



The Commonwealth of Massachusetts
William Francis Galvin, Secretary of the Commonwealth
Massachusetts Historical Commission

Due: Monday, February 8, 2021

FY 2021 FULL APPLICATION FOR FUNDING:

Survey and Planning Projects

SECTION I: INFORMATION AND GUIDELINES

A. Introduction

The Massachusetts Historical Commission, a division of the Office of the Secretary of the Commonwealth, is the state agency responsible for the administration of the National Historic Preservation Act of 1966, as amended. This act authorizes the Secretary of the Interior, through the National Park Service, to grant funds to states for a wide range of preservation-related activities. These include: completion of cultural resource inventories, nomination of significant properties to the National Register of Historic Places, completion of communitywide preservation plans, and other survey and planning projects. The goal is to identify all significant cultural resources of the community--buildings, structures, sites, and landscapes--and to plan for their protection.

The attached is a Full Application for these matching funds. GRANTS ARE 50/50% MATCHING REIMBURSEMENT GRANTS. Funding priorities will be survey and planning activities.

B. Eligible Applicants

Eligible applicants for FY 2021 Survey and Planning Grant funding are:

1. Local historical commissions created under M.G.L., Chapter 40 sec. 8(d);
2. Historic district commissions or study committees*;
3. City and town planning offices and boards or community development offices*;
4. Regional planning agencies and state agencies;
5. Educational institutions;
6. Certified Local Governments* of Boston, Bedford, Brookline, Danvers, Dedham, Eastham, Easton, Falmouth, Framingham, Gloucester, Grafton, Hingham, Holyoke, Lexington, Lowell, Marblehead, Medfield, Medford, Methuen, New Bedford, Newton, Plymouth, Quincy, Salem, Somerville, and Worcester; and
7. Private non-profit organizations.

All applicants must be able to meet deadlines, monitor project work, and have a financial system that meets federal standards.

*** If the municipal applicant is not the local historical commission, a letter including the comments of the local historical commission must be included with the full application.**

C. Eligible Projects that will be Funding Priorities for FY21

All projects must be consistent with the objectives of the Massachusetts State Historic Preservation Plan (updated 2018), which stresses the need for identification, evaluation, and protection of the state's cultural resources (available on line at: www.sec.state.ma.us/mhc/). The following project types are considered eligible for funding:

1. Intensive or reconnaissance-level inventory of historic, architectural, and/or archaeological resources.
2. Other survey and/or planning projects relating to the identification, evaluation, and protection of National Register-eligible resources. For example the preparation of National Register of Historic Places nominations, the development of a communitywide preservation plan or the preservation plan component for a community master plan, the development of historic preservation public information, support of heritage tourism activities, or the development of training and/or educational programs.
3. Development of local initiatives for the protection of historic resources, including local historic districts, neighborhood conservation districts, design guidelines, demolition delay ordinances, and historic landscape preservation mechanisms.
4. Studies necessary to future development or protection of a public or private nonprofit owned National Register-listed property, including development of plans and specifications for restoration or rehabilitation. Historic Structures Reports may include the preparation of outline plans and specifications for a Massachusetts Preservation Projects Fund (MPPF) application. (Only CLG applicants may apply in this category.)

D. Program Requirements and Grant Conditions

All survey and planning grant recipients are subject to applicable federal, state, and local laws and regulations, including OMB Circular 2 CFR 200, the Historic Preservation Fund Grant Manual, and National Park Service policies and procedures. Before project work may begin, the MHC and the grant recipient will enter into a written agreement that clearly identifies the responsibilities of each party. The general program requirements are defined and made part of the agreement as Attachment A, General Provisions of the Massachusetts Historical Commission Grant Projects. The General Provisions, among other things, define allowable costs and matching share, allow for MHC inspection of records, and outline the kinds of records the grant recipient must keep.

All survey and planning projects require a Local Project Coordinator who will be MHC's contact person for the duration of the grant project and who should be the person authorized to assume responsibility for the administration of the grant project. All correspondence and project information will be directed to the local project coordinator by the MHC. The MHC will expect the local project coordinator to act as liaison with the preservation consultant (if applicable), and to obtain, coordinate, and submit reports, authorize signatures, and prepare financial documentation and other project information. *The local project coordinator must be available during weekday business hours to attend an orientation workshop and periodic phase meetings by conference call or video conferencing platform.*

E. Funding

Funding for survey and planning grants is provided by the National Park Service through the Massachusetts Historical Commission. Grants are 50/50% matching reimbursement grants. The local share must be from a non-federal source; the only exception is Community Development Block Grant funding, which can be used as a local match. A cash match is preferable. Existing paid staff may, however, use the value of their time donated to the project as part of the match. The donated time must be necessary and reasonable to meet the project goals and must be adequately documented by MHC timesheets and payroll records.

Grant requests should be for no less than \$7,500 for a minimum total project cost of \$15,000. Community-wide survey grant requests should be for no less than \$12,500 for a minimum total project cost of \$25,000. Projects should be from 6-12 months in duration and should be able to be under contract with MHC no later than July 2021. Because survey and planning grants are reimbursement grants, the grant recipient must expend the total project cost before requesting reimbursement. Upon submission of a satisfactory project completion report, the recipient will then be reimbursed for 50% of documented eligible project cost expenditures up to the amount of the grant allocation. No partial reimbursements will be considered. It is imperative that you have cash on hand to cover 100% of project costs. Project work must be completed by June 30, 2022.

Because both federal and state procurement regulations require an open selection process, it is important to note that consultants cannot be pre-selected by the applicant. The applicant, if selected for funding, will receive further instructions on procurement procedures. Potential consultants should play no role in shaping an application.

F. Application Procedures

A complete, hard-copy, original Full Application (form attached) must be received at the MHC office no later than 5:00 p.m., Monday, February 8, 2021. Faxed and emailed applications are not accepted. Applications should be addressed to:

Michael Steinitz, Deputy State Historic Preservation Officer
Survey and Planning Grants 2021
Massachusetts Historical Commission
Massachusetts Archives Building
220 Morrissey Boulevard
Boston, MA 02125

G. Selection Process

Letters of intent have been evaluated by MHC staff and a subcommittee of the full Commission. The Commission invited full applications at its monthly meeting, December 9, 2020. **The full application will be due by Monday, February 8, 2021.** Full applications will be reviewed by MHC staff and the Commission subcommittee. Grant awards will be made at the March 10, 2021 MHC meeting. All MHC monthly meetings are open to the public.

H. Selection Criteria

Requests for funds will be evaluated against the following criteria. **Project applicants must directly address all applicable criteria:**

1. Level of Information: Preference will be given to survey projects in communities where the existing level of information about cultural resources is low or nonexistent, as identified by the State Reconnaissance Survey, Regional Report, the State Historic Preservation Plan, or as otherwise identified by the MHC.
2. Level of Significance: Preference will be given to communities with significant historic, architectural, or archaeological resources of value for further study, as identified by the State Reconnaissance Survey, Regional Report, the State Historic Preservation Plan, or as otherwise identified by the MHC.
3. Potential for Loss or Destruction: Preference will be given to communities whose historic, architectural, or archaeological resources are threatened with loss or destruction, as identified by the State Reconnaissance Survey, Regional Report, the State Historic Preservation Plan, or as otherwise identified by the MHC. Major threats to a community's resources typically include pressure from new development, abandonment, deterioration, or underutilization.

4. Level of Local Preservation Activity: Preference will be given to communities that have active local historical commissions. For applications submitted by an organization other than the local historical commission, the supporting documents **must** include a letter of support as evidence that the applicant is coordinating efforts with the local historical commission.
5. Appropriateness of Proposed Project: Preference will be given to applications that demonstrate a clear understanding of the preservation needs of the community and that propose to complete projects that address priority needs identified in the State Historic Preservation Plan.
6. Demonstrated Understanding of Work to be Performed: Preference will be given to applications that demonstrate a clear understanding of the tasks to be undertaken and products to be submitted under the appropriate MHC scope of work and timetable.
7. Extent and Nature of Public Benefit: Preference will be given to applications that demonstrate that the project's products will be available and of benefit to the general public. Preference will also be given to applications that complement other ongoing national, state, or regional planning and revitalization efforts.
8. Administrative and Financial Management Capabilities: Preference will be given to applicants who demonstrate strong capabilities to administer funds and ensure completion of the project in a timely and effective manner. Completeness of the full application will be taken into account. Past performance as a grantee, if applicable, will be considered. All project work must be completed by June 30, 2022.
9. MHC will consider geographic distribution in its grant awards. MHC also will give special consideration to municipal applicants who have not previously received a Survey and Planning grant.

If you have any questions regarding the scope of work or the work program to be submitted, please contact us by email to schedule a phone call (We are presently mostly working remotely.):

| | |
|-------------------|--|
| National Register | Betsy Friedberg, Director, National Register Program (betsy.friedberg@sec.state.ma.us) |
| Planning | Christopher Skelly, Director, Local Government Programs (christopher.skelly@sec.state.ma.us) |
| Survey | Peter Stott, Preservation Planner, (peter.stott@sec.state.ma.us) |
| Archaeology | Edward Bell, Deputy State Historic Preservation Officer (ed.bell@sec.state.ma.us) |

If you have any questions on funding or grant administration, please contact:

Michael Steinitz, Deputy State Historic Preservation Officer (michael.steinitz@sec.state.ma.us)

An electronic version of this application is available from MHC on request.

This program has been financed in part 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.

This program receives Federal financial assistance for identification and protection of historic properties. Under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, as amended, the U.S. Department of the Interior prohibits discrimination on the basis of race, color, national origin, disability or age in its federally assisted programs. If you believe you have been discriminated against in any program, activity or facility as described above, or if you desire further information please write to:

Office of Equal Opportunity
National Park Service
1849 C Street, N.W.
Washington, D.C., 20240.

SECTION II: GUIDELINES FOR COMPLETING APPLICATION

Full applications must contain the following:

- I. Proposal Cover Sheet (Attachment A)
- II. Work Program
- III. Narrative Statement
- IV. Matching Share and Budget Information (include Attachment C and Attachment D)
- V. Signed Assurances and Certification (Attachment B) /Lower Tier Debarment Certification (Attachment E)
- VI. Letter of Support from Local Historical Commission

PART I-PROPOSAL COVER SHEET

Please fill out the proposal Cover Sheet (Attachment A), check off the attachments, and attach the appropriate information. **Please note that a dated Legally Authorized Applicant Signature is required.**

PART II-WORK PROGRAM

Attach a project narrative. In the following format, discuss each item thoroughly and concisely:

- A. Define project goals and explain how the proposal will meet these goals.
- B. Prepare a complete project description by phase. Define personnel working on each phase, what they will be doing, and their relationship to specific project goals. Describe specific methodology to be used in each phase of the project. Identify products that will result from each phase. Incorporate meetings with the MHC into appropriate phase. Consult with MHC staff on typical or required work plans for your project type.
- C. Outline a proposed timeframe for accomplishing project objectives, broken down by phase. Indicate proposed starting and end dates. Projects must be able to be under contract with MHC by July 2021 and must be completed by June 30, 2022. Consult with MHC staff on typical timeframes for your project type.

PART III-NARRATIVE STATEMENT

Explain in a concise statement how the proposed project relates to the past, current, and future preservation activity in the community. Describe how the results of the proposed project will be incorporated into the community planning process, and the extent to which the results will be made available to and used by the general public. Provide any other information on the project or the applicant organization that would be useful to MHC in making funding decisions. Address all applicable selection criteria listed in Section I, Part H.

PART IV-MATCHING SHARE AND BUDGET INFORMATION

Complete and attach to the work program the Matching Share (Attachment C) and Budget (Attachment D) forms.

Matching Share Information: The matching share information shows the source of the match and its kind, either in cash or services. The total should equal 50% of the total project cost.

1. Identify the amount of cash used to match the grant and its source(s), i.e., Community Development Block Grant, Community Preservation funds, town appropriation, land assessments, private donor (provide full name).
2. Identify the dollar value of employee (in-kind) services being donated to the project, and the agency affiliation of the employee.
3. Please refer any questions you may have on matching share requirements to MHC before submitting the application. **Applications that do not provide clear and accurate information on matching share will be considered incomplete and will not be considered for grant allocations.**

The certifications of match statement **must** be signed by the person legally authorized to certify and commit applicant funds (i.e. **Mayor, Chairperson of the Board of Selectmen, CFO**, etc.). If matching funds come from a third party, written evidence of a firm and binding commitment from the donor must be attached to the application. Applicants should be careful to certify only those funds that are actually available, or for which a firm and binding financial commitment has been made. Uncollected pledges may NOT be considered a firm commitment unless a legally binding agreement exists.

Budget Sheet: Identify, in the appropriate columns, which budget items are being provided by the local share and the items for which federal funding is being sought. Instructions for each category are as follows:

1. **Personnel:** Principal project personnel, whether hired consultants and/or in-house staff, must meet the professional qualifications of 36 CFR 61. Submit resumes of any in-house staff that will be serving as principal project personnel.
 - a. **In-Kind (employee) services:** If applicable, list by title or type of work each employee who will be contributing time to the project. Note annual salary, percent of time contributed to project, and total dollar amount. MHC-approved timesheets and payroll records must document time. General supervision not directly related to the project is not allowable as time contributed to the project.
2. **Consultant services:** If applicable, list by title or function consultants who will be associated with the project. List total dollar amount estimated for consultant services. (If you are considering hiring a professional preservation consultant, all costs [i.e. travel, supplies, etc.] should be made part of consultant services. Therefore, omit the travel (#3) and supplies (#4) sections of the Budget form on page 12.)

IF YOU NEED ADDITIONAL SPACE, ATTACH A CONTINUATION SHEET.

NOTE: CONSULTANTS CANNOT BE PRE-SELECTED BY THE APPLICANT. FEDERAL REGULATIONS REQUIRE AN OPEN SELECTION PROCESS IN THE SELECTION OF ALL CONSULTANTS PAID WITH FEDERAL FUNDS. STATE PROCUREMENT REGULATIONS ALSO REQUIRE AN OPEN PROCUREMENT PROCESS. POTENTIAL CONSULTANTS MAY NOT PLAY A ROLE IN SHAPING AN APPLICATION.

If a consultant is required after the grant award is made, the consultant position must be advertised and a Request for Quotes (RFQ) sent to an adequate number of qualified sources to assure an open procurement process that follows federal and state guidelines. After the consultant open selection process, the MHC must review and approve the qualifications and proposals of the top three consultants before the applicant hires one. The applicant's budget must allow sufficient funding for payment of consultant services prior to MHC reimbursement. Please note that municipalities are required to follow Chapter 30B of the Massachusetts General Laws (the Uniform Procurement Act) as amended November 7, 2016.

If using consultants, the applicant must affirm that professional consultants will meet the following minimum criteria (36 CFR 61) as appropriate to the type of project:

A Bachelor's Degree in Historic Preservation, Architectural History, History, Anthropology, Archaeology, Planning, or a closely related field and at least two years full-time experience in an area relevant to the project, or;

A Master's Degree in Historic Preservation, Architectural History, History, Anthropology, Archaeology, Planning, or a closely related field relevant to the project.

MHC will provide further instructions on the advertising and Request for Quotes (RFQ) process once a grant award has been made. Documentation of the above qualifications must be provided before project work may begin.

3. Travel: The mileage rate charged to the project should be the recipient's usual rate but may not exceed the current federal rate. Indicate total number of miles and dollar amount. Tolls and parking, if necessary to the project and documented by receipts, are allowable costs. Meals are not allowable and cannot be charged to the project. If a consultant is to be hired, omit this section.
4. Supplies: List major items or categories, i.e., office supplies, maps, etc. If a consultant is to be hired, omit this section.
5. Other: You may list other allowable costs necessary to the project.
6. Total Direct Charges: Add total dollar amounts for items 1 through 5.

PART V-ASSURANCES AND CERTIFICATION/LOWER TIER DEBARMENT CERTIFICATION

The person who is authorized to sign the project agreement must also sign the Assurances and Certification (Attachment B) and Debarment Certification (Attachment E). If a town local historical commission is applying, the **Chairperson of the Board of Selectmen must sign the Assurances and Certification**; if a Community Development Office or other town/city office is applying, **the Mayor or appropriate official must sign the Assurances and Certification**. Review the items carefully before signing. If you have any questions, contact the MHC.

PART VI-COMMENTS FROM LOCAL HISTORICAL COMMISSION

If the applicant is not the local historical commission and a local historical commission exists, the applicant must solicit signed comments from the local historical commission. Attach the signed comments to the full application.

ATTACHMENT A

FISCAL YEAR 2021
SURVEY AND PLANNING GRANT - FULL APPLICATION

COVER SHEET FOR APPLICATION PROPOSAL
DEADLINE – MONDAY, FEBRUARY 8, 2021

1. Project Title:
2. Project Type:
3. Community/Communities:
4. Local Project Coordinator:

Address:

Phone:

Fax:

E-mail:

5. Amount of Funding Requested: \$ _____
Local Share: \$ _____
Total Project Cost: \$ _____

6. Attachments: (Please check as completed)

_____ Work Program

_____ Narrative Statement

_____ Budget (Attachment D)

_____ Matching Share Information (Attachment C)

_____ Assurances and Certification (Attachment B)

_____ Debarment Certification (Attachment E)

_____ Local Historical Commission Comment
(If Applicable)

7. Authorized Applicant Signature:

(Signature)

(Name -- please print)

(Title)

(Date)

ATTACHMENT B

ASSURANCES & CERTIFICATIONS

If selected for funding, _____ (hereinafter the "Applicant") agrees to comply with the following (where applicable) and with all other guidelines, which will be outlined by the Massachusetts Historical Commission (MHC) in the Funding Agreement:

- a) Applicant is willing to have the necessary and agreed upon surveys, nominations, plans, drawings, studies, and reports (archaeological, engineering, historical, etc.) professionally prepared as required by the MHC and subject to approval by the MHC.
- b) Applicant's project manager agrees to attend a grant orientation meeting.
- c) Applicant will conduct contract and procurement (bidding) actions in a manner that provides for maximum open and free competition in compliance with the Title 2, Part 200 of the Code of Federal Regulations (2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards), the Historic Preservation Fund Grant Manual, and the State Procurement Code.
- d) Applicant agrees that the MHC will be involved in the consultant selection process. The MHC reserves the right to review all proposals, to make recommendations concerning consultant selection, and to approve consultant selection.
- e) Applicant agrees to arrange a meeting with the consultant(s) and MHC staff following hiring of consultant and prior to beginning of project work. Applicant also agrees to attend periodic meetings as needed concerning the project's progress.
- f) Applicant agrees that all work conducted under the project will be carried out in accordance with the Secretary of the Interior's Standards and Guidelines for Treatment of Historic Properties. Contact MHC staff for a copy.
- g) Applicant agrees to sign a Funding Agreement with the MHC and to follow all state and federal regulations pertaining to this grant program.
- h) Applicant understands that the Funding Agreement will specify a schedule and due dates for specific products. The grant amount may be reduced if a product required in the Funding Agreement is submitted after an agreed upon due date.
- i) Applicant certifies that the matching cash share, if required, is available to meet the non-federal share of the costs of the project and that federal monies will not be used for match. (Under federal law, Indian Self Determination and Education Assistance Act funds to tribal organizations and Community Development Block Grant funds are allowable for match.)
- j) Applicant agrees to comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to Department of Interior regulation 43CRF17.
- k) Applicant agrees to comply with Executive Order 12432, "Minority Business Enterprise Development," to encourage greater economic opportunity for minority entrepreneurs.
- l) Applicant agrees to comply with the provisions of 18 USC 1913, which prohibits lobbying with appropriated funds. Certification and disclosure is required by 43 CFR 18 and 31 USC 1352.
- m) Applicant agrees to comply with Executive Order 12549, and with 43 CFR Part 12, which prohibits contracts with suspended and debarred persons or businesses.

- n) Applicant agrees that work for which reimbursement is expected will not begin until MHC issues its approval.
- o) Applicant agrees to comply with Title 2, Part 200 of the Code of Federal Regulations (2 CFR 200).
- p) Applicant agrees that, if applicable, as required by the National Park Service, a covenant agreement will be executed at the end of the project, to be recorded with the property deed, requiring that the owner receive prior review and approval from the MHC before any subsequent repairs or alterations are made to the building (covenant agreements last 10 to 20 years, depending on dollar amount of grant).
- q) Intellectual property – NPS has royalty-free right to republish any materials produced under this grant. Notice of rights in data; the NPS may publish, reuse, etc. data, including architectural plans & specifications. Data produced will be made available to NPS including the data relied upon, the analysis relied upon, and the methodology used to gather and analyze the data.
- r) Applicant agrees to comply with Trafficking Victims Protections Act of 2000, as amended (2 CFR 175.15).
- s) Substance of Whistleblower Rights clause incorporated in sub-awards over the simplified acquisition threshold (\$250,000).
- t) Unless exempt, the applicant will comply with Reporting Sub-awards and Executive Compensation (2 CFR 170).
- u) Applicant will disclose any conflict of interest to the MHC in accordance with 2 CFR 200.112.
- v) Applicant will comply with Executive Order 13658 "Establishing a Minimum Wage for Contractors" clause incorporated in sub-awards subject to the Service Contract Labor Standards statute or the Wage Rate Requirements (Construction) statute.
- w) Applicant will comply with Executive Order 113858 "Strengthening Buy-American Preferences for Infrastructure Projects".
- x) Applicant will create public notification of the project in the form of a project sign, website posting, and proper credit for announcements and publications as appropriate. Signage/notification will be submitted for approval by NPS in advance.

The Applicant's signature below (use only the applicable signature area) certifies acceptance of all the above conditions. Unsigned applications will not be considered.

Applicants will also be expected to demonstrate a satisfactory record of integrity, sound judgment, and satisfactory prior performance on grants and contracts. Applicants are expected to have adequate accounting and auditing procedures.

To the best of my knowledge, this application constitutes a legitimate grant request and contains correct and accurate information. I understand that I may not proceed with any work for which reimbursement is expected until I have first been notified in writing (1) that my project has been selected to receive a grant, (2) that the project application has been approved by the U.S. Department of the Interior, National Park Service, and (3) that a funding agreement has been signed, and (4) that the MHC approves the beginning of work.

SIGNATURE OF AUTHORIZING OFFICIAL (Original copy must have an original signature and be in ink.)

DATE

APPLICANT-RECIPIENT SIGNATURE

TITLE (Chairman of Board of Selectmen, Mayor or Chief Elected Official)

ATTACHMENT C

MATCHING SHARE INFORMATION

1. Cash

Donor: _____

Source: _____

Amount: \$ _____

2. In-Kind Services (if applicable)

Donor: _____

Source: _____

Amount: \$ _____

I certify that the matching share identified above is available and will be allocated to the survey and planning project called:

_____ (Name of Project)

(Signature)

(Name -- please print)

(Title)

(Date)

ATTACHEMENT D

BUDGET

| | MATCHING (LOCAL) SHARE | FEDERAL SHARE | TOTAL |
|--|---------------------------|------------------|-------|
| 1. Consultant Services Title/Function Rate per Hour # of Hours <u>or</u> Total Dollars Estimated | | | |
| 2. Personnel - In-Kind (paid) Title/Function Annual Salary % Time to Project | | | |
| 3. Travel - Rate per Mile _____ # Miles _____ | | | |
| 4. Supplies - (list each item or category) | | | |
| 5. Other | | | |
| TOTAL PROJECT COST | | | |

ATTACHMENT E

**Certification Regarding
Debarment, Suspension, Ineligibility and
Voluntary Exclusion**

Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, **Debarment and Suspension**, 43 CFR Part 12, Section 12.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211). Copies of the regulations are included in the proposal package. For further assistance in obtaining a copy of the regulations, contact the U.S. Department of the Interior, Acquisition and Assistance Division, Office of Acquisition and Property Management, 18th and C Streets, N.W., Washington, D.C. 20240.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are 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.

Name and Title of Authorized Representative

Signature

Date

DI-1954

(9/88)

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations (13 CFR Part 145).
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.