

**REQUEST FOR PROPOSALS**

**MICHIGAN STRATEGIC FUND**

Ferry Street Historic District Survey and Nomination  
Niles, Michigan

**RFP-CASE-00367394**

## **REMINDER**

Please check your proposal to make sure you have included all of the specifications in the Request for Proposals (the “RFP”). In addition, please submit an electronic version of each of the following:

- Technical Proposals (Section II-A);
- Price Proposal (Section II-B);
- Signed Independent Price Determination and Prices Held Firm Certification (Attachment B); and
- Conflicts of Interest Disclosure (if applicable) (Section III-G).

**BIDDERS ARE RESPONSIBLE FOR ASSURING THAT THE FOLLOWING IDENTIFYING INFORMATION APPEARS IN THE SUBJECT LINE OF YOUR EMAIL:** “*RFP-CASE-00367394 Technical Proposal*” and “*RFP-CASE-00367394 Price Proposal*” with *Company Name*, and “*message 1 of 3*” as appropriate if the bid consists of multiple emails.

**The Michigan Strategic Fund (the “MSF”) will not respond to telephone inquiries, or visitation by bidders or their representatives. The bidder’s sole point of contact concerning the RFP is below and any communication outside of this process may result in disqualification.**

Contract Services  
Michigan Strategic Fund  
300 North Washington Square, 3rd Floor  
Lansing, Michigan 48913  
[medcprocurementteam@michigan.org](mailto:medcprocurementteam@michigan.org)

## **IMPORTANT DUE DATES**

- **November 1, 2022, at 3:00 p.m.:** Questions from potential bidders are due via email to [medcprocurementteam@michigan.org](mailto:medcprocurementteam@michigan.org). Please note: The MSF will not respond to questions that are not received by the above date and time. In addition, questions that are phoned, faxed or sent through regular mail will not be accepted.
- **November 4, 2022 by close of business:** Responses to all qualifying questions will be posted on the MSF’s website, <https://www.michiganbusiness.org/00367394>.
- **November 17, 2022, at 3:00 p.m.:** Electronic versions, sent separately, of each of your Technical Proposal and Price Proposal are due to the MSF via email to [medcprocurementteam@michigan.org](mailto:medcprocurementteam@michigan.org). **Proposals will not be accepted via U.S. Mail or any other delivery method.**

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**REQUEST FOR PROPOSAL**

Ferry Street Historic District Survey and National Register Nomination  
Niles, Michigan

**RFP-CASE-00367394**

This RFP is issued by the MSF, Contract Services unit (the "CS"). The CS is the sole point of contact with regard to all bidding and contractual matters relating to the services described in this RFP. The CS is the only office authorized to change, modify, amend, alter, clarify, etc. the specifications, terms and conditions of this RFP and any contract(s) awarded as a result of this RFP (the "Contract"). The CS will remain the SOLE POINT OF CONTACT throughout the bidding process. ***The MSF will not respond to telephone inquiries, or visitation by bidders or their representatives. The bidder's sole point of contact concerning the RFP is below and any communication outside of this process may result in disqualification.***

Contract Services  
Michigan Strategic Fund  
300 North Washington Square  
Lansing, Michigan 48913  
[medcprocurementteam@michigan.org](mailto:medcprocurementteam@michigan.org)

## SECTION I STATEMENT OF WORK

### A) PURPOSE

The MSF is seeking a contractor (the "Contractor") to research and write a historic context statement, conduct an intensive-level historic resource survey (the "Survey"), and complete a National Register of Historic Places (the "National Register") nomination (the "Nomination," and, together with the Survey, the "Project") for the Ferry Street Historic District (the "Historic District") in Niles, Michigan. The Project is funded through a 2021 National Park Service (the "NPS") Underrepresented Communities grant.

### B) BACKGROUND STATEMENT AND OBJECTIVES

**Background:** The Project is being undertaken as part of a larger initiative to expand the inclusion of underrepresented communities in Michigan's National Register-listed properties. The Niles History Center has identified the Historic District as the approximately eight block area roughly bounded by Fifth, Ferry, Ninth, and Sycamore Streets in Niles, Michigan. This early African American neighborhood, established c. 1846, consists of approximately 30 resources including the brick Ferry Street School, constructed in 1867 as a "colored" one-room school house. The school was listed in the Michigan State Register in 1976 and is the site of a Michigan State Historical Marker. Other known significant resources in the Historic District include a Prince Hall Masonic Lodge and two Black churches. The Historic District was home to African American families that made significant contributions to Michigan's history. Photographs of some of the homes are included in the *Michigan Manual of Freedmen's Progress* published in 1915. One resident of note was Lottie Wilson, the first African American to graduate from the Art Institute of Chicago, whose 1902 painting of Abraham Lincoln and Sojourner Truth was exhibited at the White House. The Historic District can be linked to Underground Railroad activity, especially that undertaken by a community of Quakers living nearby in Calvin Township, Cass County, outside of the village of Vandalia.

**Objectives:** The Contract must be completed by May 1, 2024 (the "End Date").

The Contract shall result in a Survey and a Nomination for the Historic District in Niles, Michigan. To that end, the Contractor will:

- Develop a historic context (or contexts) that includes the significant people, events, trends, and time periods associated with the Historic District from c.1836 to 1970.
- Conduct a photographic inventory and complete intensive level survey forms for the resources located in the Historic District
- Complete a Survey Report (the "Survey Report") that incorporates the above information.
- Prepare the Nomination for the Historic District.

### C) QUALIFICATIONS

The Contractor must meet the 36 C.F.R. § 61 *Secretary of the Interior's Professional Qualifications* for Historian and/or Architectural Historian (the "Professional Qualifications"). The

Contractor must be in direct supervision of the Project, and a complete description of their role in the Project must be included in the Proposal, as defined below.

## **D) SCOPE OF SERVICES AND DELIVERABLES**

### **SCOPE OF SERVICES**

The Contractor will develop a Work Plan that is in agreement with this Section I(D) and is further defined in Section IV(D)(1)(d)(i)-(iv) (the "Work Plan").

#### **Survey**

The Contractor will undertake primary and secondary research and write a historic context that identifies significant people, events, and trends, as well as areas and periods of significance in accordance with the Secretary of the Interior's *Standards and Guidelines for Archeology and Historic Preservation*. The Contractor will conduct an intensive level survey in accordance with the *Michigan Above Ground Survey Manual* (the "Manual") and prepare a Survey Report following the guidelines established in the Manual. At a minimum, the Survey Report must include the sections outlined in Chapter 5 of the Manual and incorporate the historic context and a complete set of identification forms with photographs in one comprehensive report. The Contractor will utilize the most up to date version of the identification form obtained from the Michigan State Historic Preservation Office ("the SHPO"). The Survey Report must also conform to the *Michigan State Historic Preservation Office Style Guide* (the "Style Guide"). Both the Manual and Style Guide are found at <https://www.miplace.org/historic-preservation/research-resources/consultant-resources/>.

#### **Research Methods**

Research must include a variety of source materials as listed in the Manual including standard references such as early maps, directories, tax assessor records, and collections available at local repositories. Researchers shall also refer to the NPS's *Civil Rights in America: A Framework for Identifying Significant Sites* and the National Historic Landmark theme study *Civil Rights in America: Racial Discrimination in Housing* (2021).

The historic context is expected to contain information on the history of local Anti-Slavery Societies and the Abolitionist Movement in Niles, Michigan, as well as the identification of participants in the establishment of the Historic District. In regard to the African American history of the Historic District, the context should include information on the people and families that lived in the Historic District and their contributions to local, state, or national history. In addition to standard references, the use of primary resources such as African American newspapers, publications, genealogy and deed research, and archival collections related to African Americans held in local repositories will be required. It is expected that the Contractor will need to plan for more research time and associated travel expenses since local history records and newspapers have not been digitized and are not available online. In 2016, the Niles History Center undertook a project to document local African American history through a Michigan Humanities Council Heritage Grant, which resulted in an exhibition and the collection of some oral histories. The Contractor may need to travel to local and regional history repositories including the Niles History Center, Niles Public Library, Bonine Research Library of the Underground Railroad Society of Cass County (Vandalia, Michigan), Berrien County Historical Association Collections & Archives (Berrien Springs, Michigan), The History Museum (South Bend, Indiana), the Michigan Library and Historical Center (Lansing, Michigan), the Zhang Legacy Collections Center at Western Michigan University (Kalamazoo, Michigan), the Bentley Historical Library and the William L. Clements Library, both at the University of Michigan (Ann

Arbor, Michigan). The Contractor may also need to consult with experts in Michigan's African American history. Oral histories may also play an important role in understanding the Historic District's history and significance and its associated historic context(s). The Contractor should plan to conduct oral histories when appropriate, and when interviews or oral histories are conducted and recorded, the Contractor must submit one (1) digital copy of each interview to the SHPO.

The Survey Report will serve as the basis for the preparation of the Nomination for the Historic District.

## **National Register Nomination**

### Methods for Preparing the Nomination

The Contractor will undertake primary and secondary research, write historic contexts, and identify areas and periods of significance in compliance with NPS guidance, particularly but not limited to, the National Register Bulletins *How to Apply the National Register Criteria for Evaluation* ("Bulletin 15") and *How to Complete the National Register Registration Form* ("Bulletin 16A").

### Prepare the Nomination

The National Register Registration Form (the "Registration Form") will be submitted to the SHPO in accordance with the terms of this RFP.

**1. Narrative Description (Section 7).** The Narrative Description must conform to NPS guidance provided in Bulletin 15, Bulletin 16A, and other guidance, as applicable. The Narrative Description must contain, at a minimum, the following sections: Overview, Inventory, and Historic Integrity. The Contractor will complete each section based on published guidance from the NPS and in consultation with the SHPO.

**a. Overview.** The Overview section should describe the immediate and broader physical location of the Historic District. This should describe the location (streets, city or township, county, and state) topography, vegetation, significant views and vistas, parks, open spaces, substantial parking lots, whether the Historic District is in an urban or rural location, whether the Historic District is in a commercial or residential location, etc. The Overview section must also address how the Historic District, as a whole, has changed over time. This section must describe, to some extent, important resources that have been lost over time. The Overview section must also provide a general discussion of the types of resources found in the Historic District, including predominant architectural styles, forms, and materials. This section must also note any unique, pivotal, or out-of-character resources. This section must convey to the unfamiliar reader a sense of what they would see if they were standing within the Historic District.

**b. Inventory.** The Narrative Description must contain an inventory of all contributing and noncontributing resources within the Historic District boundaries. Resources such as parks, open spaces, and parking lots must also be considered, and may be classified as contributing or noncontributing depending on the particular facts of the resource. In general, each inventory entry must contain inventory entry headings. The inventory entry heading must contain: the address of the resource, the historic name of the resource, the common name of the resource, dates of construction and significant alteration, the architect or

builder, and the type of resource(s), whether it is contributing, noncontributing, or listed previously, and the type and number of resources present.

**c. Resource Description.** Inventory entries must describe each elevation of the resource in a logical sequence, beginning with the primary elevation or façade. Attention should be given to fenestration patterns, detailing, and other historic and character-defining features, and those features that contrast with the general characteristics of the Historic District, as described in the Overview section. Interior descriptions of individual resources within a historic district are not required, generally, but may be warranted in some instances. The Contractor should plan to provide general interior descriptions of publicly accessible resources. Resources classified as noncontributing must provide the reason for the classification. When resources are classified as non-contributing because the resource does not possess historic integrity, the inventory entry must explain why this is so and provide specific reasons referencing the applicable aspects of integrity. Entries should describe the physical characteristics of the resource only.

**d. Outbuildings.** If significant outbuildings (e.g., barns, carriage houses, etc.) are present, they must be described as part of the inventory entry for the primary resource with which they are associated. Minor outbuildings (e.g., sheds, dog houses, etc.) do not require description, generally, but they may be noted in the appropriate inventory entry. If the Historic District, as a whole, contains a consistent type or form of outbuilding, that should be described in the Overview section.

**e. Historic Integrity.** The Historic Integrity section must describe how the Historic District possesses historic integrity and continues to convey its historic significance(s), as described in the Statement of Significance below. The discussion of integrity must address the National Register Criteria seven aspects of integrity, which aspects of integrity are more important to conveying the significance of the Historic District, and which are less so. The Contractor must bear in mind that the condition of a property or resource is not a proxy for its integrity and does not necessarily impact its significance. A property may suffer from deterioration or neglect, but still possess the ability to convey its significance. The same holds for individual resources within a property.

The Narrative Description must conform to the Style Guide.

**2. Narrative Statement of Significance (Section 8).** The Narrative Statement of Significance (the “Statement of Significance”) must conform to NPS guidance provided in National Register Bulletin 15, Bulletin 16A, and other guidance, as applicable. The focus of the Statement of Significance must be the development of historic context(s) (See National Register Bulletins 15; 16A, pages 47-51; and 16B, pages 11-13). The Statement of Significance must develop a historic context or contexts that address and provide an argument for significance for each Criteria and Area of Significance selected, and provide information about the general historical trends and patterns of growth and development of Niles particularly as it relates to the establishment of an African American neighborhood c. 1846 and the growth and development of that neighborhood over time and the contributions of its residents and their families to local, state, and/or national history, as appropriate. As part of the contextual discussion, the Statement of



Significance must also discuss any other African American neighborhoods in Niles that developed during the Period of Significance, and how such neighborhoods compare with the Historic District.

The Statement of Significance text must conform to the Style Guide.

**a. Current Photographs**

Photographs must meet all requirements and specifications described in *Photograph Specifications for National Register Nominations in Michigan*, found on the SHPO website, here:

<https://www.miplace.org/4a7723/globalassets/documents/shpo/programs-and-services/national-register-of-historic-places/guidance-and-instructions/nr-photograph-specifications-for-national-register-nominations-in-michigan2.pdf>

Among the requirements are a set of photographs that depict:

- i. All general areas within the Historic District boundaries. No areas, even those with a high number of non-contributing resources, should be neglected;
- ii. Streetscapes;
- iii. Significant or character-defining views, especially those that are described in the narrative text;
- iv. Primary or pivotal resources (buildings, sites, structures, objects, designed landscapes, etc.);
- v. Examples of architectural styles – both high style and vernacular – and building forms represented in the Historic District;
- vi. Examples of atypical architectural styles and building forms;
- vii. Examples of non-contributing resources;
- viii. Significant topographical and landscape features that contribute to the character (as opposed to significance) of the district, especially if these are historic features and described in the narrative text;
- ix. Aerial (drone or otherwise) or oblique views are welcome, as available, but are not required; or
- x. Other character-defining, atypical, or unusual features, especially if described in the narrative text.

Photographs must be referenced using an in-text citation when describing views or features of the Historic District in the narrative portions of the Nomination that are illustrated by the set Nomination photographs (e.g., "...hipped gable roof (Photo 0013).").

**b. Maps and Shapefiles**

Locational Maps

Provide two (2) locational maps that conform to the requirements described in **National Register Bulletin 16A, pages 61-62**, and described in the *National Register Draft Electronic Map Policy Factsheet* (June 2012). All geographic coordinates must be in Latitude and Longitude decimal degree format to six decimal places. Do not submit Universal Transverse Mercator (UTM) references instead of or in addition to Latitude

and Longitude coordinates. All maps must be submitted in PDF format. The SHPO will not accept paper maps. Maps must also meet the following requirements:

- i. Delineate the Historic District boundaries;
- ii. If the Historic District boundaries are irregular, enclose the Historic District in a visible polygon. Each vertex of the polygon must be labeled by sequential number, beginning in the northwest corner and moving clockwise. Each vertex will constitute one geographic reference point. Polygons should be kept as simple as possible (often a rectangle); and
- iii. When a polygon is used to enclose the Historic District boundaries, the boundaries and the visible polygon must be differentiated by line marking or style. Color coding must not be used.

#### Resource Map(s)

Provide one or more maps that identifies all of the resources within the Historic District and that classifies each resource as contributing or noncontributing. Resource maps must be reproducible in black and white. Color coding of resources must not be used. Resource counts and classification must match the resource count in Section 5 of the Registration Form and the inventory in the Narrative Description in Section 7 of the Registration Form. The resource map must also include the Historic District boundary.

#### Shapefiles

Shapefiles must be made for the survey and site data and provided to the SHPO at the conclusion of the project. Below are the specifications for those Shapefiles:

- i. Projection in NAD\_1983\_Michigan\_GeoRef\_Meters WKID (3078);
- ii. Submit districts as polygons in either shapefile or feature class format;
- iii. Submit individual buildings, objects, or structures as points in either shapefile or feature class format;
- iv. Provide corridor/area of survey specifications/create buffer with survey corridor if line; and
- v. Provide sites and surveys as separate layers.

#### **c. Photo Key**

Submit one or more maps or line drawings, as necessary, that key all submitted and final photographs taken within the Historic District. The photo key must identify the number of the photograph from the Photo Log in the registration form and include a directional marker indicating from which direction the photograph was taken.

#### **d. Notification List**

Provide one (1) list in Microsoft Excel to the SHPO that includes: the owner(s) of each resource in the Historic District, the chief elected official of the community in which the Historic District is located, and the chief elected official of the county in which the Historic District is located. The Microsoft Excel file must contain the following columns: Salutation, Owner First Name, Owner Last Name, Organization, Street Address, City, State, Zip Code. Do not include any other fields.

#### **e. Research Resources**

Provide the SHPO with one (1) copy of each source used in preparation of the Nomination, as available. Sources include, but are not limited to, books, book sections, newspapers, historical maps, historical photographs, journal articles, letters, interviews, etc. It is preferred that research notes be submitted as digital files, but paper copies will be accepted. Research notes must be grouped in a folder by source type (photographs, newspapers, maps, etc.). When interviews or oral histories are conducted and recorded, the Contractor must submit one (1) digital copy of each interview or oral history to the SHPO. For each source type, a naming convention should be developed in consultation with the SHPO at the Nomination Kick-off Meeting described below.

#### SHPO and NPS Review

The SHPO and the NPS shall review the Deliverables, described below, submitted by the Contractor. The Contractor will submit Deliverables to the SHPO, who will forward them to the NPS for review. The Contractor is required to address all SHPO and NPS comments and revisions in the final documents. The Contractor's proposed Work Plan, should allow for a minimum of forty-five (45) days for NPS and SHPO review of each Deliverable submitted.

### **DELIVERABLES**

#### **Deliverable #1: Preliminary Outline for Survey and Nomination**

Prepare and submit to the SHPO an outline using full sentences of the Narrative Description and Narrative Statement of Significance (the "Preliminary Outline"). It should include the information the Contractor intends to include in the Historic Context Statement(s) of the Survey and the Narrative Description (Section 7) and Statement of Significance (Section 8) of the Registration Form.

- a. The Preliminary Outline for the Narrative Description must describe the general character of the Historic District; the general condition of resources; the physical relationship of the resources; architectural styles and building forms; open spaces, landscape features, and significant views or vistas; the original appearance of the Historic District and resources and any major changes; and whether and how the Historic District retains historic integrity. The Narrative Description must include an inventory of individual resources and a discussion of known or potential archaeological resources. The Preliminary Outline should describe how the Narrative Description will be arranged and which topics will be addressed.
- b. The Preliminary Outline for the Statement of Significance must, at a minimum, present a summary and outline of at least one (1) historic context **for each selected Criterion and Area of Significance**. The Contractor should refer to National Register guidance (see in particular, National Register Bulletins 15; 16A, pages 47-51; and 16B, pages 11-13) when addressing historic context. This Preliminary Outline must illustrate how the Historic District relates to and is significant within the chosen criteria, historic context(s) and area(s) of significance. It is expected that this Preliminary Outline will not be complete or final, and that it will evolve as the Project progresses.

#### **Deliverable #2: Preliminary Research Bibliography.**

Prepare and submit to the SHPO, along with the Preliminary Outline, a preliminary research bibliography (the "Preliminary Bibliography") that identifies specific, intended research repositories, datasets, tools, and resources (books, journal articles, speeches, and other documents) to be used in the Project. It is expected that this will not be a complete or final list of resources, and that this Preliminary Bibliography will evolve as the Project progresses. The

Preliminary Bibliography shall be formatted according to the *Chicago Manual of Style*.

### Research Notes

The Contractor will provide copies of all significant source materials used in preparation of the Project including but not limited to information from books, newspapers, historical maps, historical photographs, journals, letters, interviews, etc. It is preferred that research notes are submitted as digital files. Research notes must be grouped by source type (i.e., photographs, newspapers, maps, etc.). For each source type, a naming convention should be developed in consultation with the SHPO.

**Deliverable #3: First Draft of Survey Report.** Prepare and submit to the SHPO a complete first draft of the Survey Report including all applicable historic contexts and the identification forms. All components of the Survey Report such as the context, inventory forms, maps, etc., must be included with this submission. Maps should be completed in consultation with SHPO staff to ensure that they will adequately address current needs.

**Deliverable #4: Second Draft of Survey Report.** Prepare and submit to the SHPO a revised draft of Deliverable #3. This version must address all additional research requested and/or comments received from the SHPO. All components of the Survey Report, context, inventory forms, maps, etc., must be included with this submission.

**Deliverable #5: Final Survey Report.** This is the final, completed submission package for the Survey Report that will be provided to the SHPO, the NPS, and the Niles History Center. All parts of the Survey Report, in both electronic and bound paper format, must be submitted, along with all additional products, including final locational maps, identification forms, photographs, etc. The Survey Report must be ADA Compliant including full Optical Character Recognition (OCR) and alternative text for all images, figures and maps. Please reference the [SOM - Michigan Voluntary Product Accessibility Template \(VPAT\)](#) to self-assess the report's accessibility. All research notes should also be submitted at this time.

### **Deliverable #6: First Draft of the Nomination.**

Using the Survey Report as the basis for information, prepare and submit to the SHPO a first draft of the Nomination on the National Park Service 10-900 Registration Form only. The form must be submitted in Microsoft Word DOC or DOCX format only. The first draft of the Nomination must be submitted by the respective date in the approved Work Plan. This draft must include preliminary maps, photo key, and photographs.

### **Deliverable #7: Second Draft of the Nomination.**

Prepare and submit to the SHPO a second draft of the Nomination. This version must address all additional research requested and comments received from the SHPO and the NPS. The second draft of the Nomination must be submitted by the respective date in the approved Work Plan. This draft must include all revisions to the registration form, maps, photo key, and photographs, as necessary.

### **Deliverable #8: Final Draft of the Nomination.**

Prepare and submit to the SHPO a final draft of the Nomination. This version must address all additional research requested and comments received from the SHPO and the NPS. The final draft of the Nomination must be submitted by the respective date in the approved Work Plan. This draft must include all revisions to the registration form, maps, photo key, and photographs, as necessary.

**Deliverable #9: Presentation of the Nomination to the State Historic Preservation Review Board (the “SHPRB”).**

- a. Create and submit to the SHPO one (1) Microsoft PowerPoint file in PPT or PPTX format that:
  - i. Includes one (1) title slide that states the name of the Historic District, the city, and the county in which the Historic District is located, and the presenter’s name;
  - ii. Includes one or more maps that depict the Historic District in its geographic setting;
  - iii. Includes enough photographs to adequately portray the important physical characteristics, historic integrity, and historic significance of the Historic District. This may include all final nomination photographs, or a selection of the same;
  - iv. Is free of any formatting such as photograph text labels, background designs, etc.;
  - v. Is limited to one image or map per slide; and
  - vi. Includes images that, to the extent possible, fill the entirety of the slide.
- b. Present the Nomination to the SHPRB using the above PowerPoint file at its first regularly scheduled meeting held after the Nomination has been completed and accepted by the SHPO. SHPRB meetings are typically held in January, May, and September. **The presentation to the SHPRB is limited to seven (7) minutes.** As such, it is preferable to limit the number of slides in each presentation to no more than ten (10).

**Deliverable #10: Revise the Final Draft Nomination to incorporate SHPRB identified revisions and submit to the SHPO.**

The Contractor must account for and build into the Work Plan a period of time following Deliverable #9 to make any substantive revisions to the narrative portions of the registration form identified by the SHPRB or any revisions to the maps, photographs, and photo key, as requested by the SHPRB or necessitated by the substantive revisions to the registration form. The revised Nomination will be submitted in Microsoft Word DOC or DOCX to the SHPO for final review and approval.

**Meetings**

- a. **Project Kick-off Meeting.** The Contractor shall meet with SHPO staff to affirm the goals of the Project, timelines, methodology, the Contractor’s Scope of Services, content and format of the Survey Report and the Nomination and to finalize the Work Plan. This meeting may be held virtually or in person. The format of this meeting shall be discussed with and approved by SHPO staff prior to meeting coordination.
- b. **Public Introductory Information Meeting.** The Contractor shall hold a public meeting in Niles, Michigan, within approximately three weeks of the date of the signed Contract between SHPO and the Contractor on a date mutually agreed upon by the Contractor and the SHPO. The format of this meeting shall be discussed with and approved by SHPO staff prior to the scheduling of the meeting. The purpose of this meeting will be to acquaint local officials and the public with the Project goals and to answer questions about the Survey, the National Register, the process for nominating a property, and to solicit information.
- c. **SHPRB Meeting Presentation.** See Deliverable # 9 above.
- d. **Project Completion Public Meeting.** The Contractor shall organize and facilitate a public meeting in Niles, Michigan, to convey the results of the Project following the submittal of Deliverable #10 of the Nomination. The format of this meeting shall be

- discussed with and approved by SHPO staff prior to the scheduling of the meeting.
- e. **Project Review Meetings as Necessary (no more than 4).** The Contractor shall be available for virtual meetings with SHPO staff to discuss Project status, Deliverables, or any other discussions that staff or the Contractor deem necessary.

## Reporting

- a. **Interim Progress Reports.** The Contractor shall submit quarterly interim progress reports to the SHPO. Reports are due by January 15th, April 15th, July 15th, and September 15th until the End Date. The progress report form is available from the SHPO or at <https://www.nps.gov/subjects/historicpreservationfund/forms.htm>.
- b. **Project Completion Report.** The Contractor will provide a completed *NPS Final Project Grant Worksheet* at the completion of the Project along with the submittal of the final Deliverables. This form is available from the SHPO or at <https://www.nps.gov/subjects/historicpreservationfund/forms.htm>.

## Deliverable Formats

### Survey

- All Survey materials must be submitted in Microsoft Word (DOC or DOCX), Microsoft Excel (XLS or XLSX), or Microsoft PowerPoint (PPT or PPTX) format, and as ESRI shapefiles, as applicable.
- Two bound hard copies of the final Survey Report are required for the final report for submission for the SHPO and the Niles History Center. Bindings for the hard copy must be comb bound. The final Survey Report should have a cardstock front and back cover and look professional in appearance.
- One final electronic Survey Report must be submitted in a complete PDF document along with all components and individual Word documents.
- File naming formats and other digital product deliverables should follow NPS, State, Tribal, Local Plans & Grants *Digital Product Submission Guidelines* available from the SHPO.

### Nomination

- The NPS 10-900 National Register of Historic Places Registration Form must be submitted in Microsoft Word (DOC or DOCX) format only.
- All photographs must be submitted in JPG/JPEG format.
- All maps and/or line drawings must be submitted in PDF format.
- Final Nomination (100% completion) documents must be submitted on a labeled USB ("thumb" or "flash") drive to the SHPO.

### Federal Acknowledgement

All Deliverables must contain the following disclaimer and acknowledgement:

*"This material was produced with assistance from the Historic Preservation Fund, administered by the National Park Service, Department of the Interior under Grant Number P22AP00293-00. Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the Department of the Interior."*

### Copyright

Pursuant to 2 C.F.R . § 200.315(b), the NPS reserves a royalty-free right to reproduce, publish, or use the Project for Federal purposes, or the ability to authorize others to use materials produced under this Contract. All photos included as part of the interim and final Survey, Nomination, and Deliverables/publication will be considered released to the NPS for future official use. Photographer, date and caption should be identified on each photo so the NPS may provide proper credit for use.

A digital (preferred) or physical copy of all Deliverables must be available for public access. Sensitive information may be redacted from the public access copy.

## SECTION II PROPOSAL FORMAT

To be considered, each bidder must submit a COMPLETE proposal (the “Proposal”) in response to this RFP using the format outlined below. The Proposal will include the Technical Proposal, the Price Proposal, and any attachments, enclosures, or exhibits required in this RFP or considered by the bidder to be essential to a complete understanding of the Proposal. Each of the following sections of the Proposal should be clearly identified with appropriate headings:

### **A) TECHNICAL PROPOSAL**

Provide a Technical Proposal that includes:

1. Business Organization and History – State the full name, address, email address, and phone and web address of the bidder’s organization and, if applicable, the branch office or other subordinate element that will perform, or assist in performing, any work relating to the Project. Indicate whether the bidder operates as an individual, partnership, or corporation (if as a corporation, include the state in which it is incorporated). The Technical Proposal must state whether the organization is licensed to operate in the State of Michigan.
2. Statement of the Problem – State in succinct terms the bidder’s understanding of the problem(s) presented by this RFP.
3. Narrative – Include a narrative summary description of the proposed effort and of the services(s)/products(s) that will be delivered. Any proposed deviations to the Survey must be justified in detail.
4. Technical Work Plans – Provide a detailed Work Plan. The Work Plan should allow for a minimum of 45 days for the NPS and the SHPO to review each Deliverable submitted. The project End Date is May 1, 2024.
5. Prior Experience – Describe the prior experience of the bidder’s organization which it considers relevant to the successful accomplishment of the Project as defined in this RFP. Include sufficient detail to demonstrate the relevance of such experience. Work samples should be attributed to specific staff and submitted work samples must reflect the previous work of the staff who will be the primary author of the Survey and/or the Nomination. The Prior Experience Section should include descriptions of qualifying experience including project descriptions, costs, and starting and completion dates of projects successfully completed; also include the name, address, and phone number of the responsible official of the client organization who may be contacted.

The MSF may evaluate the bidder’s prior performance with the MSF, and this prior performance information may be a factor in the award decision.

6. Project Staffing – The bidder must be able to staff a project team which possesses talent and expertise in the field of the requirements of this RFP. Additionally, the bidder must: (1) Identify the project manager and staff assigned by name and title, (2) Provide resumes, experience and any other appropriate information regarding the project team’s qualification for this initiative, (3) Indicate staff turnover rates, (4) State where the project team will be physically located during the time they are engaged in the Project, (5) Indicate which of these individuals



the bidder considers key to the successful completion of the work, and (6) Indicate the amount of dedicated management time for the bidder's project manager and other key individuals. Do not include any financials for the contemplated work within the Technical Proposal. Resumes demonstrating the Professional Qualifications for proposed project team personnel must be supplied.

Please Note: The MSF further reserves the right to interview the key project team personnel assigned by the bidder to the Project and to recommend reassignment of personnel it deems unsatisfactory.

7. Subcontractors – The bidder shall list all subcontractors that will be engaged to accomplish the Project described in this RFP and include (1) the firm name and address, contact person and complete description of work to be subcontracted, and (2) provide descriptive information concerning subcontractor's organization and abilities. Additionally, the information the bidder provides in response to sub-section 5 of this Section II(A) shall also include detailed information relating to each potential subcontractor.

8. Bidder's Authorized Expediter – Include the name, email address, and telephone number of person(s) in the bidder's organization authorized to expedite any proposed contract with the MSF.

9. References, Additional Information and Comments – Include any other information that the bidder believes to be pertinent, but not specifically asked for elsewhere.

10. Certification – include the certification required in Section III(R).

## **B) PRICE PROPOSAL**

Provide a Price Proposal that includes the cost/rate/price information for all firms/persons proposed to be used by the bidder which will be used to demonstrate the reasonableness of the bidder's Price Proposal. Attach a schedule of all expenses which covers each of the services and activities identified in the bidder's Price Proposal and also include a total "not to exceed" fee proposal. The Price Proposal must be broken down by Deliverables (see Section I(D) Scope of Services and Deliverables).

The MSF is exempt from federal excise tax, and state and local sales taxes. The Price Proposal should include, but separate out, the amount of taxes.

**THE PRICE PROPOSAL and the TECHNICAL PROPOSAL MUST BE IDENTIFIED AND SENT SEPARATELY FROM THE PROPOSAL IN ACCORDANCE WITH THE INSTRUCTIONS OF THIS RFP. Price Proposals will remain sealed until the Joint Evaluation Committee (the "JEC") has completed evaluation of the Technical Proposals.**

Bidders Please Note: Rates quoted in response to this RFP are firm for the duration of the Contract; no price increase will be permitted.

## **C) PROPOSAL SUBMITTAL**

Submit separately marked electronic versions of bidder's Technical Proposal and Price Proposal to the MSF via email to [medcprocurementteam@michigan.org](mailto:medcprocurementteam@michigan.org) not later than **3:00 p.m.** on **November 17, 2022**. The MSF has no obligation to consider any proposal that is not

received by this deadline. **Proposals will not be accepted via U.S. Mail or any other delivery method.**

BIDDERS ARE RESPONSIBLE FOR ASSURING THAT THE FOLLOWING IDENTIFYING INFORMATION APPEARS IN THE SUBJECT LINE OF YOUR EMAIL: *"RFP-CASE-00367394 Technical Proposal"* and *"RFP-CASE-00367394 Price Proposal"* with *Company Name*, and *"message 1 of 3"* as appropriate if the bid consists of multiple emails.

**SECTION III  
RFP PROCESS AND TERMS AND CONDITIONS**

**A) PRE-BID QUESTIONS**

Questions from bidders concerning the specifications in this RFP must be received via e-mail no later than **3:00 pm on November 1, 2022**. Questions must be submitted to:

Contract Services  
[medcprocurementteam@michigan.org](mailto:medcprocurementteam@michigan.org)

**B) PROPOSALS**

To be considered, bidders must submit a complete Proposal, using the format provided in Section II of this RFP, by **3:00 p.m. on November 17, 2022**. No other distribution of proposals is to be made by the bidder.

The Technical Proposal must be **signed physically or electronically** by an official of the bidder authorized to bind the bidder to its provisions. The Technical Proposal must include a statement as to the period during which it remains valid; this period must be at least ninety (90) days from **November 17, 2022**. The rates quoted in the Price Proposal must remain firm for the duration of the Contract.

**C) ECONOMY OF PREPARATION**

Each Proposal should be prepared simply and economically, providing a straightforward, concise description of the bidder's ability to meet the requirements of this RFP. Emphasis should be on completeness and clarity of content.

**D) SELECTION CRITERIA**

Responses to this RFP will be evaluated based upon a three-step selection process.

1) Step I – Initial Evaluation for Compliance

- a) The first step is an evaluation of whether a Proposal satisfactorily meets the requirements of this RFP as stated in Section II.
- b) *Proposal Content* – The CS will screen all submitted proposals for technical compliance to include, but not be limited to:
  - Timely submission of the proposal.
  - Technical Proposal and Price Proposal clearly identified and sent separately.
  - Proposal signed physically or electronically by an official of the bidder authorized to bind the bidder to its provisions.
  - Proposals satisfy the form and content requirements of this RFP.

2) Step II – Criteria for Satisfactory Technical Proposals

- a.) During the second step of the selection process, proposals will be considered by the JEC, which will be comprised of individuals selected by the MSF and the SHPO. Only those proposals that meet the Initial Evaluation for Compliance in Step I, as determined by CS, will be considered for further evaluation by the JEC pursuant to this Step II.
- b.) *Competence, Experience and Staffing Capacity* – The Technical Proposal should indicate the ability of the bidder to meet the requirements of this RFP, especially the time constraints and quality. Technical Proposals should also indicate the competence of the personnel whom the bidder intends to assign to the Project, including education and experience, with particular reference to experience on projects similar to that described in this RFP and qualifications of bidder’s principal investigator’s and the project manager’s dedicated management time, as well as that of other key personnel working on this Project. The JEC shall score each Technical Proposal according the following criteria:

		<b>Weight</b>
1.	Statement of Work	5
2.	Research Plan and Methodology	15
3.	Prior Experience of Key Staff in Conducting Historic Resource Surveys	15
4.	Prior Experience of Key Staff in the Conducting Primary Research and Writing Historic Contexts	15
5.	Prior Experience of Key Staff in Writing National Register Nominations	15
6.	Prior Experience of Key Staff in Documenting Properties Associated with African American History	20
7.	Prior Experience of Key Staff in Conducting Oral Histories	15
<b>TOTAL</b>		<b>100</b>

- c.) At the sole discretion of the JEC, bidders may be required to make oral presentations of their Technical Proposals to the JEC during the JEC’s review of their Technical Proposal. These presentations provide an opportunity for the bidders to clarify their Technical Proposal. The MSF will schedule these presentations, if required by the JEC.

- d.) Only those Technical Proposals receiving a score of **80 points or more** (the “Minimum Point Threshold”) by the JEC will have their Price Proposal evaluated to be considered for award.

3) Step III – Criteria for Satisfactory Price Proposal

- a.) The JEC will evaluate each Price Proposal and make an award recommendation to the MSF for the bidder whose Technical Proposal not only met the Minimum Point Threshold, but also provides the most value, quality, and the ability to meet the objectives of this RFP (the “Award Recommendation”).
- b.) The MSF reserves the right to consider the economic impact on the State of Michigan when evaluating the Award Recommendation. This includes, but is not limited to, job creation, job retention, tax revenue implications, and other economic considerations.
- c.) Based on its sole discretion, the MSF will award the Contract to the bidder whose Proposal not only met the Minimum Point Threshold, but also provides the most value, quality, and the ability to meet the objectives of this RFP (the “Best Value Awardee”). The Best Value Awardee may not match the Award Recommendation.
- d.) The MSF reserves the right to select and award the Contract to another bidder in the event the Best Value Awardee does not accept the award.
- e.) The Best Value Awardee must be reviewed and approved by the NPS prior to any formal award notification.

**E) BIDDERS COSTS**

The MSF is not liable for any costs incurred by any bidder prior to all parties signing the Contract.

**F) TAXES**

The MSF may refuse to award a Contract to any bidder who has failed to pay any applicable taxes or if the bidder has an outstanding debt to the State of Michigan or the MSF.

Except as otherwise disclosed in an exhibit to their Proposal, the bidder certifies that (1) all applicable taxes are paid and (2) the bidder owes no outstanding debt to the State of Michigan or the MSF as of the date the bidder’s Proposal was submitted to the MSF.

**G) CONFLICT OF INTEREST**

The bidder must disclose, in an exhibit to their Proposal, any possible conflicts of interest that may result from the award of the Contract or the services provided under the Contract.

Except as otherwise disclosed in the Proposal, the bidder affirms that, to the best of its knowledge, there exists no actual or potential conflict between the bidder, the bidder’s project manager(s) or its family’s business or financial interests (“Interests”) and the services provided under the Contract. In the event of any change in either Interests or the services provided under the Contract, the bidder will inform the MSF regarding possible conflicts of interest which may arise as a result of such change and agrees that all conflicts shall be resolved to the MSF’s satisfaction

or the bidder may be disqualified from consideration under this RFP. As used in this Section G, “conflict of interest” shall include, but not be limited to, the following:

- 1) Giving or offering a gratuity, kickback, money, gift, or anything of value to a MSF official, officer, or employee with the intent of receiving the Contract from the MSF or favorable treatment under the Contract;
- 2) Having or acquiring at any point during the RFP process or during the Term (as defined below) of the Contract, any contractual, financial, business or other interest, direct or indirect, that would conflict in any manner or degree with the bidder’s performance of its duties and responsibilities to the MSF under the Contract or otherwise create the appearance of impropriety with respect to the award or performance of the Contract;
- 3) Currently in possession of or accepting during the RFP process or the term of the Contract anything of value based on an understanding that the actions of the bidder or its affiliates or Interests on behalf of the MSF will be influenced; or
- 4) The SHPO is required to implement the federal conflict of interest policy for historic preservation activities. Generally speaking, this conflict of interest policy applies to any person who is paid in full or in part with Historic Preservation Fund (“HPF”) or matching share monies, or who donates time or provides in-kind services to the HPF program. For purposes of the policy, “person” is defined as and means: the State Historic Preservation Officer; SHPO staff member, including persons authorized to represent the SHPO or to perform in any official capacity for the SHPO; subgrantees and contractors paid in whole or part by HPF funds or whose time or salaries are used as allowable matching share; members of the State Historic Preservation Review Board and the Michigan Historical Commission; Certified Local Government Historic District Commission members, agents and staff; and the employees, agents, partners, associates, and family members of the persons listed above.

**H) BREACH OF CONTRACT**

Except as otherwise disclosed in an exhibit to the bidder’s Proposal, the bidder certifies that it is not in material default or breach of any contract or agreement that it may have with the State of Michigan or any of its departments, commissions, boards or agencies, or any other public body in the State of Michigan. Further, the bidder represents and warrants that it has not been a party to any contract with the State of Michigan or any public body that was terminated within the previous five (5) years because the bidder failed to perform or otherwise breached an obligation of such contract.

**I) DISCLOSURE OF LITIGATION**

Except as otherwise disclosed in an exhibit to the bidder’s Proposal, the bidder certifies that there is no criminal litigation, investigations or proceedings involving the bidder (and each subcontractor, if subcontractors will be used to provide the goods/services requested under this RFP) or any of the bidder’s officers or directors or any litigation or proceedings under the Sarbanes-Oxley Act. In addition, bidders must disclose in the exhibit requested under this Section III(I) of the RFP, any civil litigation, arbitration or proceeding to which the bidder (or, to the extent the bidder is aware after reasonable inquiry, any subcontractor) is a party and which involves: (1)

disputes that might reasonably be expected to adversely affect the viability or financial stability of the bidder (or subcontractor); or (2) a claim or written allegation of fraud or breach of contract against the bidder (or, to the extent the bidder is aware, subcontractor), by a governmental or public entity arising out of their business dealings with governmental or public entities. Details of any settlements which the bidder is prevented from disclosing under the terms of the settlement may be annotated as such. Bidders must also disclose any investigations by the Internal Revenue Service or any other federal or state taxing body or court.

**J) FALSE INFORMATION**

If the MSF determines that a bidder purposefully or willfully submitted false information in response to this RFP, that bidder will not be considered for an award and any resulting Contract that may have been executed may be terminated.

**K) ADDITIONAL DISCLOSURE**

All bidders should be aware that proposals submitted to the MSF in response to this RFP may be subject to disclosure under the provisions of Public Act 442 of 1976, as amended, known as the Freedom of Information Act ("FOIA"). Accordingly, confidential information should be excluded from bidders' Proposals. Bidders, however, are encouraged to provide sufficient information to enable the MSF to determine the bidder's qualifications and to understand or identify areas where confidential information exists and could be provided. The FOIA also provides for the complete disclosure of the Contract and any attachments or exhibits thereto.

**L) PRICES HELD FIRM**

LENGTH OF TIME PRICES ARE TO BE HELD FIRM: All rates quoted in the bidder's Price Proposal will be firm for the duration of the Contract. No price changes will be permitted.

**M) BEST AND FINAL OFFER**

At any time during the evaluation process, the JEC may request a Best and Final Offer ("BAFO") from any bidder. This will be the final opportunity for a bidder to provide a revised Proposal. The scope of the changes allowed in the BAFO will be published as part of the issuance of the BAFO request.

**Bidders are cautioned to propose the best possible offer at the outset of the process, as there is no guarantee that any bidder will be allowed an opportunity to engage in pricing negotiations or requested to submit a BAFO.**

**N) CLARIFICATION/CHANGES IN THE RFP**

Changes made to the RFP as the result of responses made to qualifying questions or concerns will be posted on <https://www.michiganbusiness.org/00367394>. Bidders are encouraged to regularly check this site for changes or other information related to the RFP.

**O) ELECTRONIC BID RECEIPT**

ELECTRONIC VERSIONS OF THE PROPOSAL MUST BE RECEIVED AND TIME-STAMPED BY THE MSF TO [medcprocurementteam@michigan.org](mailto:medcprocurementteam@michigan.org), ON OR BEFORE **3:00 p.m. on**

**November 17, 2022.** BIDDERS ARE RESPONSIBLE FOR TIMELY SUBMISSION OF THEIR PROPOSAL. THE MSF HAS NO OBLIGATION TO CONSIDER ANY PROPOSAL THAT IS NOT RECEIVED BY THE APPOINTED TIME.

**P) RESERVATION OF MSF DISCRETION**

Notwithstanding any other statement in this RFP, the MSF reserves the right to:

- 1) reject any and all proposals;
- 2) waive any errors or irregularities in the bidding process or in any proposal;
- 3) rebid the Project;
- 4) negotiate with any bidder for a reduced price, or for an increased price to include any alternates that the bidder may propose;
- 5) reduce the scope of the Project, and rebid or negotiate with any bidder regarding the revised Project; or
- 6) defer or abandon the Project.

The MSF's decision is final and not subject to appeal. Any attempt by a bidder, collaborating entity, or other party of interest to the Project to influence the award process, to appeal, and/or take any action, including, but not limited to, legal action, regarding the proposal or awards process in general may result in the bidder's disqualification and elimination from the award process.

**Q) JURISDICTION**

Any legal action arising from or concerning this RFP shall be brought in the Michigan Court of Claims or, as appropriate, the Ingham County Circuit Court in Ingham County, Michigan. Nothing in this RFP shall be construed to limit the rights and remedies of the MSF that are otherwise available.

**R) ADDITIONAL CERTIFICATION**

Pursuant to Public Act 517 of 2012, an Iran linked business is not eligible to submit a bid on a request for proposal, with a public entity.

Bidders must include the following certification in their Technical Proposal:

“Bidder certifies that it is not an Iran-linked business as defined in MCL 129.312.”

Failure to submit this certification will result in disqualification from consideration.



**SECTION IV  
CONTRACTUAL TERMS AND CONDITIONS**

**A) CONTRACT TERMS AND CONDITIONS**

- 1) The Contract – The proposal selected will be subject to the terms and conditions of the MSF’s Professional Services Contract in substantially the same form as attached to this RFP as Attachment A. The MSF and the NPS reserve the right to modify any provisions of the Contract.
- 2) Term of Work – It is estimated that the activities in the proposed Contract will cover the period **December X, 2022** through **May 1, 2024** (the “Term”). The MSF, in its sole discretion, may extend the Term and allocate additional resources, subject to available funding.
- 3) Modification of Service – The MSF and the NPS reserve the right to modify the requested services during the course of the Contract. Such modifications must be made in writing and may include the addition or deletion of tasks or any other modifications deemed necessary. Any changes in pricing proposed by the Contractor resulting from the requested changes are subject to acceptance by the MSF and the NPS. Changes may be increases or decreases.

In the event changes are not acceptable to the MSF, the Contract shall be subject to competitive bidding based upon the new specifications.

- 4) Subcontracting – The MSF and the NPS reserve the right to approve any subcontractors for the Contract and to require the Contractor to replace subcontractors that the MSF finds to be unacceptable.
- 5) Award of Contract – The MSF and the NPS reserve the right to award all or any part of this RFP and, based on what is in the best interest of the MSF; the MSF will award the Contract considering price, value and quality of the bids.

**B) CONTRACTOR RESPONSIBILITIES**

The Contractor will be required to assume responsibility for all contractual activities offered in this RFP whether or not the Contractor performs them. Further, the MSF will consider the Contractor to be the sole point of contact with regard to contractual matters, including payment of any and all charges resulting from the Contract.

**C) ACCEPTANCE OF PROPOSAL CONTENT**

If awarded a Contract, the contents of this RFP will become contractual obligations. The following constitute the complete and exclusive statement of the agreement between the parties as it relates to this transaction:

- 1) This RFP (including subsequent written clarification provided in response to questions raised by email) and any Addenda thereto; and

2) Final executed Contract.

In the event of any discrepancies between the above documents, the final executed Contract shall control. Failure of the Best Value Awardee to accept these obligations may result in cancellation of the award.

**D) PROJECT CONTROL AND REPORTS**

1) Project Control

- a) The Contractor will carry out the Project under the direction and control of the SHPO.
- b) The MSF will appoint a contract manager for this Project. Although there will be continuous liaison with the Contractor team, the contract manager will meet with the Contractor's project manager for the purpose of reviewing progress and providing necessary guidance to the Contractor in solving problems which arise.
- c) The Contractor will submit quarterly progress reports using the form provided by the SHPO. Quarterly progress reports shall be due by January 15th, April 15th, July 15th and September 15th of each year until the End Date. The quarterly progress reports outline (1) the work accomplished, (2) the work to be accomplished during the subsequent reporting period; (3) any problems, real or anticipated, should be brought to the attention of the contract manager and (4) notification of any significant deviation from previously agreed upon Work Plan.
- d) Within five (5) business days of the execution of the Contract, the Contractor will submit the Work Plan to the contract manager for final approval. The Work Plan must be in agreement with Section I(D) of this RFP as proposed by the Contractor, approved by the SHPO and accepted by the MSF for contract, and must include the following:
  - (i) The organizational structure of the Contractor's proposed Project including a research methodology and preliminary bibliography.
  - (ii) The Contractor's staffing table with names and titles of personnel assigned to the Project, and personnel meeting the Professional Qualifications. This must be in agreement with staffing listed in the accepted Proposal. Necessary substitutions due to change of employment status and other unforeseen circumstances may only be made with prior approval of the MSF.
  - (iii) The Project breakdown showing sub-projects, activities and tasks, and resources required and allocated to each.
  - (iv) The time-phased plan in the form of a graphic display, showing each event, task, and decision point in the Work Plan.

**ATTACHMENT A**

**PROFESSIONAL SERVICES CONTRACT**  
**TERMS AND CONDITIONS**

The Michigan Strategic Fund (the "MSF") enters into a binding agreement for professional services (the "Agreement") with CONTRACTOR (the "Contractor"). The MSF and the Contractor shall sometimes be referred in this Agreement individually as a "Party" or collectively as "Parties."

**Contractor:**           Name  
                                  Address  
                                  Address

**I. NATURE OF SERVICES**

Contracts and Grants to fill in a description of the Nature of Services based upon the information in the CASE.

**II. PERFORMANCE SCHEDULE**

Starting Date: MONTH XX, 20XX

Ending Date: MONTH XX, 20XX

The term of this Agreement (the "Term") shall begin on the Starting Date and end on the Ending Date, unless terminated earlier, as permitted under Section V(J) of this Agreement.

**III. COMPENSATION INFORMATION**

- A) The MSF agrees to pay the Contractor an amount not to exceed XXX Dollars (\$XXX) during the Term. An initial payment in the amount of XXX Dollars (\$XXX) shall be made by the \*\*\* to the Contractor within thirty (30) days of the execution of this Agreement by both Parties (the "Initial Payment"). This amount includes all embedded expenses.
  
- B) Payment under this Agreement shall be made by the MSF to the Contractor upon receipt and approval by the Contract Manager, as identified in Section IV below, of the Contractor's billing statement(s) stating that the work for which payment is requested has been appropriately performed. The Contractor shall provide its billing statement(s) to the Contract Manager on a monthly basis or at the Contract Manager's direction. The Contract Manager shall provide the Contractor with appropriate submission instructions of the Contractor's billing statement(s).
  
- C) All billing statement(s) must reflect actual work done. The specific details of billing statement(s) and payments will be agreed upon between the Contract Manager and the Contractor after the Agreement has been signed and accepted by both the Contractor and the MSF.

- D) Public Act 533 of 2004 requires that payments under this Agreement be processed by electronic funds transfer (EFT). The Contractor is required to register to receive payments by EFT at the State Integrated Governmental Management Applications (SIGMA) Vendor Self Service (VSS) website ([www.michigan.gov/VSSLogin](http://www.michigan.gov/VSSLogin)).
- E) Changes in the budget will be allowed only upon prior review and written approval by the Contract Manager.
- F) The Contractor's billing statement(s) may be subject to a final audit prior to the release of final payment.

#### **IV. MSF CONTRACT MANAGER**

The Contractor should communicate with the following SHPO representative or designee regarding this Agreement:

Kathrine Kolokithas  
State Historic Preservation Office  
300 North Washington Square  
Lansing, Michigan 48913  
Kolokithask1@michigan.gov

#### **V. TERMS AND CONDITIONS**

##### **A) Contractor Duties**

The Contractor agrees to undertake, perform, and complete the services described in Exhibit A, which is incorporated herein by reference. In the event of any inconsistency between the provisions of Exhibit A and this Agreement, the provisions of this Agreement shall control.

##### **B) Independent Contractor**

The Contractor will act as an independent contractor under this Agreement, and neither the Contractor nor any employee or agent or contract personnel of the Contractor is, or shall be deemed to be, an employee of the MSF due to this Agreement and the relationship between the Contractor and the MSF. In its capacity as an independent contractor, the Contractor agrees to and represents the following:

- 1) The Contractor will provide the services under this Agreement free from the direction or control of the MSF as to means, manners, and methods of performance;
- 2) The Contractor has the right, and does fully intend, to perform services for third parties during the Term;
- 3) The Contractor acknowledges that any work product developed by the Contractor in performance of this Agreement shall be the sole property of the MSF and the MSF shall have the right to copyright or otherwise protect its rights in and ownership of the work product;
- 4) The services required by this Agreement shall be performed by the Contractor, or

the Contractor's employees or contract personnel, and the MSF shall not hire, supervise, or pay any assistants to help the Contractor;

- 5) Neither the Contractor nor the Contractor's employees or contract personnel shall receive any training from the MSF in the professional skills necessary to perform the services required by this Agreement;
- 6) Neither the Contractor nor the Contractor's employees or contract personnel shall be required by the MSF to devote full time to the performance of the services required by this Agreement; and
- 7) The Contractor does not receive the majority of its annual compensation from the MSF.

The Parties acknowledge and agree that the MSF is entering into this Agreement with reliance on the representations made by the Contractor relative to its independent contractor status.

C) **Permits and Licenses**

The Contractor declares that the Contractor has complied with all federal, state and local laws requiring any business permits, certificates or licenses required to carry out the services to be performed under this Agreement, and the Contractor will maintain those permits, certificates, and/or licenses throughout the Term.

D) **Materials**

The Contractor will furnish all materials, equipment and supplies used to provide the services required by this Agreement.

E) **State and Federal Taxes**

The MSF will not:

- 1) Withhold FICA (Social Security and Medicare taxes) from the Contractor's payments or make FICA payments on the Contractor's behalf; or
- 2) Make state or federal unemployment compensation contributions on the Contractor's behalf, or withhold state, federal, or local income tax from the Contractor's payments.

The Contractor shall pay all taxes incurred while performing services under this Agreement, including, but not limited to, all applicable income taxes. If requested by the MSF, the Contractor shall provide proof that such payments have been made.

F) **Fringe Benefits**

The Contractor understands that neither the Contractor nor the Contractor's employees or contract personnel are eligible to participate in any employee pension, health, vacation pay, sick pay, or other fringe benefit plan of the MSF.

G) **Workers' Compensation**

The MSF shall not obtain workers' compensation insurance on behalf of the Contractor or the Contractor's employees. If the Contractor hires employees to perform any work under this Agreement, the Contractor shall cover those employees with workers' compensation insurance and shall maintain such insurance during the Term. The MSF may, in its discretion, require the Contractor to provide evidence of such coverage.

H) **Unemployment Compensation**

The MSF shall make no state or federal unemployment compensation payments on behalf of the Contractor or the Contractor's employees or personnel. The Contractor will not be entitled to these benefits in connection with work performed under this Agreement. If the Contractor files a petition for and receives unemployment compensation, the total amount of unemployment compensation awarded to and received by the Contractor shall be deducted from and be an offset against the amount of compensation due and payable to the Contractor by the MSF under this Agreement.

I) **Access to Records**

During the Term, and for seven (7) years after the End Date, the Contractor shall maintain reasonable records, including evidence that the requested services actually were performed and the identity of all individuals paid for such services, and shall allow access to those records by the MSF or their authorized representative at any time during this period.

J) **Termination**

Either Party may terminate its obligations under this Agreement by giving the other Party thirty (30) calendar days prior written notice of such termination.

The MSF may immediately terminate this Agreement upon written notice to the Contractor if the Contractor materially breaches its obligations under this Agreement or engages in any conduct which the MSF, in its sole discretion, determines has or could have an adverse impact on the State of Michigan's (the "State") or the MSF's reputation or interests. In addition, the MSF may immediately terminate this Agreement upon written notice to the Contractor, without further liability to the MSF or the State, its departments, agencies, and employees, if the Contractor, an officer of the Contractor, or an owner of a 25% or greater share of the Contractor is convicted of a criminal offense relating to a State, public, or private contract or subcontract; or convicted of a criminal offense including, but not limited to, any of the following: embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property, attempting to influence a public employee to breach the ethical conduct standards for State employees; convicted under state or federal antitrust statutes; or convicted of any other criminal offense that, in the sole discretion of the MSF, reflects on the Contractor's business integrity.

The Contractor acknowledges that the MSF's performance of its payment obligation is dependent upon the continued approval of funding and/or the MSF's continued receipt of State funding. In the event that the State Legislature, the State Government or any State official, public body corporate, commission, authority, body or employees, including the MSF:

- (i) takes any action which fails to provide, terminates or reduces the funding that is related to the source of funding for this Agreement; or
- (ii) takes any action that is unrelated to the source of funding for this Agreement, but affects the MSF's ability to perform obligations under this Agreement, the MSF may terminate this Agreement by providing thirty (30) calendar days notice prior to the effective date of cancellation. In the event, however, that the action of the State Legislature, the State or the MSF results in an immediate absence or termination of funding, this Agreement may be terminated effective immediately upon delivery of notice to the Contractor. In the event of immediate termination of funding, the MSF will make payment through the effective date of termination for any undisputed services rendered and expenses incurred.

The MSF shall have no obligation to the Contractor for any fees or other payments incurred in connection with this Agreement after the effective date of termination. Upon termination, all work product prepared or produced by the Contractor pursuant to this Agreement shall be immediately delivered to the MSF. Payment for any undisputed services rendered and expenses incurred through the effective date of termination will then promptly be made by the MSF. Any Initial Payment made to the Contractor is subject to reimbursement in an amount determined by the Contract Manager in the event the Contractor terminates the Agreement prior to the Ending Date.

**K) MSF Employees**

The Contractor will not hire any employee of the MSF to perform any services covered by this Agreement without prior written approval from the President of the MSF.

**L) Confidential Information**

Except as required by law, the Contractor shall not use or disclose, either before, during or after the Term, any proprietary or confidential information, including, but not limited to, applications, business bids, business plans, economic development analyses, computer programs, databases and all materials furnished to the Contractor by the MSF (collectively, "Confidential Information") without the prior written consent of the MSF, except to the extent necessary to perform services on the MSF's behalf. Confidential Information does not include:

- (i) information obtained by the Contractor from third party sources;
- (ii) that is already in the possession of, or is independently developed by, the Contractor;
- (iii) that becomes publicly available other than through breach of this subsection; or
- (iv) is released with the prior written consent of the governmental entity or entities that provided the Confidential Information to the Contractor.

The Contractor acknowledges that all information provided by the MSF in connection with the Contractor's duties under this Agreement shall be treated as Confidential Information unless otherwise stated in this subsection.

**M) Conflict of Interest**

Except as has been disclosed to the MSF, the Contractor affirms that neither the Contractor nor its affiliates or their employees has, shall have, or shall acquire any contractual, financial business or other interest, direct or indirect, that would conflict in any manner with the Contractor's performance of its obligations under this Agreement or otherwise create the appearance of impropriety with respect to this Agreement. Generally speaking, this conflict of interest policy applies to any person who is paid in full or in part with Historic Preservation Fund ("HPF") or matching share monies, or who donates time or provides in-kind services to the HPF program. For purposes of the policy, "person" is defined as and means: the State Historic Preservation Officer; staff member of the State Historic Preservation Office ("SHPO"), including persons authorized to represent the SHPO or to perform in any official capacity for the SHPO; subgrantees and contractors paid in whole or part by HPF funds or whose time or salaries are used as allowable matching share; members of the State Historic Preservation Review Board and the Michigan Historical Commission; Certified Local Government Historic District Commission members, agents and staff; and the employees, agents, partners, associates, and family members of the persons listed above.

The Contractor further affirms that neither the Contractor nor any affiliates or their employees has accepted or shall accept anything of value based on an understanding that the actions of the Contractor or its affiliates or either's employees on behalf of the MSF would be influenced. The Contractor shall not attempt to influence any MSF employee by the direct or indirect offer of anything of value. The Contractor also affirms that neither the Contractor nor its affiliates or their employees has paid or agreed to pay any person, other than bona fide employees and consultants working solely for the Contractor or its affiliate, any fee, commission, percentage, brokerage fee, gift or any other consideration contingent upon or resulting from the execution of this Agreement.

In the event of a change in either the interests or services under this Agreement, the Contractor will inform the MSF regarding possible conflicts of interest that may arise as a result of such change. The Contractor agrees that conflicts of interest shall be resolved to the MSF's satisfaction or the MSF may terminate this Agreement. As used in this subsection, "conflict of interest" shall include, but not be limited to, conflicts of interest that are defined under the laws of the State.

**N) Representations of Contractor**

The Contractor affirms to the best of its knowledge that it or its owners:

- 1) do not have any criminal convictions;
- 2) are not subjects of any pending criminal investigation;
- 3) are not subjects of any past, present or pending investigations by the Internal Revenue Service or any other federal, state, local taxing authority, or court;



- 4) are not subjects of any past, pending or present litigation regarding its conduct; and
- 5) are not in material default or breach of any contract or agreement that it may have with the State, the MSF or any other public body.

The Contractor further represents and warrants that it has not been a party to any contract with the State, the MSF or other public body that was terminated within the previous five (5) years due to the Contractor's failure to perform or otherwise breached an obligation of such contract.

**O) State of Michigan Competitors**

Any information or knowledge the Contractor gains during the course of this Agreement concerning the economic development efforts of the State, the MSF or the business conditions or business community in the State shall not be disclosed to any public or private party, sovereign authority or foreign government, during the Term and for a period of two (2) years after the later of the End Date, the effective date of termination of this Agreement or so long as any information remains confidential pursuant to any contract, law, treaty, resolution or other enforceable promise.

**P) Irreparable Injury**

The Contractor acknowledges that if it breaches any of its obligations under subsections L or O, it will cause damages of an irreparable and continuing nature to the MSF, for which money damages alone will not provide adequate relief. Therefore, in addition to all appropriate monetary damages, the MSF is entitled to obtain injunctive relief, including, but not limited to, a temporary restraining order to prohibit the Contractor's continuing breach. The MSF shall have the right to obtain such relief without having to post any bond or other surety.

**Q) Indemnification and Contractor Liability Insurance**

The Contractor shall indemnify, defend, and hold harmless the MSF, its Board and its employees (the "Indemnified Parties") from any and all liability arising out of or in any way related to the Contractor's performance under this Agreement, including any liability resulting from any acts of the Contractor's employees or agents.

The Contractor shall purchase and maintain such insurance to protect the Indemnified Parties from claims that might arise out of or as a result of the Contractor's operations. The Contractor will provide and maintain its own errors and omissions liability insurance for the Contractor's indemnification obligation under this Agreement. The insurance shall be written for not less than One Million Dollars (\$1,000,000) of coverage, but the Contractor's indemnification obligation is not limited to this amount.

**R) Total Agreement**

This Agreement, together with Exhibit A, and the RFP contains the entire agreement between the Parties superseding any prior or concurrent agreements as to the services being provided and no oral or written terms or conditions which are not contained in this Agreement shall be

binding. This Agreement may not be changed except by written agreement signed by the Parties.

**S) Assignment/Transfer/Subcontracting**

The Contractor shall not assign, transfer, convey, subcontract, or otherwise dispose of any duties or rights under this Agreement without the prior specific written consent of the MSF. The Contractor agrees that any of the Contractor's future successors or subcontractors will be bound by the provisions of this Agreement, unless the MSF otherwise agrees in a specific written consent. The MSF reserves the right to approve subcontractors for this Agreement and to require the Contractor to replace subcontractors who are found to be unacceptable to the MSF.

**T) Non-Discrimination and Unfair Labor Practices**

In connection with this Agreement, the Contractor shall comply with the Elliott-Larsen Civil Rights Act, 1976 PA 453, MCL 37.2101 *et seq.*, the Persons with Disabilities Civil Rights Act, 1976 PA 220, MCL 37.1101 *et seq.*, and all other federal, state and local fair employment practices and equal opportunity laws and covenants that it shall not discriminate against any employee or applicant for employment with respect to his or her hire, tenure, terms, conditions, privileges of employment, or any matter directly or indirectly related to employment because of his or her race, religion, color, national origin, age, gender, height, weight, marital status, or physical or mental disability unrelated to the individual's ability to perform the duties of a particular job or position. The Contractor further agrees that every subcontract entered into in connection with this Agreement will contain a provision requiring nondiscrimination in employment, as required in this Agreement, binding upon each subcontractor.

Pursuant to 1980 PA 278, State Contracts with Certain Employees Prohibited Act (the "Act"), MCL 423.321 *et seq.*, the State shall not award a contract or subcontract to an employer whose name appears in the current register of employers failing to correct an unfair labor practice compiled by the United States National Labor Relations Board. The Contractor, in relation to this Agreement, shall not enter into a contract with a subcontractor, manufacturer, or supplier whose name appears on this register. Pursuant to section 4 of the Act, the MSF may void this Agreement if, after the Starting Date, the name of the Contractor as an employer or the name of the subcontractor, manufacturer or supplier of the Contractor appears on the register.

A breach of this subsection constitutes a material breach of this Agreement.

**U) Jurisdiction**

The laws of the State shall govern this Agreement. The Parties shall make a good faith effort to resolve any controversies that arise regarding this Agreement. If a controversy cannot be resolved, the Parties agree that any legal actions concerning this Agreement shall be brought in the Ingham County Circuit Court in Ingham County, Michigan, USA. By signing this Agreement, the Contractor acknowledges that it is subject to the jurisdiction of this court and agrees to service by first class or express delivery wherever the Contractor resides, in or outside of the United States.

V) **Compliance with Laws**

The Contractor shall comply with all applicable state, federal and local laws and ordinances in providing the services under this Agreement.

W) **No Partnership or Agency Relationship**

This Agreement does not create a partnership relationship. Further, neither the Contractor nor the Contractor's employees or other representatives shall hold themselves out to third parties as an agent or representative of the State or the MSF nor shall they have any authority to take any action or enter into any agreement on behalf of the State or the MSF.

X) **No Third Party Beneficiaries**

There are no expressed or implied third party beneficiaries to this Agreement.

Y) **Counterparts**

This Agreement may be executed in one or more counterparts and by facsimile, each of which shall constitute an original, and all of which together shall constitute one and the same instrument.

Z) **Reimbursement**

If this Agreement is terminated as a result of the misuse of funds as reasonably determined by the MSF, the MSF shall have no further obligation to make any payments to the Contractor. Furthermore, the Contractor shall reimburse the MSF for payments which were expended for purposes other than those described in this Agreement, as well as any funds that were previously disbursed under this Agreement but not yet expended by the Contractor.

AA) **Severability**

All of the clauses of this Agreement are distinct and severable and, if any clause shall be deemed illegal, void or unenforceable, it shall not affect the validity, legality or enforceability of any other clause or provision of this Agreement. To the extent possible, the illegal, void or unenforceable provision shall be revised to the extent required to render the Agreement enforceable and valid, and to the fullest extent possible, the rights and responsibilities of the Parties shall be interpreted and enforced to preserve the Agreement and the intent of the Parties. Provided, if application of this Section V(AA) should materially and adversely alter or affect a Party's rights or obligations under this Agreement, the Parties agree to negotiate in good faith to develop a structure that is as nearly the same structure as the original Agreement (as may be amended from time to time) without regard to such invalidity, illegality or unenforceability.

BB) **Publicity**

At the request and expense of the MSF, the Contractor will cooperate with the MSF to promote the Scope of Work through one or more of the following: the placement of a sign, plaque, media coverage or other public presentation in the Historic District or at another location acceptable to the Parties.

CC) **Survival**

The terms and conditions of sections III, V(B), V(E), V(F), V(G), V(H), V(I), V(L), V(O), V(P), V(Q), V(S), V(U), V(W), V(X), V(Z) and V(AA) shall survive termination of this Agreement.

The signatories below warrant that they are empowered to enter into this Agreement.

**CONTRACTOR ACCEPTANCE:**

CONTRACTOR

Dated: \_\_\_\_\_

\_\_\_\_\_  
By: Authorized Signer  
Its: Title

**MSF ACCEPTANCE:**

Michigan Strategic Fund

Dated: \_\_\_\_\_

\_\_\_\_\_  
By: Valerie Hoag  
Its: MSF Fund Manager

State Historic Preservation Office

Dated: \_\_\_\_\_

\_\_\_\_\_  
By: Martha MacFarlane-Faes  
Its: Deputy State Historic Preservation Officer

**ATTACHMENT B**

**INDEPENDENT PRICE DETERMINATION AND  
PRICES HELD FIRM CERTIFICATION**

**INDEPENDENT PRICE DETERMINATION**

By submission of a proposal, the bidder certifies, and in the case of a joint proposal, each party thereto certifies as to its own organization, that in connection with this Proposal:

1. The prices in the Proposal have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition as to any matter relating to such prices with any other bidder or with any competitor;
2. Unless otherwise required by law, the prices which have been quoted in the Proposal have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to award directly or indirectly to any other bidder or to any competitor; and
3. No attempt has been made or will be made by the bidder to induce any other person or firm to submit or not submit a proposal for the purpose of restricting competition.

Each person signing the Proposal certifies that she/he:

- A) Is the person in the bidder's organization responsible within that organization for the decision as to the prices being offered in the Proposal and has not participated (and will not participate) in any action contrary to 1, 2, and 3 above; or
- B) Is not the person in the bidder's organization responsible within that organization for the decision as to the prices being offered in the Proposal but has been authorized, in writing, to act as agent for the persons responsible for such decision in certifying that such persons have not participated (and will not participate) in any action contrary to 1, 2, and 3 above.

A Proposal will not be considered for award if this Attachment B has been altered so as to delete or modify Certification 1 or 3. If Certification 2 has been modified or deleted, the Proposal will not be considered for award unless the bidder provides, with this Attachment B, a signed statement which sets forth, in detail, the circumstances of the disclosure and the MSF determines that such disclosure was not made for the purpose of restricting competition.

**PRICES HELD FIRM**

LENGTH OF TIME PRICES ARE TO BE HELD FIRM: All rates quoted in bidder's Price Proposal will be firm for the duration of the Contract. No price changes will be permitted.

Signed \_\_\_\_\_

Date \_\_\_\_\_

## ATTACHMENT C

### 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**

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

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

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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.

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

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

Alternate I. (Grantees Other Than Individuals)

- A. The grantee certifies that it will or continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
  - (b) Establishing an ongoing drug-free awareness program to inform employees about--
    - (1) The dangers of drug abuse in the workplace;
    - (2) The grantee's policy of maintaining a drug-free workplace;
    - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
    - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
  - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
  - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will -
    - (1) Abide by the terms of the statement; and
    - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
  - (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
  - (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted --
    - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
    - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
  - (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a) (b). (c), (d), (e) and (f).
- B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

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

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

notice is made to such a central point, it shall include the identification number(s) of each affected grant.

DI-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**

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

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

- (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.

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SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

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TYPED NAME AND TITLE

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DATE

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