish all information and reports required by Executive Order 12246 and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to all books, records, and accounts by the administering agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and others.
6. In the event of the Contractor's noncompliance with the nondiscrimination clauses of this contract or with any of the said rules, regulations, or orders, this contract may be canceled, terminated, or suspended in whole or in part, and the contractor may be declared ineligible for further Government contracts or federally assisted construction contracts in accordance with procedures authorized in Executive Order 12246, and such other sanctions may be imposed and remedies invoked as provided in that Executive Order, or by rule, regulations, or order of the Secretary of Labor, or as otherwise provided by law.
7. The contractor will include the portion of the sentence immediately preceding paragraph (1) and the provisions of paragraphs (1) through (7) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to section 204 of Executive Order 12246, so that such provisions will be binding upon each subcontract or vendor. The contractor will take such action with respect to any subcontract or purchase order as the administering agency may direct as a means of enforcing such provisions, including sanctions for non-compliance, provided, however, that in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the administering agency, the contractor may request the United States to enter into such litigation to protect the interests of the United States.
8. The applicant further agrees to be bound by the above equal opportunity clause with respect to its own employment practices when participating in federally assisted construction work, provided that if the applicant so participating is a state or local government, the above equal opportunity clause is not applicable to any agency, instrumentality, or subdivision of such government which does not participate in work on or under the contract.
9. The applicant agrees to assist and cooperate actively with the administering agency and the Secretary of Labor in obtaining the compliance of contractors and subcontractors with the equal opportunity clause and the rules, regulations, and relevant orders of the Secretary of Labor, to furnish the administering agency and the Secretary of Labor such information as they may require

for the supervision of such compliance, and to otherwise assist the administering agency in the discharge of the agency's primary responsibility for securing compliance.

10. The applicant further agrees to refrain from entering into any contract or contract modification subject to Executive Order 12246 with a contractor debarred from, or who has not demonstrated eligibility for, Government contracts and federally assisted construction contracts pursuant to the Executive Order and will carry out such sanctions and penalties for violation of the equal opportunity clause as may be imposed upon contractors and subcontractors by the administering agency or the Secretary of Labor pursuant to Part II, Subpart D of the Executive Order. In addition, the applicant agrees that failure or refusal to comply with these undertakings may cause the administering agency to take any or all of the following actions: cancel, terminate, or suspend in whole or in part this grant, contract, loan, insurance, guarantee; refrain from extending any further assistance to the applicant under the program with respect to which the failure or refusal occurred until satisfactory assurance of future compliance has been received from such applicant; and refer the case to the U.S. Department of Justice for appropriate legal proceedings.

## Certification Of Non-segregated Facilities

(Applicable to federally assisted construction contracts and related subcontracts exceeding \$10,000 that are not exempt from the Equal Opportunity clause).

The federally assisted construction contractor certifies that he/she does not maintain or provide for his/her employees any segregated facilities at any of his/her establishments, and that he/she does not permit his/her employees to perform their services at any location, under his/her control, where segregated facilities are maintained. The federally assisted construction contractor certifies further that he/she will not maintain or provide for his/her employees any segregated facilities at any of his/her establishments, and that he/she will not permit his/her employees to perform their services at any location, under his/her control, where segregated facilities are maintained. The federally assisted construction contractor agrees that a breach of this certification is a violation of the Equal Opportunity clause in this contract. As used in this certification, the term "segregated facilities" means any waiting rooms, work area, rest rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, creed, color, or national origin, because of habit, local custom, or otherwise. The federally assisted construction contractor agrees that (except where he/she has obtained identical certifications from proposed subcontractors for specific time periods) he/she will obtain identical certifications from proposed subcontractors prior to the award of subcontracts exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity clause, and that he/she will retain such certifications in his/her files.

<b>Signature</b>	<b>Date</b>
<b>Name and Title of Signer (Please Print or Type)</b>	

**NOTE:** The penalty for making false statements in offers is prescribed in 18 USC 1001.

# Construction Procurement Summary

Project Name: \_\_\_\_\_

Work Scope: \_\_\_\_\_

Specifications Approval by the Michigan State Housing Development Authority: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

**The following materials must be submitted to the Michigan State Housing Development Authority:**

- \_\_\_\_\_ Bid Document
- \_\_\_\_\_ Copy of the Advertisement
- \_\_\_\_\_ Bid Tabulation worksheet

BIDDER	BID AMOUNT
	\$
	\$
	\$
	\$
	\$
	\$

SELECTED CONTRACTOR: \_\_\_\_\_ AMOUNT: \$ \_\_\_\_\_

**Executed Contract includes the following items:**

- \_\_\_\_\_ Debarment Certification Form
- \_\_\_\_\_ Anti-Kickback Act Clause
- \_\_\_\_\_ Record Retention Clause
- \_\_\_\_\_ Provisions for Breach of Contract

**Executed Contracts OVER \$10,000 must include all of the items listed above as well as:**

- \_\_\_\_\_ EEO Affirmation
- \_\_\_\_\_ EEO Clause
- \_\_\_\_\_ Certification of Non-segregated Facilities

**Executed Contracts OVER \$100,000 must include all of the items listed above as well as:**

- \_\_\_\_\_ Bid Guarantee
- \_\_\_\_\_ Performance Bond
- \_\_\_\_\_ Payment Bond
- \_\_\_\_\_ Provision for compliance with the Clean Air Act, Clean Water Act, Executive Order 12238 and EPA regulations.





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