



STATE HISTORICAL SOCIETY OF NORTH DAKOTA

Historic Preservation Fund

Request for Proposals

Phase II - North Dakota Historic Railroad Study

National Register Nomination as part of the
Multiple Property Submission

Application Guidelines

2010

Historic Preservation Fund Grants

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Historic Preservation Fund Grants

Each year as part of the Historic Preservation Fund (HPF) grants-in-aid program, grants are made available to researchers through the State Historical Society of North Dakota (SHSND), Historic Preservation Division. The grant-in-aid program is designed to assist the funding of projects in the identification, evaluation, and registration of cultural resources. In North Dakota, projects funded through the HPF program contribute to the interpretation, management, and preservation of archeological, architectural, and historic properties.

The HPF grant program is authorized by the National Historic Preservation Act of 1966, as amended, and is appropriated annually to the States and Territories by Congress through the National Park Service (NPS), United States Department of the Interior. The SHSND administers the grant program and insures grantees comply with the applicable federal and state laws and regulations. The SHSND provides notification of available grants, contracts grant awards, reviews ongoing work, and distributes funds. As a mechanism for obtaining technical excellence and consistency, all grant projects awarded through the HPF program are conducted in accordance with the *Secretary of the Interior's Standards for Archeology and Historic Preservation*.

Qualifications

Grants will be awarded to applicants who hold or whose agents hold credentials meeting the requirements of the Secretary of the Interior's Professional Qualification Standards (48 FR 22716, Sept. 1983), www.dnr.mo.gov/shpo/profqualifications.htm#profqual, <http://www.cr.nps.gov/hps/laws/ProfQual83.htm>. The applicants may be local governments, state agencies, nonprofit organizations, educational institutions, individuals or for-profit corporations.

Before grant award approval, the grantee must enter into a formal grant contract with the SHSND. The contract outlines the responsibilities of each party and indicates the time period during which funds will be available to the grantee.

All out of state applicants that are awarded grants must be registered with the North Dakota Secretary of State's office as a foreign (out-of-state) firm doing business in North Dakota before a grant agreement will be finalized. This registration will incur a cost to the applicant. More information can be found at Business Registration & Information section of the Secretary of State's website: www.nd.gov/sos.

Application Process

Individuals, organizations, and firms interested in participating in the HPF grant-in-aid program must complete and submit **two** copies of the application.

The application must include:

1. Completed Application form (Attachment 2)
2. Narrative
3. Time Line
4. List of Products
5. Itemized Budget
6. Vitae of Project Personnel
 - a. Also, if the Principle Investigator has not been awarded a grant from the SHSND in the last 10 years, samples of work on a similar project.
7. Signed Certifications (Attachment 8)
8. Signed Assurances (Attachment 9)

Proposals missing any of the above information
or received in the SHSND office after
5:00pm Friday August 20, 2010
will not be considered for the project.

All applications must be typed and submitted on standard sized (8½x11") white paper. The narrative section must be double spaced.

Mail applications to:

Amy Munson
Grants & Contracts Officer
Historic Preservation Division
State Historical Society of North Dakota
612 East Boulevard Avenue
Bismarck, ND 58505

Proposals will not be opened until after the deadline.

All completed proposals will be evaluated by qualified SHSND personnel and follow the published evaluation criteria on page 6.

Submission of grant proposal constitutes a declaration that the applicant has read this Request for Proposals (RFP) and is familiar with the procedures, policies and requirements of the grants program and that the principal investigator is qualified according to The Secretary of the Interior's Professional Qualification Standards (48 FR 22716, Sept. 1983).

The State Historical Society of North Dakota reserves the right to reject any or all proposals.

Application Form

All applicants must complete and sign the application form (Attachment 2). The application form must be attached to the front of the proposal.

Narrative

Applicants shall submit a narrative description of the project in the form of a proposal which includes, at minimum, the following elements:

1. Description of how the project will be accomplished (i.e., research design)
2. List of all products to be produced
3. Detailed schedule/time line indicating dates for product submittal
4. Vitae for all professional project personnel and their main project related responsibilities
5. If a context is to be produced, a conceptual outline of the context must be included with the proposal
6. Survey proposals must include:
 - a. Type of survey to be done (i.e., architectural, historical, archeological, or combination)
 - b. Level of survey to be completed (i.e., intensive or reconnaissance)
7. Archeological projects must include information on compatibility of project with the State's archeological comprehensive plan.
8. Principle Investigators who have not written documents for the SHSND, Historic Preservation Division for work done under a Historic Preservation Grant in the past 10 years must submit references and samples fo past work similar to the project in their proposal

Project Budget

The proposal must include an itemized budget. The budget should clearly distinguish between the project costs that will be charged to the HPF grant funds and any that will be supported by the applicant's cash and in-kind contributions. All items listed in the budget must be reasonable and necessary to accomplish project objectives, allowable in terms of state and federal cost principles, auditable, and occur during the grant period. The method used to estimate cost for each item must be included.

Unless otherwise negotiated, "firm fixed price" contracts will be written for the project.

In a "firm fixed price" contract, the SHSND will agree to pay the contractor a fixed amount dependent upon approval of the proposal budget. Payments will be tied to the submittal of products with a majority of the funds withheld until approval of the completed project "Firm fixed price" contracts will not require the submittal of supporting documentation for expenses

unless specifically requested; however, contractors must have supporting documentation available.

Budget Line Item Guidelines

Please round off all figures to the nearest dollar and provide adequate supporting rationale to justify budget line items.

Salaries and Wages

For principle project personnel, provide each person's name, job title, wage rate and number of working hours on the project. For support staff, include the position title, wage rate, number of persons employed in this position, number of working hours on the project.

Fringe Benefits

List type of fringe benefits paid and the rate. If more than one rate is used, list each rate and salary base.

Consultant Fees

Include payments for professional and technical consultants. Provide the name of type of consultant. Include the hourly rate of compensation and the amount of time the consultant will spend on the project. The maximum allowable hourly rate of compensation is \$89.41.

Travel Costs

For each trip, indicate the destination, the number of persons traveling, the total days they will be in travel status and the total per diem and transportation costs for the trip. Principal Investigators who have not had a contract from the SHSND in five or more years must meet with SHSND staff prior to start of the project. Costs for this meeting should be included in the budget.

Allowable travel costs cannot exceed the rates established by the State of North Dakota:

1. The rate for mileage cannot exceed \$0.50 per mile in North Dakota and within 300 miles of the border of North Dakota; \$0.18 a mile beyond 300 miles of the North Dakota border.
2. The rate for meals cannot exceed \$25.00 per day per person in North Dakota; federal rates apply outside of North Dakota and vary for each city.
3. The rate paid for lodging cannot exceed \$63.00 plus tax per night per person; federal fiscal restrictions apply for lodging outside of North Dakota and federal rates will vary for each city.

Materials, Supplies and Equipment

Prior written approval must be obtained before the purchase of equipment using grant funds. If equipment purchased is proposed, a detailed description of the equipment, the intended use and an accurate estimate of the cost must be included in the proposal. The equipment will become the property of the SHSND at project completion.

Indirect Costs

Indirect Costs are not allowed, except in special circumstances.

Indirect costs are chargeable to a project budget only if the applicant has a federally negotiated indirect cost rate. If the applicant proposes to charge indirect costs to HPF grant, the federal rate negotiation agreement approving the indirect cost ratio must be included with the grant application.

Indirect costs are expense items that cannot be separated from normal operating costs; therefore, they cannot be tied directly to the project. Examples of indirect costs are the salaries of administrative officers, utilities, rent, insurance, etc.

Permit Costs

Grantees doing any cultural resource work on State owned property must acquire a permit prior to starting field work (NDCC 55-03-01.1). The permit cost is \$100.00 per project per calendar year and may be included as budget item. Please allow 30 days for processing permit.

Other Costs

Please note that *miscellaneous* and *contingency* are not allowable budget categories. A *fixed fee* category may be included.

Matching Share

In general, matching share represents the portion of the total project costs not paid for with federal funds. The matching funds may come from cash contributions, nonfederal funds, or in-kind contributions. In-kind contributions, such as donated services and supplies, may be included in the match provided they can be documented and relate specifically to the proposed project. Matching funds are appreciated but not required on this project.

Contact the Grants & Contracts Officer for more information or questions on matching share.

Evaluation Criteria

All applicants will be evaluated using standardized evaluation criteria.

Each proposal will be judged by what degree it demonstrates:

1. Applicants understanding of project requirements, completion and quality of similar projects.
2. The Principle Investigator is qualified according to the Secretary of the Interior's Professional Qualification Standards (48 FR 22716, Sept. 83)
3. Project personnel have the technical capability, educational background and pertinent work experience needed for the project
4. The applicant is knowledgeable and familiar with pertinent local cultural resources and historic preservation principles and methodology including all National Register Bulletins
5. The applicant's knowledge and familiarity with research sources and techniques are adequate to complete the project
6. The proposed time line will meet the SHSND needs
7. The planning and scheduling techniques assure quality performance
8. Previous work done for the SHSND or similar projects were completed satisfactorily and in a timely manner
9. The quality of work done on similar projects meets the SHSND standards
10. The proposed research design and work plan is feasible to meet the desired objective
11. The budget amounts are reasonable to accomplish the project as proposed
12. The supporting rationale and documentation are adequate to explain and justify budget line items
13. The contract amount is reasonable for the project
14. The proposed products are of research value to the SHSND

All application reviewers will have access to information regarding applicant's performance on previous projects. This information will include any discrepancies between project deadlines and work completion dates, the accuracy of budget projections and the quality of work performed.

Civil Rights

Grant assisted projects must be administered in conformance with the Civil Rights Act of 1964, as amended, which prohibits discrimination against the handicapped. Title VI of the Act states that no person will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of or be otherwise subjected to discrimination under any program or activity receiving federal financial assistance.

Application Assistance

If more information is needed about the granting process or individual project descriptions, please send written questions to the following address or email:

Amy Munson
Grants & Contracts Officer

State Historical Society of North Dakota
Historic Preservation Division
612 East Boulevard Avenue
Bismarck, ND 58505

Phone: 701-328-3573

Fax:701-328-3710

email: amunson@nd.gov

This program receives Federal funds from the National Park Service. Regulations of the U.S. Department of the Interior strictly prohibits unlawful discrimination in departmental Federally Assisted Programs on the basis of race, color, national origin, age or handicap. Any person who believes he/she has been discriminated against in any program, activity or facility operated by a recipient of Federal assistance should write: Office of Equal Opportunity Program, National Parks Service, 1849 C Street NW, Washington D.C. 20240.

**Railroad National Register Nomination as part of a
Multiple Property Submission
Phase II**

The North Dakota State Historic Preservation Office (SHPO) is seeking a qualified consultant to research and write an individual National Register nomination to accompany the Multiple Property Submission on the Railroads in North Dakota 1872 – 1956.

The consultant must have expertise in the field of architectural history and documentation and meet the professional qualification standards as established by the Secretary of the Interior for history and architectural history. Previous work in railroad-related research and nominations is a plus. The chosen consultant will need to possess a North Dakota cultural resources permit.

This project is being funded by Historic Preservation Fund grant money. Work on this project will begin September 15, 2010. The estimated budget for this project is \$10,000.

Project History/Objectives

The project will be completed in two phases. Phase I of the MPDF was completed in 2009 and provided an in-depth study that examines the significance of railroad corridors throughout North Dakota, identifies roles in the development of the state, and provides guidelines on how to evaluate the National Register eligibility of these resources. The context is available on the SHSND web site: <http://www.history.nd.gov/hp/historiccontexts.html>

Phase II will be the application of the MPDF to specific properties with the completion of a National Register nomination. The MPDF along with the individual nomination will make up the Multiple Property Submission to the National Park Service.

Background

By 1886, major railway lines were being completed across the state, including the Northern Pacific from Fargo to Beach and beyond, the St. Paul Minnesota & Manitoba Railway from Grand Forks through the Fort Berthold Indian Reservation and beyond, and others. By 1914, the expansion of railroads throughout the state was about complete, and several major players had emerged. These include the Great Northern Railway Company, the Northern Pacific Railway Company, the Midland Continental, the Soo Line, the Canadian Northern Railway Company and the Burlington Northern Railway.

Today, thousands of miles of historical-period railroad corridors are potentially eligible for listing in the National Register of Historic Places (National Register), and these corridors are regularly affected by Federal Highway Administration-funded roadway and trail projects. The ubiquity of railroad lines, their interstate nature, varying degrees of historic integrity, and variety of purpose make them a challenging resource for agencies to evaluate and manage.

Research & Fieldwork

The contractor chosen will conduct the research necessary to the nomination by examining the resources housed at the appropriate regional, state, and local repositories. Repositories should include but are not limited to, the State Archives and Research library, the State Historical Society Historic Preservation Division site files, collections of building materials at the site and appropriate local sources.

The contractor will examine previous research. Guidelines to be followed should include National Register Bulletins “How to Complete the National Register Registration Form,” “How to Apply the National Register Criteria for Evaluation,” and “How to Complete a National Register Multiple Property Documentation Form,” and a standard style manual.

The SHPO is currently seeking approval on the following sites for possible nominations and is open to other recommendations from selected contractor:

Highline Bridge located in Valley City, ND

Water tank located in Des Lacs, ND

Cartwright tunnel and track to the National Register listed Fairview Lift Bridge near Fairview, ND

Additional Requirements

Additional Requirements for the project can be found in Attachment 3, *Requirements for National Register Projects*.

Products

- 2 copies of the **draft** nomination on National Register forms (including supporting documentation on continuation sheets, topographical maps and one CD-ROM with digital photos or 2 sets of printed photos)
- 1 copy of the **final** nomination on the National Register forms which must be printed on acid free paper (including supporting documentation on continuation sheets, topographical maps and one CD-ROM with digital photos and 2 sets of printed photos)
- 1 electronic copy of the **final** nomination in Microsoft Word (.doc) or Adobe Acrobat (.pdf) submitted on CD-ROM or DVD.

See *Requirements for National Register Projects* for additional information

Time Line

1 st draft submitted	January 2011
State Review Board Draft	March 2011
Presentation to SRB	April 2011

APPLICATION CHECKLIST

Each application package (you must submit 2 complete packages) submitted must consist of the following pieces arranged in the following order:

- Application Form, completed and signed (Attachment 2)
- Narrative
- Time Line, including beginning and ending dates, with checkpoints in between
- Budget, detailed line item budget with justification
- Vitae of Project Personnel
- Sample of work on similar project (if required)
- Assurances for Non-Construction Programs (Attachment 8), completed and signed
- Certifications Regarding Debarment, Suspension ...(Attachment 9) , completed and signed

**Two complete copies of the application packet
must be submitted**

One copy must have original signatures

Do not individually sleeve pages

Copies must be collated

**APPLICATIONS MUST BE RECEIVED
BY THE STATE HISTORICAL SOCIETY**

BY 5 PM

Friday August 20, 2010

HISTORIC PRESERVATION FUND GRANT APPLICATION FORM

Applicant/Organization: _____

Address: _____

City, State, Zip: _____

Phone: _____ E-mail: _____

Principle Investigator: _____ Phone: _____

Project Title: _____

Project Period: (m/d/y): Beginning date: _____ Completion date: _____

FEDERAL FUNDS: \$ _____

MATCHING SHARE: \$ _____

TOTAL PROJECT COST \$ _____

I certify that I have read the Society's Historic Development Guidelines and do understand the terms and conditions relating to the use of HPF grant funds. I understand that I may not proceed with any project work for which reimbursement is expected until I sign a contract with the State Historical Society of North Dakota and receive written notification from the State Historical Society of North Dakota to begin. I also certify that I, or the organization I represent, have sufficient resources to satisfy the proposed matching share.

Applicant Signature Date

Return Applications to: Amy Munson
Grants & Contracts Officer
Historic Preservation
State Historical Society of North Dakota
North Dakota Heritage Center
612 East Boulevard Avenue
Bismarck, ND 58505

Requirements for National Register Projects

I. NOMINATION REQUIREMENTS

A. CONTENTS

All nominations must be written in accordance with the guidelines presented in the appropriate National Register Bulletins, primarily "How to Complete the National Register Registration Form" and "How to Apply the National Register Criteria for Evaluation".

Individual projects may require a project report and/or survey in addition to the nomination. If either is required, grantee must follow guidelines for reports and surveys found in the "Requirements for Survey Projects".

Unless otherwise stated in the individual project description, the grantee shall submit two copies of the draft nomination on National Register forms, (including supporting documentation on continuation sheets, topographical maps, and two sets of 8" X 10" black and white photos labeled in accordance with the National Register Bulletin "How to Complete the National Register Registration Form") for review by the Society. Slides of the nominated property may also be submitted. These materials must be edited prior to submission for grammar, punctuation, and clarity. The Society will have 30 days to review the draft nomination and submit to the grantee a written critique of the draft, including required modifications. Following receipt of the Society's comments, the grantee will have 30 days to incorporate the comments, make the required modifications to the nomination and submit a minimum of two copies to the Society. The project photographic negatives must also be submitted at this time.

B. BOARD PRESENTATION

The nominations will be scheduled for presentation as specified in the project Scope of Work. The contractors should attend the Historic Preservation Review Board meeting and present the nomination to the Board, using slides to illustrate the components of the nomination.

C. COMPUTER DISK

In addition to the nomination submitted on required forms, the approved nomination must also be submitted on a on a CD-ROM or DVD in an IBM compatible word processing program that may be opened in Microsoft Word (.doc) or Adobe Acrobat (.pdf).

D. DEADLINES

Contractors are responsible for making all necessary revisions to the nomination until the nomination has been accepted by the Keeper of the National Register. Any revisions required by the Society, by the Historic Preservation Review Board or by the Keeper must be made within 30 days of notification. Recognizing that logistical constraints may impinge upon this schedule, the Society is willing to consider proposals that include alternate submittal dates. In cases when two or more applicants are competing for the same project and very similar proposals are submitted, Society will give preference to proposals that meet the desired completion deadlines.

II. TECHNICAL SUPPORT

Grantees involved in completing the nomination should work closely with Society staff to insure acceptability of the nomination by Society. Technical assistance will be provided by Society staff upon request.

III. ADDITIONAL PHOTOGRAPHY REQUIREMENTS

A. PHOTO STANDARDS and STORAGE

At the conclusion of the project, the grantee must submit all project photographic negatives to Society. All contractors are required to use the Photograph and Slide Identification Form included as Attachment E. These negatives become the property of the State Historical Society of North Dakota.

Digital photograph standards:

1. The camera should be a 2-5 megapixel SLR or point and shoot digital camera, better would be a 6 megapixel digital SLR camera.
2. Photo file format need to be a first generation Tag Image File Format (TIFF) or RAW. Also acceptable are Joint Photographic Experts Group (JPEG) converted to a TIFF. JPEG must not be altered in any way prior to conversion
3. Digital images need to be 2 megapixels (1200 x 1600) at 300 dpi, better would be 6 megapixels (2000 x 3000 pixels) image at 300 dpi.
4. Labeling: **State_County_Multiple (if applicable)_property name_0001**
 - a. Leading zeros prior to image number required
5. Printer and paper at minimum manufacturer recommended photographic paper should be used better is to also use a manufacturer recommended ink to print the photos as well. Unacceptable are photos printed on regular copy paper or printer paper.
6. Photos should be saved on a CD-R or DVD-R disk better would be a CD-R with

patented Phthalocyanine dye and 24 Karat gold reflective layer. Unacceptable disk formats are CD-RW and DVD-RW.

7. Disk should be labeled using a CD/DVD safe marker or a label printed directly on the disk by the way of inkjet or laser printers. Unacceptable are ammonia or solvent based markers.

All slides, photos, and negatives become the property of the Society.

ASSURANCES--NON-CONSTRUCTION PROGRAMS

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P. L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176© of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

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 for 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.

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.

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.

PART C: Certification Regarding Drug-Free Workplace Requirements

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 probation;
- (a) 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 drugfree workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (2) 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 numbers(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
 - (g) (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; Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f),

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

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

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

PART D Certification Regarding Drug-Free Workplace Requirements

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.

PART E: Certification Regarding Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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 IS 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.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

TYPED NAME AND TITLE

DATE