

# Michigan Lighthouse Assistance Program

## *Grant Manual*



**State Historic Preservation Office  
Michigan State Housing Development Authority  
702 West Kalamazoo Street  
PO Box 30740  
Lansing, MI 48909-8240**

This program is managed with state matching funds for the Historic Preservation Program, which is funded with Federal Funds from the National Park Service, U. S. Department of the Interior. However, the contents and opinions do not necessarily reflect the views or policies of the Department of the Interior. The Historic Preservation 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, or disability or age in its federally assisted programs. Michigan law prohibits discrimination on the basis of religion, race, color, national origin, age, sex, marital status or disability. 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, 1849 C Street, N.W., Washington, DC 20240

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## INTRODUCTION

The Michigan Lighthouse Assistance Program was established to assist in the preservation, rehabilitation and protection of historic lighthouses in Michigan. The program arose from the concern about the disposal of approximately seventy lighthouses by the U. S. Coast Guard, and through the activities of the Michigan Lighthouse Project.

*Inquiries can be directed to:*

**Michigan Lighthouse Assistance Program**  
State Historic Preservation Office  
P.O. Box 30740  
702 West Kalamazoo Street  
Lansing, Michigan 48909-8240  
[www.michigan.gov/shpo](http://www.michigan.gov/shpo)

This grant program is managed through the State Historic Preservation Office (SHPO), Michigan State Housing Development Authority (MSHDA).

Funding for the Michigan Lighthouse Assistance Program comes from the sale of lighthouse license plates. Twenty-five dollars from each license plate sold, and ten dollars for each license plate renewal, goes to the Michigan Lighthouse Assistance Program. For more information on these plates, contact your local Secretary of State office. You can also purchase the lighthouse license plate when renewing by mail or by logging on to [www.michigan.gov/sos](http://www.michigan.gov/sos).

The SHPO is pleased to be able to offer this opportunity to owners, potential owners, and lessees of Michigan's lighthouses, powerful symbols of the Great Lake State's maritime history.

By rehabilitating Michigan's historic lighthouses, nonprofit organizations and local communities safeguard the most visible icons of our strong maritime history and promote greater public awareness for our unique cultural heritage in the Great Lakes. Preservation of Michigan's historic lighthouses also promotes the economic development and vitality of the local economies of the communities in which these historic properties reside. By enhancing the tourism potential of local communities, rehabilitation of Michigan's historic lighthouses necessarily promotes the greater economic expansion of the entire state. Investing in our lighthouses, therefore, is investing in Michigan's rich cultural heritage and economic growth.

## WHO CAN APPLY

Nonprofit organizations and state or local governments that own (or are in the process of acquiring) or have long-term leases on a lighthouse are eligible to apply for these funds. Private individuals are *not* eligible for these grants.

## HOW TO APPLY

In past years, total grant awards have exceeded \$100,000 per grant period. The maximum award is \$60,000. Grants must be matched equal to 50% of the grant amount awarded (see Chapter 4 – Availability of Funds and Matching Share Requirement).

If you are completing an application for rehabilitation or stabilization work, begin with Chapter 2. If you are completing an application for planning work, begin with Chapter 3. *Applications must be postmarked no later than November 21, 2014.*

Grantees are limited to having two Michigan Lighthouse Assistance Program (MLAP) grants open at a time. One grant must be for planning work and one grant must be for rehabilitation work. A grantee may not have two grants of the same type open at the same time. A grant must be closed before the grantee can submit a new application for a grant of the same type.

Planning grants which include plans and specifications or construction administration may be included as part of a rehabilitation grant. However, an application for a Historic Structure Report (HSR) or a Condition Assessment Report (CAR) must be submitted as a planning grant.

***Send one copy of the application and photographs to:***

**Michigan Lighthouse Assistance Program**  
State Historic Preservation Office  
P.O. Box 30740  
702 West Kalamazoo Street  
Lansing, Michigan 48909-8240

For UPS, Federal Express or DHL deliveries:

**Michigan Lighthouse Assistance Program**  
State Historic Preservation Office  
702 West Kalamazoo Street  
Lansing, Michigan 48915

The State Historic Preservation Office staff will competitively score all applications. The criteria to be used in scoring the applications are included in this manual.

*This manual will assist you in the preparation of an application and in administering these funds. It is incumbent upon each grant applicant to read this manual and to become familiar with its contents. The following staff would be happy to assist you with any questions not covered in the manual or questions about preparing an application:*

### **State Historic Preservation Office Contacts:**

Joelle Letts, Grants Manager/Budget Analyst  
(517) 373-1904 or LettsJ1@michigan.gov

Bryan Lijewski, Architect  
(517) 373-1631 or LijewskiB@michigan.gov

Telephone: (517) 373-1630  
Fax: (517) 335-0348

## LIGHTHOUSE ASSISTANCE PROGRAM SCORING CRITERIA

The applications will be scored using the following criteria:

Criteria	Available Points
Resource is threatened by Coast Guard disposal or is a newly transferred light	0-10
Scope of work is clearly defined and eligible; Project is ready to proceed at time of application and not dependent on future actions, approval or cooperation from other organizations before the project can begin.	0-20
<i>Proposed work will have a (high/medium/low) impact on the resource</i> <ul style="list-style-type: none"> <li>• High – structural stabilization or correct deficiencies to prevent further damage</li> <li>• Medium - planning to allow continued use (proposed planning work is needed and will be used as basis for rehabilitation work)</li> <li>• Low – interior cosmetics</li> </ul>	0-15 0-10 0-5
Project budget is clearly defined and costs are eligible; project exceeds \$5,000 in grant costs; Costs are reasonable for the proposed work	0-10
Match is cash or donated materials; value of donated materials is substantiated; application demonstrates availability of 100% of the entire project expense up front.	0-10
Applicant has experience in managing grants; Applicant is a unit of government or other clearly defined organization with administrative ability; <i>Planning applications only</i> . Organization has administrative ability and capacity to use plan for future rehabilitation work; for previous grantees, applicant is prompt with quarterly report submissions and complying with grant requirements.	0-10
Light Station is listed or eligible for listing in the NRHP and project work meets the Secretary of the Interior Standards	0-10
Application materials are complete and includes all required documents	0-15
<b>Total</b>	100

*Note: An incomplete application may be returned to the applicant. If the grant project is not ready to proceed at the time of application, the application may be returned to the applicant. The applicant may resubmit the application for funding in a future application round.*

## **AWARDING GRANTS**

If the application is selected for funding, a grant agreement awarding the funds will be executed.

**Note:** Project work cannot commence before a grant agreement has been executed.

**Note:** Expenses incurred prior to the execution of the grant agreement are not eligible for reimbursement.

### **AVAILABILITY OF FUNDS**

The Michigan Lighthouse Assistance Program (MLAP) grant program is an **EXPENSE REIMBURSEMENT** program. The grantee must have funds available for expenditure to cover 100% of the costs of the entire project at the time the grant application is submitted. The grantee is then reimbursed for the eligible expenses incurred up to the grant amount at the end of the project after the work has been approved by SHPO. All project work must be complete and all invoices paid, and all financial documentation is audited and approved by SHPO before the grantee receives any reimbursement.

If a historic preservation easement is required, then reimbursement will only occur after the easement is executed and recorded at the Register of Deeds and the original recorded easement submitted to SHPO.

**NOTE:** Please make sure your grant application includes documentation supporting that you have cash on hand to pay 100% of the project cost up front.

For example, if you are applying for a \$20,000 grant to prepare a Historic Structures Report, the required match is \$10,000 for a total project cost of \$30,000. You must demonstrate in your grant application that you have \$30,000 available at the time of application to pay the entire cost of the grant project.

## CHAPTER 1

### General Conditions

Below are general conditions that apply to the receipt of a Michigan Lighthouse Assistance Program Grant. These and all other applicable requirements, laws, and regulations are also addressed or referenced in the grant agreement that will be executed between your organization and the Michigan State Housing Development Authority.

#### 1. Grant Period and Project Extensions

Project costs must be incurred between the date the grant agreement is executed (signed and dated by the Michigan State Housing Development Authority) and the end date specified in the agreement. *Costs incurred prior to the execution of the grant agreement or after the end date of the grant agreement are not eligible project costs and will not be used as part of the state grant or the matching share.* Awarded grants will have a two-year period in which to execute the project work

If during the course of the project the grant recipient believes the grant agreement end date cannot be met, a written request for a project extension must be submitted to the SHPO *prior* to the end date specified in the grant agreement. This request must state the reason why the extension is necessary.

To encourage the timely completion of MLAP grant projects so that new projects can be funded, ***project extensions beyond the two-year grant period will only be considered if the proposed extension end date is within three years of the date of execution of the grant agreement.*** Requests for extension will be evaluated and may be granted at the discretion of the SHPO if the recipient can demonstrate reasonable progress in accomplishing the grant work. Requests for project extensions beyond three years of the execution date of the grant agreement will not be considered.

If the proposed end date extension is beyond the three year period, the grant agreement will expire and the grantee will be required to submit a new grant application for the next grant round to continue or complete the work.

#### 2. Project Scope

The scope of the work is defined in the grant agreement. Prior to implementing any change, the grant recipient shall notify the SHPO in writing when changes in the scope of the work are necessary. Some changes may be technical in nature and not require a formal grant agreement amendment. Most changes will require an amendment.

#### 3. Project Budget

The grant recipient must notify the SHPO in writing of any major changes in the budget prior to implementing the change.

#### 4. Method Of Payment

All grant funds are paid on an EXPENSE REIMBURSEMENT method only. The grantee must have funds available for expenditure to cover 100% of the costs of the entire project at the time the grant application is submitted. The grantee is then reimbursed for eligible expenses incurred up to the grant amount at the end of the grant project after the work has been approved by SHPO. All project work must be complete and all invoices paid, and all financial documentation is audited and approved by SHPO before the grantee receives any reimbursement. If a historic preservation easement is required, reimbursement will only occur after the easement is executed and recorded at the Register of Deeds and the original recorded easement is submitted to SHPO.

See Chapter 4 Availability of Funds and Matching Share Requirement.

#### 5. Completion Material/Report

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

#### 6. Acknowledgment of Funding and Non-Discrimination Policies

*In all publications, reports, and newsletters, the grantee shall acknowledge financial support by the Michigan Lighthouse Assistance Program and administration of the State Historic Preservation Office, Michigan State Housing Development Authority. The acknowledgment to be used is included in the grant agreement.*

## 7. 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 standards established pursuant to the National Occupational Safety and Health Act of 1970 (see CFR 1910).

## 8. 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 disability. The Michigan State Housing Development Authority requires 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 disability.

Grant recipients with grant agreements of \$25,000 or more or employing 25 persons or more are also required to complete 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.

## 9. Barrier Free Access

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 are applicable to the Lighthouse Assistance Program. 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 a variance to the Michigan requirements when an applicant sufficiently shows that: 1) the proposed repairs, alterations or additions are to be performed on a building or structure listed on or eligible for listing on the National Register of Historic Places or the State Register of Historic Sites; and that 2) 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, Michigan 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, Bureau of Construction Codes, Plan Review Division, P.O. Box 30254, Lansing, MI, 48909 or call (517) 241-931 or email [bccinfo@michigan.gov](mailto:bccinfo@michigan.gov).

## 10. Record Accessibility and Retention

Grant recipients will submit program, financial, or other reports as are required by the Michigan State Housing Development Authority. On-site inspections by the Michigan State Housing Development Authority will be conducted as required to provide necessary information relevant to compliance with grant terms and conditions.

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

## 11. National Register of Historic Places

The light station resource that is the subject of the MLAP application must be listed in the National Register of Historic Places or must be determined eligible for listing in the National Register of Historic Places by the SHPO. If the resource is not currently listed, a determination of eligibility letter provided by the National Register Coordinator at the SHPO must be submitted with the grant application.

## CHAPTER 2

### Application for Rehabilitation Project

*If you are applying for a planning grant, please refer to Chapter 3 of this manual.*

Consult the chapters on general conditions, allowable costs, availability of funds and matching share, and project completion before completing the application.

The application should be submitted on 8 ½ x 11 plain white paper. Submit one copy of the application. *Applications are due **Friday, November 21, 2014. Applications must be postmarked no later than 5:00 p.m. on Friday, November 21, 2014.***

### Grant Application Checklist

Complete the Michigan Lighthouse Assistance Program (MLAP) Application Checklist, which can be found at the end of this chapter and submit it with your application.

#### 1. Project Name and Address

List the project name and address.

#### 2. Project Contact

List the project contact. This shall be a person who will have complete knowledge of the progress of the project work, and will be the primary contact for grant administration. Include:

- Name and Title
- Address (include zip code)
- Daytime Phone Number
- Fax Number
- Email Address

*If the project contact has more than one address, please list all addresses, along with approximate times of the year each address is used (i.e. summer home, used from May to November).*

#### 3. Grant Recipient

List the grant recipient information:

- Name
- Address (include zip code)
- Daytime Phone Number
- Email Address

*Indicate if the grant recipient is a unit of government (local or state) or a private, nonprofit organization.*

#### 4. Legislator Information

List the federal and state legislator information as follows:

- Names of U.S. Senators
- U.S. Congressional District Number
- Name of U.S. Congressman or Congresswoman
- State Senate District Number
- Name of State Senator
- State House of Representative District Number
- Name of State Representative

#### 5. Property Owner

- Indicate if the applicant is the property owner
- List Property Owner Information
- Name
- Address (include zip code)
- Daytime Phone Number
- Email Address

## 6. Deed and Ownership Information, Lease, or Use Agreement

Submit a copy of the deed showing the Register of Deeds recordation markings and sufficient documentation which discloses all present and future interests in the land, together with a statement of each lien, change, and liability, if any.

For any non-profit owned structures, documentation may include a title commitment or an abstract of title.

For publicly owned structures, documentation may include a legal opinion from the local unit's attorney.

For leased or licensed properties, provide a copy of the lease/license, the name of the owner, and any additional documentation, as necessary.

If the applicant is not the owner of the light station, there must be a written agreement between the owner and the applicant. The agreement must clearly delineate the authority and responsibilities of both organizations relative to the light station. Submit a copy of the written agreement with your MLAP grant application. A grant agreement cannot be executed if there is not a written agreement between the owner and applicant.

If property is leased or licensed, a letter of support from the property owner granting permission to the applicant to apply must also be included.

For off-shore light stations where bottomlands regulations are in effect, provide a copy of the Michigan Department of Environmental Quality (DEQ) Offshore Light form and survey. Please provide both the name of the county the off-shore light station resides in and the latitude and longitude coordinates.

If a historic preservation easement or other easement already exists on the property, please provide a copy.

*NOTE: For Rehabilitation projects only: A historic preservation easement guaranteeing maintenance and public accessibility must be recorded with the deed prior to disbursement of grant funds. See the chapter on historic preservation easements for complete details.*

## 7. Federal Employer Identification Number

List the name and the Federal Employer Identification Number of the organization that the SHPO will be reimbursing at the end of the grant project.

## 8. Scope of Work

Please provide a concise detailed description of the proposed project. The description must provide a complete explanation of the existing conditions and the work to be performed under the grant. The description should clearly illustrate the materials, methods, and techniques to be used in the rehabilitation project. Any historic materials to be removed and disposed of should be clearly identified. This work description will complement the required photographs to give a complete accounting of the proposed rehabilitation work.

### Plans and specifications

*All plans and specifications and project work must meet the Secretary of the Interior's Standards for Rehabilitation. Refer to Appendix A for a list of the Secretary of the Interior's Standards for Rehabilitation.*

Plans and specifications must be submitted with the application for rehabilitation work.

Once approved by the SHPO, the plans and specifications become part of the grant agreement to accomplish the grant work.

If you do not have plans and specifications or you desire a complete building assessment with priorities and estimates of cost, you may wish to apply for a planning grant to prepare them.

## 9. Grant Request and Match

List the grant amount being requested, as well as total amount of matching share.

- Grant funding request: *(may be no more than \$60,000)*
- Total matching share: *(must be at least 50% of the total grant amount)*

Indicate the source of the matching share in the following format:

- Donor: *(city, non-profit, etc.)*

- Source: (private, city general fund, etc.)
- Kind: (cash, donated material, donated equipment, etc.)
- Amount: (dollar amount of matching share)

Donated material and equipment use are acceptable sources of matching share, but the value must be substantiated (i.e. a letter from the donor stating the value of the contribution (must be fair market value), an advertisement showing wholesale price of an item, etc.)

Volunteer labor of professionals, such as roofers, painters, electricians, plumbers, will not be allowable as match.

## 10. Detailed Budget

Describe the work which will be done and include all estimated costs. *Be specific.*

Example:

	Grant	Match	Total
Paint analysis to determine historic colors	\$2,000	\$0	\$2,000
Repaint tower using historic colors	\$10,000	\$2,500	\$12,500
Window repair	\$3,000	\$3,000	\$6,000
Shutters to protect windows	\$0	\$2,000	\$2,000
<b>Total Costs</b>	<b>\$15,000</b>	<b>\$7,500</b>	<b>\$22,500</b>

Bidding and construction administration by a qualified architect can be an eligible expense as part of a rehabilitation project.

The following work is ineligible:

- Certain environmental cleanup activities required under federal law.
- Acquisition
- Non-historic site features such as parking lots
- Reconstruction of missing buildings (reconstruction of certain missing elements may be allowable if based upon historical documentation, such as photographs).
- Fundraising
- Fines, penalties, debts or interest.
- Operational expenses

## 11. Certification of Availability of Funds

***The MLAP grant program is an EXPENSE REIMBURSEMENT program. The grantee must have funds available for expenditure to cover 100% of the costs of the entire project at the time the grant application is submitted. The grantee is then reimbursed for eligible expenses incurred up to the grant amount at the end of the grant project after the work has been approved by SHPO. All project work must be complete and all invoices paid, and all financial documentation is audited and approved by SHPO before the grantee receives any reimbursement. If a historic preservation easement is required, then reimbursement will only occur after the easement is executed and recorded at the Register of Deeds and the original recorded easement submitted to SHPO.***

Certification of the availability and source of funds to pay for 100% of the total project cost must be provided with the application. Using the example of a \$20,000 grant with a \$10,000 match, you must demonstrate in your grant application that you have \$30,000 available at the time of application to pay the entire cost of the grant project. Funds to pay for 100% of the entire project cost must be documented and verifiable at the time of application. Any changes in the availability of project funds and/or matching share must be approved by the SHPO.

Certification may be a statement from a banker that funds are available, a bank statement, a resolution from the governing body setting aside specific funds, or similar verification. Please refer to the sample resolution language found in Chapter 2 for rehabilitation projects and Chapter 3 for planning projects and Chapter 4 for information about the availability of project funds and matching share requirements. The certification and resolution should specify the amount and source of the funding, and that the funds are earmarked for the project.

Provide documentation of donated supplies or donated equipment use (this should include market value of donation – see Chapter 4 on availability of funds and matching share).

## 12. Work Schedule

Develop a work schedule. *Assume that grant agreements will be executed during the second quarter of the calendar year.* Work schedules become a grant agreement attachment and must include dates for the following items:

- 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 work schedule)
- Submit draft Request for Proposal (RFP) for construction to SHPO for approval
- Submit draft solicitation letter and advertisement to SHPO for approval
- SHPO approves RFP, solicitation letter and advertisement (allow 4 weeks)
- Advertise for bids
- Bids Due (allow 4 weeks)
- Submit bids to SHPO with rationale for bidder selection
- SHPO approves bidder selection (allow 4 weeks)
- Submit construction subcontract to SHPO for approval
- SHPO approves construction subcontract (allow 4 weeks)
- Execute construction subcontract
- Submit copy of executed subcontract to SHPO
- SHPO conducts pre-work site inspection
- Install project sign
- Submit photo documentation of project sign to SHPO
- Begin construction
- Finish construction
- Project Close-out
- SHPO prepares historic preservation easement (allow 2 months)
- Sign easement and record at Register of Deeds
- Submit recorded easement to SHPO
- SHPO conducts final on-site inspection
- Submit final Completion Report
- Submit final reimbursement requests with financial documentation to SHPO

For rehabilitation projects where the project scope of work includes the preparation of ***plans and specifications or construction administration professional services***, include dates for these items in the work schedule before “Submit draft Request for Proposal (RFP) for construction to SHPO for approval”:

- Submit draft Request for Proposal (RFP) for ***plans and specifications or construction administration professional services*** to SHPO for approval
- Submit draft solicitation letter and list of bidders to SHPO for approval
- SHPO approves RFP, solicitation letter and list of bidders (allow 4 weeks)
- Solicit bids
- Bids Due (allow 4 weeks)
- Submit bids to SHPO with rationale for bidder selection
- SHPO approves bidder selection (allow 4 weeks)
- Submit subcontract to SHPO for approval
- SHPO approves subcontract (allow 4 weeks)
- Execute subcontract
- Submit copy of executed subcontract to SHPO
- For ***plans and specifications***:
  - Submit 75% draft of plans and specifications to SHPO for review and comment
  - SHPO comments on 75% draft of plans and specifications (allow 4 weeks)
  - Submit 95% draft of plans and specifications to SHPO for review and comment
  - SHPO comments on 95% draft of plans and specifications (allow 4 weeks)
  - Submit final draft plans and specifications to SHPO for review and approval (allow 4 weeks)
  - Submit final plans and specifications to SHPO.

***If during the course of the project the grant recipient believes the grant agreement end date cannot be met, a written request for a project extension must be submitted to the SHPO prior to the end date specified in the grant agreement. This request must state the reason why the extension is necessary.***

***To encourage timely completion of MLAP grant projects, project extensions will only be considered if the proposed extension end date is within three years of the date of execution of the grant agreement. Requests for extension will be evaluated and may be granted at the discretion of the SHPO if the recipient can demonstrate reasonable***

***progress in accomplishing the grant work. Requests for project extensions beyond three years of the execution date of the grant agreement will not be considered.***

***If the proposed end date extension is beyond the three year period, the grant agreement will expire and the grantee will be required to submit a new grant application for the next grant round to continue or complete the work.***

### **13. Additional Information**

- What are the present and planned uses for the property?
- Please submit letters or other evidence of community support for this project.
- *If the owner is not the applicant, please provide a letter from the owner stating they support the grant application*

### **14. Experience Administering Grants**

Provide a brief description of experience your organization has administering grants.

### **15. Financial Certification**

Include a certification from your financial manager that your organization has in place an adequate accounting system with appropriate internal controls to assure accuracy and reliability of accounting data. 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 budgeted 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 terms of the grant agreement;
- Support accounting records by source documentation such as canceled checks, paid bills, payrolls, and subcontract documents. Separate project records must be established and identified by the grant name and number.

### **16. Resolution, Bylaws and Articles of Incorporation**

Include a resolution authorizing acceptance of the grant under the conditions attached thereto, and designating all authorized contract signatories. *The resolution must include the names of the individuals authorized to sign the grant agreement, any grant agreement amendments and the historic preservation easement.*

Non-governmental agencies must submit copies of bylaws and articles of incorporation. If the bylaws and articles of incorporation clearly indicate and designate that certain individuals have the power to execute contracts, contract amendments and historic preservation easements on behalf of the organization, then a resolution is not required. *If approval authority is lacking in the bylaws or articles of incorporation, a resolution must be submitted along with the bylaws and articles of incorporation.*

The property owner also must provide authorization for execution of the historic preservation easement.

*If the applicant is not the property owner, submit two resolutions - one from the owner of the light station and one from the applicant. Both 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.





## **17. Civil Rights Compliance**

Complete the appropriate Civil Rights Compliance forms (Appendix C). Organizations that do not have employees on payroll must submit a formal letter stating Civil Rights Compliance. If it is determined that the applicant is not in compliance with the equal opportunity standards as established by the Michigan Department of Civil Rights, the application will be rejected.

## **18. Certification Regarding Debarment**

Complete the Certification Regarding Debarment form (Appendix D) and return with your application. If the applicant has been debarred from contracting with the federal government, the application will be rejected.

## **19. Certificate Verifying Key Persons of the Grantee**

Complete the Certificate Verifying Key Persons of the Grantee (Appendix E) and return with your application.

## **20. W-9 Form – Request for Taxpayer Identification Number and Certification**

Complete the W-9 Request for Taxpayer Identification Number and Certification (Appendix F) and return with your application.

## **21. Photographs**

See Appendix H for photographic requirements.

Include photographs as follows:

- 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
- Two photographic quality prints of each structure.
- One view shall show the front and side of the structure, the second view shall show the rear and opposite side of the structure.
- Views of all project work areas that clearly illustrate existing conditions.

## **22. Aerial Photograph or Sketch Map**

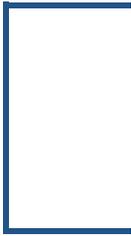
Include an aerial photograph or sketch map of the light station property with all of the buildings, structures and features labeled, and the property boundaries clearly delineated. Please make sure the aerial photograph or sketch map lists the date it was taken or prepared.

## **23. Signatures**

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

**24. Submission**

***Send One Copy Of The Application (Including Photographs) To:***



**Michigan Lighthouse Assistance Program**

State Historic Preservation Office

P.O. Box 30740

702 West Kalamazoo Street

Lansing, Michigan 48909-8240



For UPS, Federal Express or DHL deliveries:



**Michigan Lighthouse Assistance Program**

State Historic Preservation Office

702 West Kalamazoo Street

Lansing, Michigan 48915



## MLAP Application Checklist – Rehabilitation and Rehabilitation Planning Grants

Complete this checklist and return it with your application.

1. \_\_\_ Project Name and Address
2. \_\_\_ Project Contact
3. \_\_\_ Grant Recipient
4. \_\_\_ Legislator Information
5. \_\_\_ Property Owner Information
6. \_\_\_ Deed and Ownership Information, including copy of recorded deed or lease; Use Agreement
  - \_\_\_ • For non-profit owned structures, submit title commitment or abstract of title
  - \_\_\_ • For public-owned structures, submit legal opinion (e.g., from local unit of government attorney)
  - \_\_\_ • For leased or licensed properties, submit a copy of the recorded deed or lease
  - \_\_\_ • If the applicant is not the property owner, submit a copy of the agreement between applicant and owner
  - \_\_\_ • If the applicant is not the property owner, submit a letter of support from the property owner
  - \_\_\_ • If previous historic preservation easement exists on property, submit a copy
7. \_\_\_ Federal Employer Identification Number
8. \_\_\_ Scope of Work
  - \_\_\_ • For Rehabilitation Projects only: Submit Plans and Specifications (drawings)
9. \_\_\_ Grant Request and Matching Share Information
10. \_\_\_ Detailed Budget
11. \_\_\_ Certification of Availability of Funds
12. \_\_\_ Work Schedule
13. \_\_\_ Additional Information
14. \_\_\_ Experience Administering Grants
15. \_\_\_ Financial Certification
16. \_\_\_ Resolution
  - \_\_\_ • If applicant is property owner submit one Resolution
  - \_\_\_ • If applicant is *not* the property owner, submit one Resolution from the applicant and one Resolution from the property owner
  - \_\_\_ • Bylaws
  - \_\_\_ • Articles of Incorporation
17. \_\_\_ Civil Rights Forms
  - \_\_\_ • Workforce Status Report
  - \_\_\_ • Affirmation of Equal Opportunity

Recipients employing 25 or more persons **or** submitting grant applications for \$25,000 or more must submit:

  - \_\_\_ • Work Force Analysis
  - \_\_\_ • Written Equal Opportunity Plan
18. \_\_\_ Certification Regarding Debarment
19. \_\_\_ Certificate Verifying Key Persons of the Grantee
20. \_\_\_ W-9 Request for Taxpayer Identification Number and Certification
21. \_\_\_ Photographs
22. \_\_\_ Aerial Photograph or Sketch Map with all structures, buildings and features labeled and property boundaries marked
23. \_\_\_ Signatures

## CHAPTER 3

### Application for Planning Project

*If you are applying for a rehabilitation grant, please refer to Chapter 2 of this manual.*

Consult the chapters on general conditions, allowable costs, availability of funds and matching share, and project completion before completing the application.

The application should be submitted on 8 ½ x 11 plain white paper. Submit one copy of the application. **Applications are due Friday, November 21, 2014. Applications must be postmarked no later than 5:00 p.m. on Friday, November 21, 2014.**

### Grant Application Checklist

Complete the Michigan Lighthouse Assistance Program (MLAP) Application Checklist, which can be found at the end of this chapter and submit it with your application.

#### 1. Project Name and Address

List the project name and address.

#### 2. Project Contact

List the project contact. This shall be a person who will manage the project and have complete knowledge about the status of the project work, and will be the primary contact for grant administration. Include:

- Name and Title
- Address (include zip code)
- Daytime Telephone Number
- Fax Number
- Email Address

*If this person has more than one address, please list all addresses, along with approximate times of year each address is used (i.e. summer home, used from May to November).*

#### 3. Grant Recipient

List the grant recipient information:

- Name
- Address (include zip code)
- Daytime Telephone Number

*Indicate if recipient is a unit of government (local or state) or a private, non-profit organization.*

#### 4. Legislator Information

List the federal and state legislator information as follows:

- Names of U. S. Senators
- U.S. Congressional District #
- Name of U.S. Congressman or Congresswoman
- State Senate District #
- Name of State Senator
- State House of Representative District #
- Name of State Representative

#### 5. Property Owner

- Indicate if the applicant is the property owner
- List Property Owner Information
- Name
- Address (include zip code)
- Daytime Phone Number
- Email Address

## 6. Deed and Ownership Information, Lease, or Use Agreement

Submit a copy of the deed showing the Register of Deeds recordation markings and sufficient documentation which discloses all present and future interests in the land, together with a statement of each lien, change, and liability, if any.

For any non-profit owned structures, documentation may include a title commitment or an abstract of title.

For publicly owned structures, documentation may include a legal opinion from the local unit's attorney.

For leased or licensed properties, provide a copy of the lease/license, the name of the owner, and any additional documentation, as necessary.

If the applicant is not the owner of the light station, there must be a written agreement between the owner and the applicant. The agreement must clearly delineate the authority and responsibilities of both organizations relative to the light station. Submit a copy of the written agreement with your MLAP grant application. A grant agreement cannot be executed if there is not a written agreement between the owner and applicant.

If property is leased or licensed, a letter of support from the property owner granting permission to the applicant to apply must also be included.

For off-shore light stations where bottomlands regulations are in effect, provide a copy of the Michigan Department of Environmental Quality (DEQ) Offshore Light form and survey. Please provide both the name of the county the off-shore light station resides in and the latitude and longitude coordinates.

If a historic preservation easement or other easement already exists on the property, please provide a copy.

## 7. Federal Employer Identification Number

List the name and federal employer identification number of the organization that the SHPO will be reimbursing at the end of the grant project.

## 8. Scope of Work

*All project work must meet the Secretary of the Interior's Standards for Rehabilitation.* Refer to Appendix A for a list of the *Secretary of the Interior's Standards for Rehabilitation*.

- Describe in detail the reason the project is needed, the benefits of the work, and what will be produced as a result of the project.
- Plans and specifications may be included so that work can be done at a later date. Perhaps a total building study or historic structures report is needed to prioritize work and provide estimates of costs. Such a document could be useful in fundraising efforts at a later date.
- A feasibility study on the best use of the lighthouse may be needed.
- If a project is logically phased over a period of years, and the project phasing is clearly delineated, then that project may be awarded two grants. For example, under one grant a Historic Structures Report (HSR) may be completed, and under the second grant project specific plans and specifications may be completed.
- Only one planning grant may be open at any time.

## Consultant Professional Qualifications (36 CFR 61)

Architectural consultants to be hired must meet the federal standards for Historical Architect listed below. If a Historical Architect is needed, the SHPO staff can provide assistance in locating qualified consultants.

Acknowledge in your grant application that any consultants hired as part of the grant project will meet or exceed the professional qualifications.

- All consultants must demonstrate that they meet or exceed the professional qualifications for "Historic Architecture" as stated in 36 CFR Part 61.
- The minimum professional qualifications for a Historical Architect 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; or (2) at least one year of full-time professional experience on preservation projects. Such graduate study or experience shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

## 9. Grant Request and Match

List the grant amount being requested, as well as the total amount of matching share.

Grant funding request: *(may be no more than \$60,000)*

Total matching share: *(must be at least 50 percent of the total grant amount)*

Indicate the source of the matching share in the following format:

- Donor: *(city, non-profit, etc.)*
- Source: *(private, city general fund, etc.)*
- Kind: *(cash only)*
- Amount: *(amount of matching share)*

## 10. Detailed Budget

Describe the work that will be done and include all estimated costs. *It is best to be as specific as possible.*

*Example:*

	<u>Grant</u>	<u>Match</u>	<u>Total</u>
Architectural services for plans and specifications to conduct masonry rehabilitation at the keeper's dwelling and restore the boathouse.	\$20,000	\$10,000	\$30,000

The following work is ineligible:

- Certain environmental cleanup activities required under federal law;
- Acquisition;
- Non-historic site features such as parking lots;
- Reconstruction of missing buildings (reconstruction of certain missing elements may be allowable if based upon historical documentation, such as photographs);
- Fundraising;
- Fines, penalties, or interest;
- Operational expenses.

## 11. Certification of Availability of Funds

***The MLAP grant program is an EXPENSE REIMBURSEMENT program. The grantee must have funds available for expenditure to cover 100% of the costs of the entire project at the time the grant application is submitted. The grantee is then reimbursed for eligible expenses incurred up to the grant amount at the end of the grant project after the work has been approved by SHPO. All project work must be complete and all invoices paid, and all financial documentation is audited and approved by SHPO before the grantee receives any reimbursement. If a historic preservation easement is required, then reimbursement will only occur after the easement is executed and recorded at the Register of Deeds and the original recorded easement submitted to SHPO.***

Certification of the availability and source of funds to pay for 100% of the total project cost must be provided with the application. Using the example of a \$20,000 grant with a \$10,000 match, you must demonstrate in your grant application that you have \$30,000 available at the time of application to pay the entire cost of the grant project. Funds to pay for 100% of the entire project cost must be documented and verifiable at the time of application. Any changes in the availability of project funds and/or matching share must be approved by the SHPO.

Certification may be a statement from a banker that funds are available, a bank statement, a resolution from the governing body setting aside specific funds, or similar verification. Please refer to the sample resolution language found in Chapter 2 for rehabilitation projects and Chapter 3 for planning projects and Chapter 4 for information about the availability of project funds and matching share requirements. The certification and resolution should specify the amount and source of the funding, and that the funds are earmarked for the project.

Provide documentation of donated supplies or donated equipment use (this should include market value of donation – see Chapter 4 on availability of funds and matching share).

## 12. Work Schedule

Develop a work schedule. *Assume that grant agreements will be executed during the second quarter of the calendar year.* Work schedules become a grant agreement attachment. 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 grant period – list each date in the appropriate place in work schedule)
- Submit draft Request for Proposal (RFP) for HSR or CAR to SHPO for approval
- Submit draft solicitation letter and list of bidders to SHPO for approval
- SHPO approves RFP, solicitation letter and list of bidders (allow 4 weeks)
- Solicit bids
- Bids Due (allow 4 weeks)
- Submit bids to SHPO with rationale for bidder selection
- SHPO approves bidder selection (allow 4 weeks)
- Submit subcontract to SHPO for approval
- SHPO approves subcontract (allow 4 weeks)
- Execute subcontract
- Submit copy of executed subcontract to SHPO
- Submit 75% draft of HSR or CAR to SHPO for review and comment
- SHPO comments on 75% draft of HSR or CAR (allow 4 weeks)
- Submit 95% draft of HSR or CAR to SHPO for review and comment
- SHPO comments on 95% HSR or CAR (allow 4 weeks)
- Submit final draft HSR or CAR to SHPO for review and approval (allow 4 weeks)
- Submit final HSR or CAR to SHPO
- Project Close-out
- Submit final Completion Report
- Submit final reimbursement requests with financial documentation to 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 plans and specifications to SHPO for approval
- Submit draft solicitation letter and list of bidders to SHPO for approval
- SHPO approves RFP, solicitation letter and list of bidders (allow 4 weeks)
- Solicit bids
- Bids Due (allow 4 weeks)
- Submit bids to SHPO with rationale for bidder selection
- SHPO approves bidder selection (allow 4 weeks)
- Submit subcontract to SHPO for approval
- SHPO approves subcontract (allow 4 weeks)
- Execute subcontract
- Submit copy of executed subcontract to SHPO
- Submit 75% draft of plans and specifications to SHPO for review and comment
- SHPO comments on 75% draft of plans and specifications (allow 4 weeks)
- Submit 95% draft of plans and specifications to SHPO for review and comment
- SHPO comments on 95% draft of plans and specifications (allow 4 weeks)
- Submit final draft plans and specifications to SHPO for review and approval (allow 4 weeks)
- Submit final plans and specifications to SHPO
- Project Close-out
- Submit final Completion Report
- Submit final reimbursement requests with financial documentation to SHPO

***If during the course of the project the grant recipient believes the grant agreement end date cannot be met, a written request for a project extension must be submitted to the SHPO prior to the end date specified in the grant agreement. This request must state the reason why the extension is necessary.***

***To encourage timely completion of MLAP grant projects, project extensions will only be considered if the proposed extension end date is within three years of the date of execution of the grant agreement. Requests for extension will be evaluated and may be granted at the discretion of the SHPO if the recipient can demonstrate reasonable progress in accomplishing the grant work. Requests for project extensions beyond three years of the execution date of the grant agreement will not be considered.***

***If the proposed end date extension is beyond the three year period, the grant agreement will expire and the grantee will be required to submit a new grant application for the next grant round to continue or complete the work.***

### 13. Additional Information

What are the present and planned uses for the property?

Please submit letters or other evidence of community support for this project.

If the owner is not the applicant, please provide a letter from the owner stating that they support the grant application.

### 14. Experience Administering Grants

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

### 15. Financial Certification

Include a certification from your financial manager that your organization has in place an adequate accounting system with appropriate internal controls to assure accuracy and reliability of accounting data. 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 effective controls for all grant assets;
- Compare actual and budgeted 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, and contract documents. Separate project records must be established and identified by the grant name and number.

### 16. Resolution, Bylaws and Articles of Incorporation

Include a resolution authorizing acceptance of the grant under the conditions attached thereto, and designating all authorized contract signatories.

Non-governmental agencies must submit copies of bylaws and articles of incorporation. If the bylaws and articles of incorporation clearly indicate and designate that certain individuals have the power to execute contracts, contract amendments and historic preservation easements on behalf of the organization, then a resolution is not required. *If any approval authority is lacking in the bylaws or articles of incorporation, a resolution must be submitted along with the bylaws and articles of incorporation.*

If the applicant is not the property owner, submit two resolutions - one from the owner of the light station and one from the applicant that describes 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?
- Note: Planning grants do not require a historic preservation easement, so you can omit language regarding the signatory of the historic preservation easement from the resolution.





## **17. Civil Rights Compliance**

Complete the appropriate Civil Rights Compliance forms (Appendix C). If it is determined that the applicant is not in compliance with the equal opportunity standards as established by the Michigan Department of Civil Rights, the application will be rejected.

## **18. Certification Regarding Debarment**

Complete the Certification Regarding Debarment form (Appendix D) and return with your application. If the applicant has been debarred from contracting with the federal government, the application will be rejected.

## **19. Certificate Verifying Key Persons of the Grantee**

Complete the Certificate Verifying Key Persons of the Grantee (Appendix E) and return with your application.

## **20. W-9 Form – Request for Taxpayer Identification Number and Certification**

Complete the W-9 Request for Taxpayer Identification Number and Certification (Appendix F) and return with your application.

## **21. Photographs**

See Appendix H for photographic requirements.

Include photographs of all buildings or structures as follows:

- 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
- Two photographic quality prints of each structure.
- One view shall show the front and side of the structure, the second view shall show the rear and opposite side of the structure.
- Views of all project work areas that clearly illustrate existing conditions.

## **22. Aerial Photograph or Sketch Map**

Include an aerial photograph or sketch map of the light station property with all of the buildings, structures and features labeled and property boundaries clearly delineated. Please make sure the aerial photograph or sketch map lists the date it was taken or prepared.

## **23. Signatures**

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

**24. Submission**

*Send One Copy Of The Application (Including Photographs) To:*



**Michigan Lighthouse Assistance Program**

State Historic Preservation Office

P.O. Box 30740

702 West Kalamazoo Street

Lansing, Michigan 48909-8240



For UPS, Federal Express or DHL deliveries:



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## MLAP Application Checklist – Rehabilitation and Rehabilitation Planning Grants

Complete this checklist and return it with your application.

1. \_\_\_ Project Name and Address
2. \_\_\_ Project Contact
3. \_\_\_ Grant Recipient
4. \_\_\_ Legislator Information
5. \_\_\_ Property Owner Information
6. \_\_\_ Deed and Ownership Information, including copy of recorded deed or lease; Use Agreement
  - \_\_\_ • For non-profit owned structures, submit title commitment or abstract of title
  - \_\_\_ • For public-owned structures, submit legal opinion (e.g., from local unit of government attorney)
  - \_\_\_ • For leased or licensed properties, submit a copy of the recorded deed or lease
  - \_\_\_ • If the applicant is not the property owner, submit a copy of the agreement between applicant and owner
  - \_\_\_ • If the applicant is not the property owner, submit a letter of support from the property owner
  - \_\_\_ • If previous historic preservation easement exists on property, submit a copy
7. \_\_\_ Federal Employer Identification Number
8. \_\_\_ Scope of Work
  - \_\_\_ • For Rehabilitation Projects only: Submit Plans and Specifications (drawings)
9. \_\_\_ Grant Request and Matching Share Information
10. \_\_\_ Detailed Budget
11. \_\_\_ Certification of Availability of Funds
12. \_\_\_ Work Schedule
13. \_\_\_ Additional Information
14. \_\_\_ Experience Administering Grants
15. \_\_\_ Financial Certification
16. \_\_\_ Resolution
  - \_\_\_ • If applicant is property owner submit one Resolution
  - \_\_\_ • If applicant is *not* the property owner, submit one Resolution from the applicant and one Resolution from the property owner
  - \_\_\_ • Bylaws
  - \_\_\_ • Articles of Incorporation
17. \_\_\_ Civil Rights Forms
  - \_\_\_ • Workforce Status Report
  - \_\_\_ • Affirmation of Equal Opportunity

Recipients employing 25 or more persons **or** submitting grant applications for \$25,000 or more must submit:

  - \_\_\_ • Work Force Analysis
  - \_\_\_ • Written Equal Opportunity Plan
18. \_\_\_ Certification Regarding Debarment
19. \_\_\_ Certificate Verifying Key Persons of the Grantee
20. \_\_\_ W-9 Request for Taxpayer Identification Number and Certification
21. \_\_\_ Photographs
22. \_\_\_ Aerial Photograph or Sketch Map with all structures, buildings and features labeled and property boundaries marked
23. \_\_\_ Signatures

## CHAPTER 4

### Availability of Funds and Matching Share Requirement

Under this program, the recipient must provide match equal to fifty percent of the grant award. For example, if you are applying for a \$20,000 grant to prepare a Historic Structure Report, the required match is \$10,000, for a total project cost of \$30,000.

Examples of grant and match amounts:

Grant amount	\$20,000	Grant Amount	\$60,000
Match amount	\$10,000	Match amount	\$30,000
Total project amount	\$30,000	Total project amount	\$90,000

**The MLAP grant program is an EXPENSE REIMBURSEMENT program. The grantee must have funds available for expenditure to cover 100% of the costs of the entire project at the time the grant application is submitted. The grantee is then reimbursed for eligible expenses incurred up to the grant amount at the end of the grant project after the work has been approved by SHPO. All project work must be complete and all invoices paid, and all financial documentation is audited and approved by SHPO before the grantee receives any reimbursement. If a historic preservation easement is required, then reimbursement will only occur after the easement is executed and recorded at the Register of Deeds and the original recorded easement submitted to SHPO.**

Certification of the availability of funds to pay for 100% of the total project cost must be provided with the application. Using the example of a \$20,000 grant with a \$10,000 match, you must demonstrate in your grant application that you have \$30,000 available at the time of application to pay the entire cost of the grant project. Funds to pay for 100% of the entire project cost must be documented and verifiable at the time of application. Any changes in the availability of project funds and/or matching share must be approved by the SHPO.

Certification may be a statement from a banker that funds are available, a resolution from the governing body setting aside specific funds, or similar verification. Please refer to the sample resolution language found in Chapter 2 for rehabilitation projects and Chapter 3 for planning projects. The certification and resolution should specify the amount and source of the funding, and that the funds are earmarked for the project.

Matching funds may include the following:

#### Planning Projects

Match may be cash from any of these sources:

- Private Funds
- Local Government Funds
- State Funds

#### Rehabilitation Projects

Match may be cash from any of the above sources and donated material, but may not include donated labor.

- For approval of donated material, submit (with the application) three price estimates on the material to be provided.
- Provide a letter from the supplier that it intends to donate supplies.
- In addition, donated equipment use may be used as matching share. To qualify, documentation of the usual rental cost of this equipment must be provided. This could include price sheets from the firm donating the use of the equipment.

#### Federal Funds

**Federal funds are not allowable as a matching share. The SHPO uses the MLAP grant and matching funds as match to the SHPO's annual federal Historic Preservation Fund grant. Therefore the grant recipient cannot use the MLAP grant and matching funds as match for any other federal grant received by the grant recipient.**

## CHAPTER 5

### Allowable and Unallowable Costs

#### Allowable Costs

The SHPO will review and may make changes to the budget line items as submitted in the application. The final budget approved by the SHPO will become an attachment to the grant agreement.

#### 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.

Supplies exceeding \$500.01 must be competitively bid and required documentation of the competitive bid process should be determined in consultation with the State Historic Preservation Office.

#### Travel

Travel costs are allowable 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. Invoices must substantiate all lodging costs. First-class airfare is not allowable.

#### Unallowable Costs

A partial listing of unallowable costs is as follows:

- Federal agencies are required under federal law to do certain environmental cleanup activities; this work is not eligible under this grant program;
- Acquisition is not an eligible cost because the funds available are not adequate to fund this activity;
- Non-historic features such as parking lots
- Reconstruction of missing buildings is not allowable; reconstruction of certain missing elements may be allowable if based upon historical documentation such as photographs;
- Fundraising;
- Fines, penalties, debts or interest;
- Operational expenses.

#### Fresnel Lens

##### Fresnel Lens Rehabilitation

In some cases, MLAP grant funds may be used for the rehabilitation and/or restoration of a Fresnel lens. The lens work must be completed by a qualified lens restoration professional who has documented training and experience related to the lens work.

In order for the lens work to be eligible as a grant expense, the lens must be permanently located in its original location in the lantern room, on permanent display in the tower or attached keeper's quarters, or permanently displayed in a structure on the light station site in close proximity to the location of its original installation. If the lens is located in such a structure, it must be a documented historic structure, and must have been in existence during the period of significance for the light station and during the time period in which the lens was in use.

Any work on non-historic features associated with the display or interpretation of the lens is not an eligible expense. For example, creating permanent display cases, structural reinforcement, and contemporary lighting will all be considered non-eligible expenditures. However, all work associated with the lens such as creating permanent display cases, structural reinforcement, and contemporary lighting will be reviewed as part of the overall project. All work must comply with the Secretary of the Interior's Standards for Rehabilitation.

An analysis and evaluation of an existing, historic lens that results in a report, but not actual work on the lens, is also eligible work under the grant program. The analysis and evaluation must be completed by a qualified lens restoration professional who has documented training and experience related to the lens work. With this type of planning work, all of the guidelines for planning projects outlined in this manual must be followed.

## Fresnel Lens Replacement

Purchasing a replacement lens for the lighthouse is an eligible expense under the MLAP grant program. A proposed replacement lens will be reviewed to ensure accuracy in the design and materials of the proposed lens.

In order for a replacement lens to be eligible as a grant expense, the lens must be permanently located in the location of the original lens in the lantern room. Any work on historic features associated with the installation of the replacement lens may also be an eligible expense. For example, work on the original lens pedestal or lantern vents can be considered eligible expenditures. All work related to the replacement lens installation will be reviewed and must comply with the Secretary of the Interior's Standards for Rehabilitation.

## Life Saving Stations

Resources that were historically a part of a U.S. Lifesaving Service station may be eligible for an MLAP grant. The lifesaving station must be immediately adjacent to the light station and share a property line or both must be part of one large parcel. Lifesaving station buildings that are relocated to the historic light station or lifesaving station site may be eligible for MLAP grants. However, the costs of acquiring or moving those buildings are not eligible expenditures. Resources that were not historically part of or are not immediately adjacent to a light station will not be considered eligible for MLAP grants. The SHPO will evaluate each situation separately and will confer with the applicant to make a determination on eligibility.

## CHAPTER 6

### Guidelines for Bidding and Procurement

#### Rehabilitation Projects

##### Guidelines for Construction Costs Over \$10,000 ("Formal" Request for Proposal)

- All work over \$10,000 must be advertised for bids either three times in one newspaper of general circulation or one time in at least three newspapers of general circulation. Sufficient time should be given for contractors to prepare and submit bids, preferably thirty days.
- If the project cost is over \$100,000, a bid guarantee is required from each bidder equal to five-percent of the bid price.
- Formally advertised procurements should use sealed bids, public opening of bids, and fixed-price type subcontracts, and a declaration of the date, location, and time of the public opening of the bids must be included. (Example statement: "Fixed-price, sealed bids are due on [date], and will be publicly opened on [date] at [time] at [location].") The subcontract must be awarded to the lowest bidder whose bid is responsive to the project specifications.
- Consider posting your construction Request for Proposal (RFP) at one of the online posting services such as Builders Exchange or Dodge Reports. The web addresses for these services are:
  - <http://support.fwdodge.construction.com/support/GetYourProject.asp>
  - <http://www.grbx.com>
  - <http://www.bxlansing.com>
  - <http://www.bxtvc.com>
  - <http://www.cam-online.com>
  - <http://dickinsonchamber.com/pages/Economic%20Development/Builders%20Exchange.htm>
  - <http://www.buildersexchange.com>
  - <http://www.tricitybx.com>
- Include the following sentence: "Compliance with all applicable federal, state, and local laws, rules, and regulations is required."
- Acknowledge the funding sources for this project: "This project is partially funded by a Michigan Lighthouse Assistance Program grant through the State Historic Preservation Office, Michigan State Housing Development Authority."
- The SHPO must receive documentation of and approve the procurement at each stage.
- Documentation of the bidding process for projects over \$10,000 shall be submitted to the SHPO at each stage of the bidding process. That documentation shall include:
  1. A copy of the advertisement.
  2. Copy of the publisher's affidavit.
  3. A description of the methods of publicizing the solicitation, including dates and places of publication or posting.
  4. Copies of responses received.
  5. Method and justification for contractor selection.
  6. A signed copy of the bid tabulation sheet.
  7. A copy of a draft subcontract.
  8. A copy of the signed and dated subcontract.

##### Guidelines for Construction Costs Under \$10,000 ("Small Dollar" Request for Proposal)

- Purchases under \$10,000 must have a minimum of three proposals solicited.
- Award should be made to the responsible bidder whose proposal is most advantageous to the grantee.
- Documentation of the competition and a copy of all documents must be submitted to the SHPO at each stage of the bidding process. That documentation includes:
  1. List of contractors that will be sent the RFP.
  2. Copy of RFP.
  3. Copy of solicitation letters to contractors.
  4. Copies of responses received.
  5. Method and justification for contractor selection.
  6. A signed copy of the bid tabulation sheet (Appendix G).
  7. A copy of a draft subcontract.
  8. A copy of the signed and dated subcontract.

*NOTE: cost-plus subcontracts, unlimited time and materials sub-contracts, and contingency fees are not allowed.*

## Planning Projects

### Guidelines for Professional/Architectural or Engineering Services

- Professional/architectural or engineering services must have a minimum of three proposals solicited.
- Award should be made to the responsible bidder whose proposal is most advantageous to the grantee.
- Documentation of the competition and a copy of all documents must be submitted to the SHPO at each stage of the bidding process. That documentation includes:
  1. Copies of letters mailed to prospective consultants.
  2. Copies of responses received.
  3. Method and justification for contractor selection.
  4. A signed copy of the bid tabulation sheet (Appendix G).
  5. A copy of a draft subcontract.
  6. A copy of the signed and dated subcontract.

*NOTE: Cost-plus subcontracts and unlimited time and materials contracts are not allowed.*

### Additional Guidelines For Rehabilitation And Planning Projects:

- The grant recipient may subcontract all or part of the project work.
- Free and open competition must be maintained.
- The SHPO must receive documentation of and approve the procurement at each stage.
- The SHPO must approve the subcontractor and the subcontract prior to execution.
- The following shall be submitted to the SHPO, and each step must be approved before the grant recipient proceeds further:
  1. Copy of the specifications or request for proposals (RFP). The RFP shall identify all evaluation criteria.
  2. Documentation that bids were requested from at least three consultants and a copy of each proposal received.
  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 bidder whose proposal will be most advantageous, price and other factors considered. Unsuccessful bidders should be notified promptly after approval of the selected bidder has been received from the SHPO.

#### *Possible proposal evaluation criteria:*

- *Price* – Favors the least expensive proposal providing an adequate work product.
  - *Capability and qualifications* – 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 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* – 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 with particular reference to experience on projects similar to that described in the RFP.
4. Draft of the subcontract prior to execution.
  5. A copy of the signed subcontract must be submitted to the SHPO immediately after it is executed. The subcontract shall specify the project work and be priced at a fixed fee. Because the subcontract must include all work as outlined in the grant agreement with the Michigan State Housing Development Authority, it is recommended that the grant agreement with the Michigan State Housing Development Authority be an attachment to the subcontract.

*NOTE: The SHPO may be able to provide assistance in locating consultants who are qualified to perform project work.*

## CHAPTER 7

### Grant Agreement

*ANY WORK DONE PRIOR TO THE EXECUTION OF THE GRANT AGREEMENT WITH THE MICHIGAN STATE HOUSING DEVELOPMENT AUTHORITY IS NOT ELIGIBLE AS PART OF THE GRANT OR MATCHING SHARE EXPENDITURES.*

The grant is formally awarded at the time the agreement is signed and dated by the Michigan State Housing Development Authority, after it has been signed by an authorized representative of the grant recipient.

The agreement will specify:

- Exact work to be accomplished with the grant award;
- Method of and requirements for the disbursement of funds, including any provisions authorizing partial reimbursement prior to completion of all project work. If the grant recipient needs to negotiate partial payments because of cash flow problems, the amount and number of payments shall be agreed to by the SHPO during the application process;
- Period for completion of the project;
- State and Federal statutes, regulations, and requirements which must be followed; and
- The number and content of the completion report and/or materials.

Attachments to the agreement include:

- Work schedule detailing when various tasks will be completed;
- The approved budget;
- Plans and specifications for rehabilitation projects.

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

## CHAPTER 8

### Historic Preservation Easement

When rehabilitation or stabilization work is performed, a historic preservation easement (easement of maintenance and public accessibility) must be executed to protect structures. The historic preservation easement will be prepared by the Michigan State Housing Development Authority and recorded with the Register of Deeds by the grant recipient before grant funds can be released. A draft historic preservation easement is included in this manual as Appendix I. This draft is provided only for informational purposes. An individual easement will be created specifically for each resource.

- With the grant application, local units of government must submit a title or legal opinion regarding title from the local unit's attorney.
- Nonprofit groups must submit a title commitment or an abstract of title. A copy of the deed must also be attached to the application.
- It is the obligation of the property owner to advise the SHPO about any entity which may have an interest in the property and all must consent to the historic preservation easement.
- Present owner(s) and successor(s) in interest must be bound by the historic preservation easement.

#### The historic preservation easement will include 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 prior written approval of the SHPO;
- 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 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 historic preservation easement will be in perpetuity.*

#### The procedures for executing the historic preservation easement are as follows:

1. A resolution authorizing that the signatory has the authority to execute the easement and has been authorized to execute the historic preservation easement must be provided in the grant application.
2. The historic preservation easement is prepared by the Michigan State Housing Development Authority; final drafting and approval is provided by the Office of the Attorney General.
3. The historic preservation easement must be signed by the authorized individuals in the presence of two witnesses. The name of each witness must appear below his/her signature. The full address of each witness must appear below the printed name.
4. The authorized individuals who have signed must appear before a Notary Public for the purpose of acknowledging the signing. The witnesses need not appear before the Notary.
5. The Notary Public before whom the authorized individuals appear must execute a Certificate of Acknowledgment.
6. The historic preservation easement must be recorded at the Register of Deeds for the county in which the property is located. There will be a fee for recording at the Register's Office. The original historic preservation easement will be numbered and stamped by the Register of Deeds. The stamp reflects the date and time of recording. The historic preservation easement will be copied and placed with the deed and other documents of record concerning the property.
7. The original historic preservation easement, after recording, must be returned to the Michigan State Housing Development Authority for filing with the Department of State, Office of the Great Seal. Copies for your use should be made prior to returning the original.

## CHAPTER 9

### Project Sign

When rehabilitation or stabilization work is performed, a sign at the project site acknowledging support from the Michigan Lighthouse Assistance Program shall be placed on site when work begins and be maintained until work is complete. Whenever possible, it should be displayed so it is 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.

*It should read:*

*This rehabilitation of the (name of property), which is listed or is eligible for listing in the National Register of Historic Places, has been funded with the assistance of a matching grant-in-aid from the Michigan Lighthouse Assistance Program. This grant-in-aid has been awarded by and is administered through the Michigan State Housing Development Authority, State Historic Preservation Office.*

*The public can help fund the rehabilitation and preservation of Michigan lighthouses by purchasing a lighthouse license plate. Contact the local Secretary of State's Office for more information.*



One photograph of the sign in its location on site must be submitted to the SHPO prior to project completion.

## CHAPTER 10

### Completion Report and Reimbursement

#### Project Completion Report

The grant recipient should consult the grant agreement for the specifics of what is needed for the completion report. Below are some examples of items usually included.

- Name and address of the grant assisted property
- Project number
- Name and address of grant recipient
- Names and titles of project supervisors and consultants
- Total project cost
- Grant share
- Donor, source, kind and amount of matching funds
- Final work cost breakdown by major work categories
- Any reports from consultants and any test results
- An evaluation of the project work

#### For Rehabilitation Projects:

- See Appendix H for photographic requirements.
- Color photographs documenting the site, the environment, the exterior and the interior conditions of the prospective project areas prior to the start of work.
- Good, clear photographs of completed work must be submitted with the Completion Report. The photographs must document the site and the environment, and the exterior and the interior conditions of the areas of completed rehabilitation. These photographs should be taken from the same vantage points as the photographs taken prior to rehabilitation work.
- Color photographs of the project work in progress
- A color photograph of the project sign

#### Expenditure Documentation

- Funds will be disbursed to the grant recipient only on a reimbursement basis.
- No advances shall be made under any circumstances.
- Partial reimbursements may be made under exceptional circumstances.

*All documents and supporting entries on the accounting records must be available for inspection by authorized representatives of the SHPO.*

#### Partial Payment

*Prior to a partial payment being made, the following must be submitted:*

- Progress of work accomplished and any completed products;
- Request for Reimbursement form (see Appendix B);
- Summary of all expenditures by cost category and by grant and matching share;
- Copies of invoices, time sheets and canceled checks;
- All bidding documents for subcontractors must be pre-approved by the SHPO and a signed copy of the grant agreement with the subcontractor submitted prior to the work beginning.

#### Final Payment

*Prior to the final payment being made, the following must be submitted:*

- Copies of the completion report;
- Request for Reimbursement form (see Appendix B);
- Copies of all invoices, time sheets and canceled checks.

## MLAP APPENDIX A

### The Secretary Of The Interior's Standards For Rehabilitation

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 alterations of features and spaces that characterize a building 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.
7. Chemical or physical treatments, such as sandblasting, that cause damage to the 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.

*For more information on the Secretary of Interior's Standards for Rehabilitation, please visit the National Park Service website <http://www.nps.gov/tps/standards/rehabilitation.htm>*

## MLAP APPENDIX B

### Request for Reimbursement Form and Instructions

All requests for reimbursement must include the following:

- The name of the grant project
- 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

Any request for reimbursement must be accompanied by documentation of both the grant award and matching shares.

Documentation should include an itemization of expenditures, copies of canceled checks or other proof of payment, timesheets and invoices.

The request for final payment must be accompanied by the final completion report. In the case of a partial reimbursement, a progress report will be required.

The person who signed the grant agreement or the chief financial officer *must* also sign the request for reimbursement.

The federal employer identification number must be included in all requests for reimbursements. Request for reimbursement cannot be processed without it.

#### ***Return The Reimbursement Request Form To:***

	<p><b>Michigan Lighthouse Assistance Program</b> State Historic Preservation Office P.O. Box 30740 702 West Kalamazoo Street Lansing, Michigan 48909-8240</p>	
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For UPS, Federal Express or DHL deliveries:

	<p><b>Michigan Lighthouse Assistance Program</b> State Historic Preservation Office 702 West Kalamazoo Street Lansing, Michigan 48915</p>	
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**Michigan State Housing Development Authority  
State Historic Preservation Office  
Michigan Lighthouse Assistance Program**

**REIMBURSEMENT REQUEST**

Project Name:		Project #:					
Name of Grant Recipient:							
Address to which reimbursement should be mailed:							
City:	State:	Zip Code:					
Federal Identification Number:							
Amount of this Grant Award Amount of this Request Grant Balance Total Matching Share	\$ \$ \$ \$	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="background-color: #e0e0e0;">For MSHDA Use</th> </tr> </thead> <tbody> <tr> <td style="background-color: #e0e0e0;">Verified</td> </tr> </tbody> </table>	For MSHDA Use	Verified	Verified	Verified	Verified
For MSHDA Use							
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Verified							
Verified							
<p><b>Attachments:</b></p> <input type="checkbox"/> Itemization of Expenditures <input type="checkbox"/> Copies of Canceled Checks <input type="checkbox"/> Copies of Invoices <input type="checkbox"/> Progress or Completion Reports							
Signature of Responsible Officer	Date	Phone Number					

**Approvals**

MSHDA	SHPO	Budget Director
Date:	Date:	Date:

**MLAP APPENDIX C**  
**CIVIL RIGHTS MANUAL**  
**FOR THE**  
**MICHIGAN LIGHTHOUSE ASSISTANCE PROGRAM**

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# CIVIL RIGHTS COMPLIANCE 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 Michigan Lighthouse Assistance Program 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 grant agreement terminated.

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

<b>“Subgrantee”</b>	Means 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>	Means all contractors, vendors, subcontractors and suppliers providing goods or services directly or indirectly to a subgrantee
<b>“Minority Persons”</b>	Means (1) <u>American Indians or Alaskan Natives</u> . Persons having origins in any of the original peoples of North America, and who maintained cultural identification through tribal affiliation or community recognition; (2) <u>Asian or Pacific Islanders</u> . Persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands and Samoa; (3) <u>Blacks</u> . Persons having origin in any of the black racial groups of Africa; (4) <u>Hispanics</u> . Persons of Mexican, Puerto Rican, Cuban, Central or South America or other Spanish culture or origin, regardless of race.
<b>“White Persons”</b>	Means persons having origins in any of the original peoples of Europe, North Africa or the Middle East.
<b>“Facility”</b>	Includes all or any part of structures, equipment or other real or personal property or interests.
<b>“Program, Activity or Service”</b>	Means any function conducted by any unit of the subgrantee or contractor receiving funds through the Michigan State Housing Development Authority.
<b>“Population Base”</b>	Means the relevant population for the area from which the work force is drawn, (e.g. county, municipality or geographic area).
<b>“Handicap”</b>	Means 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 handicapped includes a handicapped person who, with reasonable accommodation, can perform the essential functions of the job in question.

## What Must Be Submitted With the Grant Application

Recipients *employing fewer than twenty-five (25) employees and submitting grant applications for 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 C1).
- b. The Affirmation of Equal Opportunity (Appendix C2).

Recipients *employing twenty-five (25) or more persons or submitting grant applications for more than \$25,000* are required to submit the following reports with the application:

- a. The Work Force Status Report (Appendix C1).
- b. The Affirmation of Equal Opportunity (Appendix C2).
- c. Work Force Analysis (Appendix C3).
- d. An Equal Opportunity Plan (Appendix C4)

### Additional Responsibilities

A subgrantee's responsibilities include requiring its contractors to file a Work Force Status Report and an Affirmation of Equal Opportunity.

### 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 requirements of these procedures by submitting a copy of the Certificate to the SHPO, Michigan State Housing Development Authority.

### Preservation of Record

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.

### Reporting Requirements

Failure to file timely, complete and accurate documents as described above constitutes presumptive noncompliance with the obligations of recipients under Executive Directive 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 Civil Rights Act.

## Equal Opportunity in the Provision of Services, Activities and Programs

### 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:

- Deny any services or other benefit provided.
- Provide any service or other benefit to a minority, female or handicapped person which 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 necessary to others.
- Treat a minority, female or handicapped individual differently from others in determining whether the person satisfies any admission, enrollment, eligibility membership or other requirement which persons must meet in order to provide any service or other benefit.
- 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.

### Site Selection

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

## Imbalance in Services

Each subgrantee/contractor shall take no action to improve any imbalance in services or facilities provided to any geographic area or specified group in order to overcome the effects or prior discriminatory practice.

## Equal Opportunity Employment

### 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 retirement, 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.

### 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.

### 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 employee's 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.

### 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.

### 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.

### 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 prohibited by law.

## 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 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

### 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 of the Equal Opportunity Plan.

### 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.

### 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, which 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.

### 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 subgrant 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.

### 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 the 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 solution 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.

## MLAP APPENDIX C1

### 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 and women in the population and 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. ([www.michigan.gov/census](http://www.michigan.gov/census)) 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 which reflects the percentage of minorities and females in the population base at all job levels and in all cases. A subgrantee or contractor whose work force does not meet this standard is required to take remedial action, described in Appendices 2 or 3.
  - 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 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 percentage of females in the labor force, in the "Female %" column

*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  
P.O. Box 30740  
702 West Kalamazoo Street  
Lansing, MI 48909-8240**

## WORK FORCE STATUS REPORT

Payroll Date Used \_\_\_\_\_

Minority Population Base \_\_\_\_\_

Job Category	Total	Black		Hispanic		American Indian		Female		Minority		Handicapped	
		M	F	M	F	M	F	Total	%	Total	%	Total	%
Administrative													
Professional													
Technicians													
Office/Clericals													
Service/Maintenance													
<b>TOTAL</b>													

### NEW HIRES

New Hires Within Last Year													
Terminated													

### WAGE RANGE

Annual Salary	Administrative	Professionals	Technicians	Office/Clericals	Service/Maintenance
Minimum					
Maximum					

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 % of females in the labor force, in the Female column.
6. Is residence required for employees in the above classification?

<b>Name</b>	<b>Date</b>
<b>Organization</b>	

**Return Form To:**

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

## 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
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

COUNTY	% TOTAL MINORITY	% BLACK	% HISPANIC	% AMERICAN INDIAN	% ASIAN AMERICAN	% OTHER MINORITY
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
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

## MLAP APPENDIX C2

### Affirmation of Equal Opportunity

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.

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 a 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).

<b>Print Name</b>	
<b>Signature</b>	<b>Date</b>
<b>Title</b>	
<b>Organization</b>	

#### Return Form To:

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

## MLAP APPENDIX C3

### Work Force Analysis

In addition to completing Appendix 1 and 2, a subgrantee/contractor with a contract in excess of \$25,000, or employing 25 or more persons is required to prepare the following analysis:

- The first step in analyzing the present representation of minority and female persons accomplished by completing the Work Force Status Report. If minority and female work force in all job categories is equal or exceeds the standard at all levels, no further analysis is required for minorities and women.
- The first step in providing equal opportunity for handicapped persons shall be a self-evaluation that shall identify any selection, promotion or training programs, which exclude or tend to exclude handicapped persons who are otherwise qualified to perform a particular job.
- 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.
- 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 ethnical data collected should be cross-classified by sex to ascertain to which minority women and minority men may be under-utilized.
- 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:
  1. A review of the employment selection procedures for the preceding fiscal year, including application forms, recruitment methods, interview procedures, test validity, experience or education requirements and final selection methods to insure that minorities, women and handicapped persons are not disadvantaged by unnecessary barriers. 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 collection of such data.
  2. A review of promotion procedures and training programs during the preceding year in order to insure equal opportunity. The race, 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.
  3. 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 accommodations.

## MLAP APPENDIX C4

### 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 shall include:

- A plan for the recruitment of minorities, women and handicapped persons based on what is necessary to attract applicants including but not limited to use of advertising media patronized by women, minorities and handicapped persons.
- 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.
- 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.
- 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:
  1. The minority and female population of the labor area surrounding the facility;
  2. The availability of minorities and females having requisite skills in an area in which the plan can reasonably recruit;
  3. The availability of minorities and females within the work force who may be transferred or promoted;
  4. 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 employer that the plan is not working and that additional action is required.

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

## MLAP APPENDIX D

Instructions for  
U.S. Department of the Interior Form DI-2011

*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: *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.

---

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

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*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**

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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-2011  
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**

---

*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.*

- (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 entering into this transaction imposed by Section 1352, title 3 1, 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

DI-2011  
June 1995  
(This form replaces DI-1953, DI-1954, DI-1955, DI-1956 and DI-1963)

**MLAP APPENDIX E**

**CERTIFICATE VERIFYING KEY PERSONS OF THE GRANTEE**

**The Grantee acknowledges that the following personnel are Key Persons of the Grantee:**

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

Title with Grantee \_\_\_\_\_

**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 Grantee \_\_\_\_\_

**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 Grantee \_\_\_\_\_

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

Print or Type Grantee Name Above Line

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

Name of Signatory for Grantee: \_\_\_\_\_  
*Print/Type Name of Signatory Above Line*

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

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

## MLAP APPENDIX F

Form **W-9**  
(Rev. January 2011)  
Department of the Treasury  
Internal Revenue Service

### Request for Taxpayer Identification Number and Certification

**Give Form to the  
requester. Do not  
send to the IRS.**

Print or type See Specific Instructions on page 2.	Name (as shown on your income tax return)	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification (required): <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <input type="checkbox"/> Other (see instructions) ▶ _____	
	<input type="checkbox"/> Exempt payee	
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
City, state, and ZIP code		
List account number(s) here (optional)		

#### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number									

**Note.** If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Employer identification number									

#### Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below).

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
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#### General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

#### Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

**Note.** If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

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 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.

**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.

**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)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	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.

**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.

**MLAP APPENDIX G**

**BID TABULATION SHEET**

**Project:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

<b>BIDDER</b>	<b>DATE REC'D</b>	<b>TIME REC'D</b>	<b>COMPLETE</b>	<b>AMOUNT</b>	<b>BID BOND</b>
			Yes / No		Yes / No / N/A
			Yes / No		Yes / No / N/A
			Yes / No		Yes / No / N/A
			Yes / No		Yes / No / N/A
			Yes / No		Yes / No / N/A
			Yes / No		Yes / No / N/A
			Yes / No		Yes / No / N/A
			Yes / No		Yes / No / N/A
			Yes / No		Yes / No / N/A

## MLAP APPENDIX H

### Michigan Lighthouse Assistance Program Photograph 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.
  - 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.
  - 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 1800 pixels (preferably 1500 x 2100 pixels).
  - Digital images must be burned/written to a CD in uncompressed TIFF format.
- **Application Requirements**
  - Printed photographs *and* digital images:
    - Existing conditions (before work) photographs, as well as digital images, must be submitted with the Michigan Lighthouse Assistance Program application.
    - Photographs must show all four sides of the exterior of the resource(s), and all areas of interior work, if any.
    - A sufficient number of photographs must be included to clearly illustrate the project work, both at a distance and with close-up details.
- **Final Report Requirements**
  - Printed photographs *and* digital images:
    - Before, during, and after printed photographs, as well as digital images, must be submitted with the Michigan Lighthouse Assistance Program final report.
    - Photographs must show all four sides of the exterior of the resource(s), and all areas of interior work, if any.
    - A sufficient number of photographs must be included to clearly illustrate the project work, both at a distance and with close-up details.
- **Additional Information**
  - Due to geography and difficulty of access to many of Michigan's lighthouses, photographs taken within the last six months or after seasonal work has been completed will be acceptable.

## MLAP APPENDIX I

### DRAFT HISTORIC PRESERVATION EASEMENT

This Historic Preservation Easement (Easement) is made between the ENTITY, a ENTITY STRUCTURE, whose address STREET, CITY, ZIP (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 Grantor is a recipient of a Michigan Lighthouse Assistance Program (MLAP) Award, a State of Michigan historic preservation grant program designed to assist with the preservation and protection of Michigan lighthouses and enhance public awareness and appreciation of the United States' and Michigan's maritime heritage. The consideration for this Easement totals TOTAL DOLLARS (\$\_\_,000) received from the Grantee, which is authorized to award discretionary grants and expend proceeds from sales of Michigan Lighthouse license plates (Sec. 811k of the Michigan Vehicle Code, 1949 PA 300, MCL 257.811k) for the Michigan Lighthouse Assistance Program.

The property that is the subject to this Easement is the historic PROPERTY (Property), a historically and architecturally significant building listed or eligible for listing in the National Register of Historic Places. Located on a parcel of land LOCATION, County of NAME, and State Of Michigan, and is more particularly described as:

#### LEGAL DESCRIPTION

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 MLAP policy, the Grantor grants an easement in perpetuity. In the event that the United States retains a reversionary interest in the Property, the State of Michigan's interest in the Property shall become secondary to that of the United States and shall expire in the event that the United States elects to exercise its reversionary interest.
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, and in accordance, as applicable, for properties deeded to the Grantor via the National Historic Lighthouse Preservation Act of 2000, Public Law 106-355, 16 U.S.C. 470w-7, or the Federal Property and Administrative Services Act (FPASA) of 1949, Public Law 63 Stat. 385, 40 U.S.C. 484, administered by the National Park Service (NPS) as the Historic Surplus Property (HSP) program.. 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 308 (c)(1)(D) of the NHLPA, 16 U.S.C. 470w-7(1)(D), Section 203(k)(3)(B)(i) of the FPASA, 40 U.S.C. 484(k)(3)(B)(1), or Section 102(a)(5) of the National Historic Preservation Act, as applicable, 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. 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

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, and as applicable, in accordance with the NHLPA Master Plan or FPASA Program of Preservation and Utilization (PPU). 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. The Grantor further acknowledges that, as applicable and in accordance with the NHLPA or FPASA, no changes to the NHLPA Master Plan or FPASA PPU will be made to the Property without prior written approval, respectively, by the Secretary of the Interior, or the NPS, in consultation with the SHPO.

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 further agrees that, as applicable and in accordance with the NHLPA or FPASA, no changes to the NHLPA Master Plan or FPASA PPU will be made to the Property without prior written approval, respectively, by the Secretary of the Interior or the NPS, in consultation with the SHPO. The Grantor also agrees to notify in writing the Grantee and, as applicable, the NPS in accordance with the NHLPA or FPASA, 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 Award 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. As applicable, and in accordance with the NHLPA or FPASA, no sale or lease of the Property will be undertaken without prior review and approval, respectively, by the Secretary of the Interior, or by the NPS.
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 and, as applicable, the NHLPA and FPASA.

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, and with the NHLPA Master Plan or FPASA PPU, as applicable. 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, and with the NHLPA Master Plan or FPASA PPU, as applicable. 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, and with the prior written approval by the NPS, as applicable with the NHLPA or PFASA, 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.



**Drafted By:**

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**Legal Description Reviewed By:**

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**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)**



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