

Introduced by \_\_\_\_\_

First Reading \_\_\_\_\_

Second Reading \_\_\_\_\_

Ordinance No. \_\_\_\_\_

Council Bill No. B 80-14

**AN ORDINANCE**

appropriating funds for a historic preservation hands-on educational workshop as part of the 2014 historic preservation fund grant agreement with the Missouri Department of Natural Resources; and fixing the time when this ordinance shall become effective.

BE IT ORDAINED BY THE COUNCIL OF THE CITY OF COLUMBIA, MISSOURI, AS FOLLOWS:

SECTION 1. The sum of \$7,320.00 is hereby appropriated from the State Revenue Account No. 110-0120-462.10-00 GHPCTW to the Miscellaneous Contractual Account No. 110-0120-501.49-90 GHPCTW for a historic preservation hands-on educational workshop as part of the 2014 historic preservation fund grant agreement with the Missouri Department of Natural Resources.

SECTION 2. This ordinance shall be in full force and effect from and after its passage.

PASSED this \_\_\_\_\_ day of \_\_\_\_\_, 2014.

ATTEST:

\_\_\_\_\_  
City Clerk

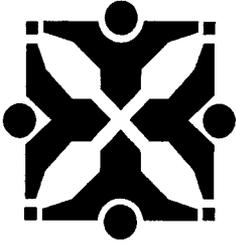
\_\_\_\_\_  
Mayor and Presiding Officer

APPROVED AS TO FORM:

\_\_\_\_\_  
City Counselor

CERTIFICATION: I certify there are sufficient funds available in the State Revenue Account No. 110-0120-462.10-00 GHPCTW to cover the above appropriation.

\_\_\_\_\_  
Director of Finance



Source: Community Development - Planning <sup>TT</sup>

Agenda Item No:

To: City Council

From: City Manager and Staff *MM*

Council Meeting Date: Apr 7, 2014

Re: Appropriating funds to host a historic preservation trades workshop using FY2014 Historic Preservation Fund grant monies (case #13-169).

**EXECUTIVE SUMMARY:**

Attached for Council consideration is an ordinance appropriating funds on behalf of the Historic Preservation Commission (HPC) to host a historic preservation trades hands-on workshop using FY14 Historic Preservation Fund (HPF) grant monies and funds designated in the HPC FY14 budget for this project. The total project cost is \$12,200; \$7,320 will be paid by the grant and the local match is \$4,880. The HPF grant is administered by the Missouri Department of Natural Resources on behalf of the Department of the Interior. Funding will support the hiring of a qualified consultant to put on a historic preservation trades workshop over three days, and the production of a highlight video of the workshop by the City Channel.

**DISCUSSION:**

The City of Columbia Historic Preservation Commission (HPC) was awarded a HPF grant to meet the needs of a growing community of historic property owners and preservationists for hands-on, technical training. The grant will support a three-day, intensive and hands-on educational workshop on historic preservation trades. Grant funds will also be used to pay the City Channel to film the workshops and produce a highlight video. The workshop will be open to the public at a minimal fee (for supplies/lunch; scholarships may be offered), and available digitally on the City Channel and City of Columbia Website 24-7. Digital recordings will also be available to check out in hard copy.

The workshop will be conducted in late summer/early fall of 2014 by a qualified historic preservation consultant. This consultant will be selected through a competitive request for qualifications (RFQ) process. Workshop topics will be tailored to address local interest and need, with each of the three workshop days devoted to aspects of the following topics: 1) interior and exterior paint; 2) flooring; and 3) windows. The consultant will provide an overview of how to approach each trade, common issues and opportunities, necessary tools and techniques, safety and abatement, and where to find additional resources.

The total project cost/grant award is \$12,200. The City will be reimbursed by the State of Missouri for 60% of project expenses, \$7,320, following project completion. The local 40% match, \$4,880, was anticipated in the HPC's FY14 budget request; \$1,000 will be in-kind donation of staff and commissioner time (as allowed under the terms of the grant agreement), and \$3,880 will be cash from the HPC's budget.

The grant application and subsequent grant agreement were authorized by the City Council on September 9, 2013. The grant agreement was signed by the State of Missouri representatives on March 5, 2014, and by City Manager Mike Matthes on March 11, 2014. The grant application is attached as Exhibit A, and the grant agreement is attached as Exhibit B.

**FISCAL IMPACT:**

The local grant match for this project was anticipated in the FY2014 HPC budget request.

**VISION IMPACT:**

<http://www.gocolumbiamo.com/Council/Meetings/visionimpact.php>

**2 Vision Statement:** Columbia protects and encourages the expression of its historic and natural character, uniting the community with sustainable, healthy planning and design, beautifying the streets and lives of its citizens.

**2.1 Goal:** Columbia will preserve its existing character and enhance the city's natural and man-made aesthetics.

**2.1.3 Strategy:** Establish neighborhood areas to feature distinct characteristic "looks," guide development and improve property appearance, and provide assistance to homeowners in order to foster neighborhood pride.

**2.2 Goal:** Historic areas will be identified, valued, and preserved through education, enforcement, and incentives.

**2.2.1 Strategy:** Develop a policy of identification, financial incentives such as tax abatement and tax credits, and resources for monitoring to encourage historic preservation.

**2.2.2 Strategy:** Seek federal preservation funds for use in community historic preservation.

**2.2.3 Strategy:** Educate neighborhoods of their historic importance and of incentives available for historic preservation

**SUGGESTED COUNCIL ACTIONS:**

Approval of the ordinance appropriating funds for a historic preservation trades work shop.

<b>FISCAL and VISION NOTES:</b>					
<b>City Fiscal Impact</b> Enter all that apply		<b>Program Impact</b>		<b>Mandates</b>	
City's current net FY cost	\$3,880.00	New Program/ Agency?	No	Federal or State mandated?	No
Amount of funds already appropriated	\$0.00	Duplicates/Expands an existing program?	No	<b>Vision Implementation impact</b>	
Amount of budget amendment needed	\$0.00	Fiscal Impact on any local political subdivision?	No	Enter all that apply: Refer to Web site	
Estimated 2 year net costs:		<b>Resources Required</b>		Vision Impact?	Yes
One Time	\$0.00	Requires add'l FTE Personnel?	No	Primary Vision, Strategy and/or Goal Item #	2.1
Operating/ Ongoing	\$0.00	Requires add'l facilities?	No	Secondary Vision, Strategy and/or Goal Item #	2.2
		Requires add'l capital equipment?	No	Fiscal year implementation Task #	

CFDA # 15-904

CLG\_\_Columbia\_\_

# FY 2014 HISTORIC PRESERVATION FUND GRANTS

## Planning/Outreach Projects Final Application

### I. PROJECT SUMMARY

**Property/Project Name:** \_\_\_\_\_ Historic Preservation Hands-On Educational Work Shop

**Project Cost:**

Federal: \$ \_\_\_\_\_ 7,320 \_\_\_\_\_ Non-Federal: \$ \_\_\_\_\_ 4,880 \_\_\_\_\_ Total Cost: \$ \_\_\_\_\_ 12,200 \_\_\_\_\_

**Proposed Work Summary:**

The City of Columbia Historic Preservation Commission (HPC) seeks grant funding to provide technical assistance to a growing community of historic property owners and enthusiasts. Funding would support a three-day, intensive and hands-on educational work shop on historic preservation. The work shop would be open to the public at a minimal fee, and available digitally on the City Channel and City of Columbia Website 24-7. Digital recordings will also be available to check out in hard copy. The educational work shop will be conducted by a qualified historic preservation consultant. Work shop topics are based upon local interest and need. Understanding the constraints of a three-day work shop, the selected consultant will work with the Historic Preservation Commission to tailor the workshop to the unique needs and characteristics of the local community of preservationists. Topics will be introductory in nature, with each of the three workshop days devoted to aspects of the following topics: 1) interior and exterior paint; 2) flooring; and 3) windows. Each topic will give an overview of how to approach the trade, common issues and opportunities, necessary tools and techniques, safety and abatement, and where to find additional resources.

### Part I. APPLICANT DATA

1. **Project Sponsor/Applicant:** \_\_City of Columbia, Department of Community Development on behalf of the City of Columbia Historic Preservation Commission\_\_

Receiving Official: \_\_\_\_\_ Mike Matthes, City Manager \_\_\_\_\_

Address: \_\_\_\_\_ PO Box 6015 \_\_\_\_\_

City: \_\_\_\_\_ Columbia \_\_\_\_\_ State: \_\_\_\_\_ MO \_\_\_\_\_ Zip: \_\_\_\_\_ 65205 \_\_\_\_\_

2. **Contact Person/**

**Project Manager:** \_\_Rachel Bacon, AICP\_\_\_\_\_ E-mail: \_\_\_\_\_ ribacon@gocolumbiamo.com\_\_

Title: \_\_\_\_\_ Planner \_\_\_\_\_ Phone: \_\_\_\_\_ 573-817-5006 \_\_\_\_\_

Address: \_\_\_\_\_ PO Box 6015 \_\_\_\_\_

City: \_\_\_\_\_ Columbia \_\_\_\_\_ State: \_\_\_\_\_ MO \_\_\_\_\_ Zip: \_\_\_\_\_ 65205 \_\_\_\_\_

**3. Please provide the following information:**

U.S.Representative:\_\_\_\_ Vicky Hartzler \_\_\_\_\_District: \_\_4\_\_\_\_

State Senator: \_\_\_\_\_ Kurt Schaefer \_\_\_\_\_ District: \_\_19\_\_\_\_

State Representative: \_\_\_\_ Chris Kelly \_\_\_\_\_District: \_\_45\_\_\_\_

## Part II. PRODUCT PROPOSAL

(Complete address information if applicable to this project.)

1. **Name of Project:** Historic Preservation Hands-On Educational Work Shop  NHL  
**Property Address:** \_\_\_\_\_  Nat. Reg. Listed  
**City:** \_\_\_\_\_ Columbia \_\_\_\_\_ **County:** \_\_\_\_\_ Boone \_\_\_\_\_  Not Listed
2. **Project Type:** (check one) \_\_\_ Planning \_\_\_  Outreach \_\_\_ Other
3. **Project Description/Scope of Work:**

The City of Columbia and the City of Columbia Historic Preservation Commission will contract with a qualified historic preservation consultant to develop a hands-on educational workshop for historic preservationists in Columbia, MO. The workshop will also be available to the public at-large via a professionally recorded and produced digital video (of the keynote address and/or highlights from each workshop session) of the workshop to be shown on the City Channel and available for download on the City of Columbia website. Copies will also be available for check out at City Hall and the Daniel Boone Public Library. The specifics of the three topics (each covered over one day), and the design/format of the three-day work shop will be developed by the consultant and the Historic Preservation Commission. After informal consultation with the local preservation community for interest and need, the HPC found it most desirable to host sessions on three topics- paint, floors and windows- and in a format such that participants may choose to attend one or all of the topic days.

*Note: The three workshop days may or may not be consecutive, depending upon the travel needs of the consultant and other applicable considerations.*

In addition to local preservationists and property owners and the Historic Preservation Commission, this work shop will also be open for participation by Missouri CLGs and other individuals desiring to learn the trade of historic property restoration and repair.

Throughout the three days, the work shop will include three specific outreach and education components:

1. A 90-minute introductory presentation giving an overview on the three work shop topics. This presentation will be open to the general public and will be free of charge. The timing of this presentation will either occur prior to the start of the work shop as an introduction to the topics or will be held at a time convenient for a broader audience, such as a Saturday afternoon.
2. Three single day (one topic each day) focused work shops for 5-10 registered participants. Participants may register for one or more of the days.
  - The consultant will prepare an advance study packet for participants with a list of tools and materials to bring and appropriate dress (most materials will be provided on-site)
3. A digital recording of the high points of the introductory presentation and work shop to be shown on the City Channel, available for electronic viewing on the City of Columbia website, and available for check out at the Daniel Boone Public Library and City Hall.
  - The consultant will also be asked to prepare a written flier/brochure of commonly asked questions and answers and tips to accompany the digital recording, with a listing of additional resources recommended to provide additional technical assistance on the topics covered.

As applicable to each of the three topics, the hands-on workshop will include:

- Condition Assessment: How to survey to determine suitability of repair vs. replacement, necessary abatements & skill limitations

- Treatments: Specific methods, materials and techniques to apply
- Planning: Project planning, organization, logistics
- Cost Estimate: Understanding material and labor cost and professional assistance if appropriate
- Maintenance: Detailed treatments and schedules for ongoing care

**Participant Eligibility:**

The work shop will be open, via advanced registration, to all homeowners, tradespeople, architects, and other historic building professionals. All applicants should be in good health, able to do light to moderate physical work, and have health insurance. Reasonable accommodations for physical limitations will be made by request. Participants will be able to register for one or each of the three days.

Applications for the work shop will be developed by City Staff with review by the HPC and the consultant. An early registration period will be open to residents or property owners within the City of Columbia. Thereafter, remaining registration spots will be open to non-City residents/property owners. A small registration fee will be charged to offset the cost of lunch, refreshments, and additional materials not otherwise covered by grant funds.

**CONSULTANT SELECTION:**

The City of Columbia, with oversight by the HPC and the State Historic Preservation Office (SHPO), will develop a Request for Qualifications (RFQ) describing the scope of work and desired qualifications. The RFQ will be advertised for thirty days following the grant award. A qualified consultant will be chosen by the HPC based upon the following criteria:

1. Is the consultant a recognized and well-respected preservationist in the field?
2. Is the contractor willing and able to conduct the local work shop on the proposed topics and meet the requirements in the scope of work?
3. What are the consultant's fees for the scope of work, including travel/lodging fees?
4. As included in the consultant fees, what materials and supplies will be provided?
5. What is the contractor's motivation for conducting preservation work shops?
6. References from prior clients for similar projects.

#### 4. Project Benefits:

1. The local community's need for preservation education and resources is not currently being met due to a lack of qualified consultants. This grant-funded project will bring much-needed hands-on instruction to those in the community wishing to learn how to preserve the original features of their buildings but who cannot afford the cost of tuition, fees and travel to attend restoration workshops offered by professionals in the field of preservation trades in other locations.
2. In the preservation field, the common adage "the greenest building is one that is already built" applies to the local desire to preserve the physical heritage while promoting sustainable living. Buildings built prior to 1920 have been shown by the National Trust to have inherent energy saving qualities surpassing energy-efficiency not seen until very recent building code requirements. Additionally, preserving existing buildings captures the embodied energy and harvested resources they contain, and rehabilitation can make historic structures much more energy efficient, with long-term benefits not only to property owners and tenants, but the community at large.
3. In addition to energy cost savings, the project will also provide education on the value of sustainability and the environment and the relationship between historic preservation and sustainability.
4. The project will educate on the economic benefits of historic preservation via energy savings, increased property values, and the related impact on the local economy produced by the buying of materials, hiring of tradespeople, and other tangible and intangible economic benefits.
5. The project will, in relation to #4, bring to the forefront the benefit of "repair rather than replace" and demonstrate to the local building suppliers the financial benefits of supplying materials required for local historic building projects.
6. The project will educate local property owners on the value of their building's original fabric and how historic buildings were constructed to work as "one unit."
7. The project will give participants an opportunity to learn a new trade and skill in an area where the trade is badly needed, information and skills they will be able to share within and throughout the community, and also offer networking opportunities among historic property owners and those wishing to enter into this field.
8. This opportunity will allow the HPC to learn valuable skills and information they can then pass along when asked for technical assistance by the community and this opportunity will apply towards the yearly training and education requirements as required in the Certified Local Government Agreement with the State of Missouri.

**5. Discuss community support for the project and describe how the project furthers local and state preservation goals. (If necessary, request a copy of the current Statewide Historic Preservation Plan from the SHPO or find the plan at <http://www.dnr.mo.gov/shpo/docs/2011-17MoPresHorizons.pdf>.)**

This work shop will address goals of the Historic Preservation Commission, the City of Columbia and the Statewide Historic Preservation Plan. At the local level, one of the HPC's most challenging ongoing goals, Technical Assistance for Historic Rehabbers, will be promoted by this project. The HPC recognizes there is a great need for local preservation trades education. The HPC also believes its members will be able to provide better technical assistance following the training, a great community benefit, and that more knowledge and skills will beget a chain reaction within the community as knowledge is shared and built upon. Additionally, the HPC feels that by showing the financial value and feasibility of historic repair and restoration to individual homeowners, this workshop will encourage, inform, and inspire local preservationists to invest in their own skills and their properties. This will have a greater community benefit in that property values will go up, energy will be saved, materials will be sold, tradespeople will be hired, and overall the local community will become more sustainable, aesthetically diverse and attractive, and desirable to residents and visitors alike.

The City of Columbia's preservation and sustainability goals will be met by this project as well provide education and identify incentives for rehabilitation. The City has long recognized the intrinsic ability of historic preservation to provide a sense of place, preserve cultural patrimony, and more recently, the role of historic preservation in economic development and sustainability. This work shop project will meet many of the City's Visioning Goals, as presented below:

**Community Character**

**2 Vision Statement:** Columbia protects and encourages the expression of its historic and natural character, uniting the community with sustainable, healthy planning and design, beautifying the streets and lives of its citizens.

**2.1 Goal:** Columbia will preserve its existing character and enhance the city's natural and man-made aesthetics.

**2.1.3 Strategy:** Establish neighborhood areas to feature distinct characteristic "looks," guide development and improve property appearance, property appearance, and provide assistance to homeowners in order to foster neighborhood pride.

**2.2 Goal:** Historic areas will be identified, valued, and preserved through education, enforcement, and incentives.

**2.2.1 Strategy:** Develop a policy of identification, financial incentives such as tax abatement and tax credits, and resources for monitoring to encourage historic preservation.

**2.2.2 Strategy:** Seek federal preservation funds for use in community historic preservation.

**2.2.3 Strategy:** Educate neighborhoods of their historic importance and of incentives available for historic preservation

At the state level, several statewide preservation goals will be addressed by offering specialized training to professionals, government officials and the general public: Increase public understanding, appreciation and support for the value of historic preservation (Goal 1); Strengthen and enhance historic preservation as an economic development tool (Goal 3); and make preservation at all levels of Missouri government a priority linking historic preservation to sustainable growth, environmentally sound policies, and economic development (Goals 1 and 2) by teaching how to repair rather than replace, and by offering an avenue for those considering the field of preservation trades (Goal 6).

**Part III. PROJECT BUDGET**

1. **Expenses:** For each cost item in your budget, indicate the total budgeted amount, breakdown of each item between federal and nonfederal funds, and whether the cost is a cash or inkind expense.

CATEGORY OF EXPENSE	NONFEDERAL/ CASH	NONFEDERAL INKIND	FEDERAL	TOTAL
Consultant Fee	\$3,880.00	\$	\$2,120.00	\$6,000.00
Lodging and Travel for Consultant	\$	\$	\$1,000.00	\$1,000.00
Work Shop Materials	\$	\$	\$300.00	\$300.00
Facility Rental	\$	\$	\$200.00	\$200.00
Filming/Film Production Materials- professional quality production and editing by the Columbia City Channel of the overview/highlight video of the work shop topics	\$	\$	\$3,500.00	\$3,500.00
Advertisement/Promotion/Registration Materials	\$	\$	\$200.00	\$200.00
Personnel (City Staff)- project management and administrative duties	\$1,000.00	\$	\$	\$1,000.00
	\$	\$	\$	\$
	\$	\$	\$	\$
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	\$	\$	\$	\$
	\$	\$	\$	\$
<b>TOTAL PROJECT COSTS</b>	<b>\$4,880.00</b>	<b>\$</b>	<b>\$7,320.00</b>	<b>\$12,200.00</b>

**2. Source of Local Share:**

a. Donor: City of Columbia, MO donation of staff time (project management and administrative duties). Source: City of Columbia, MO Circle one: In-Kind or <input checked="" type="checkbox"/> Cash	AMOUNT:	\$1,000.00
b. Donor: City of Columbia, MO Historic Preservation Commission Source: City of Columbia, MO Historic Preservation Commission annual budget Circle one: In-Kind or <input checked="" type="checkbox"/> Cash	AMOUNT:	\$3,880.00
c. Donor: Source: Circle one: In-Kind or <input type="checkbox"/> Cash	AMOUNT:	\$
d. Donor: Source: Circle one: In-Kind or <input type="checkbox"/> Cash	AMOUNT:	\$
e. Donor: Source: Circle one: In-Kind or <input type="checkbox"/> Cash	AMOUNT:	\$
f. Donor: Source: Circle one: In-Kind or <input type="checkbox"/> Cash	AMOUNT:	\$
<b>3. Local Share Grand Total:</b>		<b>\$4,880.00</b>

## **PART IV. APPLICANT CERTIFICATIONS**

The Applicant, the City of Columbia, Missouri, through the signature of the designated official authority or individual representing them, assures and certifies that they will comply with the regulations, policies, guidelines and requirements of the National Register Programs Guideline (NPS-49), including Office of Management and Budget Circulars A-21, A-87, A-102 & A-122, Executive Order 12372, and other appropriate state regulations as they apply to the application for grant assistance.

Also, the Applicant, the City of Columbia, Missouri, gives assurance and certifies with respect to the application that:

1. They possess legal authority to apply for the grant; that a resolution, motion, or similar action has been duly adopted or passed as an official act of application; or a method has been established to direct an authorized agent of the applicant who is empowered to act as official designee with regard to the application.
2. They will comply with special requirements imposed by the granting agency if, at a subsequent time, they receive any grant monies.
3. They will comply with minimum wage and maximum hour provisions of the Federal Fair Labor Standards Act.
4. They will have sufficient funds available to meet the non-federal share of the cost of project work as outlined in the grant application, and at the time of granting, all non-federal shares will be verifiable.
5. They will comply with Title VI of the Civil Rights Act of 1964 (42 USC, 2001d) prohibiting employment discrimination where: (1) the primary purpose is to provide employment, or (2) discriminatory employment practices will result in unequal treatment of persons who are, or should be, benefiting from the grant-supported activity.
6. They will, if subsequently awarded a grant, cause work on the project to commence within a reasonable amount of time after receipt of notification; and assure that the project will be carried to completion through a series of timely milestones.
7. They will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-3352) and, in accordance with Title VI of that Act, shall assure that no person in the United States shall be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination on the grounds of race, color, or national origin under any program or activity for which the applicant receives federal financial assistance.
8. They will carry out the project, as described in the grant application, in conformance with Secretary of the Interior's "Standards for Rehabilitation.
9. They will employ personnel who meet the requirements set forth in 36 CFR 61 for National Register and survey activities.
10. They will, if awarded a grant, submit to the granting agency copies of indirect cost agreements and curriculum vitae for all professional employees or contractors.
11. They will not commence project work prior to official notification of grant award unless written pre-approval has been given by the granting agency.
12. And, they assure and certify that, to the best of their knowledge, all data represented in the grant application is true and correct.

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**Signature of Applicant Verifying Authority: Mike Matthes, City Manager**

**Date**

Project Number: 29-14-121161-008  
CFDA No. 15-904  
HISTORIC PRESERVATION FUND GRANT AGREEMENT

Grantor: State of Missouri, Department of Natural Resources, Division of State Parks, State Historic Preservation Office, P.O. Box 176, Jefferson City, Missouri 65102, as the authorized representative of the United States Department of the Interior, National Park Service.

Grant Recipient: City of Columbia, Missouri  
Historic Preservation Hands-On Educational Workshop

Scope, Purpose and Description of Grant:

The Grant Recipient shall perform those activities and functions more fully set forth in Attachment A to this Grant Agreement, the provisions of which are expressly incorporated herein.

Term of Grant Agreement

Cost Share

Beginning Date: 02/21/2014  
Closing Date: 09/30/2015

Federal: \$7,320.00  
Local: \$4,880.00  
Total: \$12,200.00

Attachments: The following Attachments are expressly incorporated into this Grant Agreement and the Recipient agrees to be bound by the contents thereof.

- Attachment A - Scope, Purpose and Description of Grant Activities
- Attachment B - Terms and Conditions
- Attachment C - Excerpt from 36 CFR Part 61
- Attachment D - Standards for Determining Eligibility
- Attachment E - Listing of Eligible and Non-Eligible Expenditures
- Attachment F - Examples of Non-allowable Costs
- Attachment G - Procurement Standards

Execution:

Approval as to form:

FOR THE GRANTOR

FOR THE GRANT RECIPIENT

Mark A. Miles

Mark A. Miles  
Director, State Historic Preservation Office  
& Deputy State Historic Preservation Officer

MARCH 5, 2014

Date

for J. C. Kuesner

William J. Bryan  
Director, Missouri State Parks  
& Deputy State Historic Preservation Officer

March 5, 2014

Date

Wally Matt

City of Columbia, Missouri

3-11-14

Date

Please be advised that the Missouri Department of Natural Resources has not as yet received the final allocation from the federal Historic Preservation Fund. No final grant awards or reimbursements of allowable grant project costs will be made until the allocation is approved by Congress and signed by the President. Obligations of the State shall cease immediately if the Missouri Legislature, the President or Congress fail to appropriate or otherwise make available funds for this project.

ATTACHMENT A  
SCOPE, PURPOSE AND DESCRIPTION  
OF  
GRANT ACTIVITIES

## SCOPE, PURPOSE AND DESCRIPTION OF GRANT ACTIVITIES

City of Columbia, Missouri  
Historic Preservation Hands-On Educational Workshop  
Project No. 29-14-121161-008

Beginning Date: February 21, 2014

Closing Date: September 30, 2015

### I. SCOPE AND PURPOSE:

The purpose of this grant is to hire a consultant to produce a three-day intensive and hands-on educational workshop on historic preservation. Workshop topics will be introductory in nature and each day will be devoted to a different topic to include: 1) interior and exterior paint, 2) flooring, and 3) windows. Each topic will give an overview of how to approach the trade, common issues and opportunities, necessary tools and techniques, safety and abatement, and where to find additional resources. A 90-minute introductory presentation giving the overview of the workshops will be open to the general public and free of charge. The workshop itself will provide training to 5-10 participants and charge a minimal fee. A digital publication of the high points of the introduction and workshop will be made available to the public on the City Channel and City of Columbia Website. Additionally, this digital publication will be made available to check out in hard copy from at the Daniel Boone Public Library and City Hall.

### II. ACTIVITIES AND FUNCTIONS:

The City of Columbia will hire a 36 CFR Part 61 Appendix A qualified consultant in the appropriate field to produce a three-day intensive and hands-on educational workshop on historic preservation. This program will be open for participation by Missouri CLGs, owners of local historic properties and individuals wishing to learn one of the trades presented during the workshop.

The three-day workshop will be split into two separate formats:

- (1) A 90-minute introductory presentation giving an overview of the three workshop topics will be open to the general public, free of charge, and held prior to the commencement of the three-day intensive and hands-on workshop.
- (2) A consecutive or nonconsecutive three day intensive and hands-on workshop will be conducted by the consultant. Each day will have different topics including: 1) interior and exterior paint, 2) flooring, and 3) windows, and will be open to 5-10 registered participants including both trades people and homeowners. Each training day will give an overview of how to approach the trade, common issues and opportunities, necessary tools and techniques, safety and abatement, and where to find additional resources. The training will provide information that is consistent with the Secretary of the Interior's *Standards for the Treatment of Historic Properties*. A minimum registration fee will be charged to cover any costs not otherwise covered by the grant. Eligible applicants must be able to do moderate physical work and sign a liability waiver. Participants that meet eligibility requirements will be selected by the Historic Preservation Commission and must meet certain criteria including a demonstrated interest in learning the designated trade and a willingness to use those skills and share them with others.

Scope, Purpose and Description of Grant Activities  
City of Columbia, Missouri  
Historic Preservation Hands-On Educational Workshop  
Project No. 29-14-121161-008  
Page Two

Participants will receive in advance a study packet with a list of tools and materials to bring as well as appropriate dress (most materials will be provided on-site).

A digital recording that includes the high points of the training will be produced and aired on the City Channel. In addition, an electronic copy will be made available for public viewing on the City of Columbia's website. Copies will also be provided to the Daniel Boone Public Library and City Hall for check out.

**Three copies of all workshop materials and the final digital recording on DVD will be provided to the Missouri State Historic Preservation Office.**

### III. SPECIAL CONDITIONS:

- A. Any profit (program income) resulting from this grant project will be used to enhance the preservation of cultural resources in Missouri eligible for listing in the National Register of Historic Places. Any unspent grant funds remaining after the above listed activities of this project are concluded must be used for local preservation activities including, but not limited to, public outreach and education projects, preservation publications, and training. All expenditures of grant funds are subject to the approval of the grant monitor.
- B. It is agreed that if the project should fall one (1) month behind the milestones, the Missouri Department of Natural Resources (MDNR) has the right unilaterally to terminate or reduce the dollar amount of this agreement. In addition, if MDNR determines that full termination is warranted, MDNR shall be the sole authority in determining the amount of compensation owed.
- C. Media releases, announcements, brochures and other printed materials must contain the following statements:

***This workshop is partially funded by a grant from the Missouri Department of Natural Resources, State Historic Preservation Office and the U.S. Department of the Interior, National Park Service. Grant awards do not imply an endorsement of contents by the grantor. Federal laws prohibit discrimination on the basis of race, religion, sex, age, handicap or ethnicity. For more information, write to the Office of Equal Opportunity, U.S. Department of the Interior, Washington D.C. 20240.***

[The above must by federal law appear in any publication funded by federal monies, including films, videos or slide shows. It may be printed in any size and placed in any location in the publication.]

All printed materials must be approved in writing by the SHPO monitor before any payments are released. Project work will be submitted and payments made per the following milestone/payment schedule and project budget.

**MILESTONE/PAYMENT SCHEDULE**  
**City of Columbia, Missouri**  
**Historic Preservation Hands-On Educational Workshop**  
**Project No: 29-14-121161-008**

Beginning Date: February 21, 2014  
Closing Date: September 30, 2015

<u>Milestone</u>	<u>Product</u>	<u>Date Due</u>	<u>Federal Share</u>	<u>Local Share</u>
#1	Documentation of the consultant selection process and a draft of the consultant contract <b>prior to signature</b> submitted to SHPO for approval.	05/15/2014	\$ -0-	\$ -0-
#2	Submit signed contract with consultant and draft workshop agenda to monitor for approval.	07/01/2014	\$ -0-	\$ -0-
#3	Publish workshop applicant/participation criteria.	08/15/2014	\$ -0-	\$ -0-
#4	Planning meeting. Announce dates, advertise workshop, & distribute news releases after SHPO approval. Submit midterm budget report.	09/01/2014	\$ -0-	\$ -0-
#5	Hold workshop. Submit copies of all workshop materials (except digital recording) to SHPO.	11/01/2014	\$ -0-	\$ -0-
#6	Pay speaker expenses, facilities rent, etc. Submit digital recording of workshop to SHPO.	12/31/2014	\$ -0-	\$ -0-
#7	Submit financial report & final audit & billing data.	05/30/2015	\$7,320.00	\$4,880.00
<b>TOTALS</b>			<b>\$7,320.00</b>	<b>\$4,880.00</b>

Note: The City of Columbia, Missouri has requested one reimbursement payment to be made at the end of the project.

**BUDGET**  
**City of Columbia, Missouri**  
**Historic Preservation Hands-On Educational Workshop**  
**Project No: 29-14-121161-008**

Beginning Date: February 21, 2014

Closing Date: September 30, 2015

	Federal Share	Local Share	Total
Contractor	\$5,620.00	\$3,880.00	\$9,500.00
Travel	\$1,000.00		\$1,000.00
Supplies	\$500.00		\$500.00
Personnel		\$1,000.00	\$1,000.00
Other	\$200.00		\$200.00
<b>TOTALS:</b>	<b>\$7,320.00</b>	<b>\$4,880.00</b>	<b>\$12,200.00</b>

**ATTACHMENT B:**

**MISSOURI DEPARTMENT OF NATURAL RESOURCES  
Federal Subgrants  
General Terms and Conditions &  
STATE HISTORIC PRESERVATION OFFICE  
Additional Administrative Requirements/Survey & Planning Grants**

**Attachment B**  
**MISSOURI DEPARTMENT OF NATURAL RESOURCES**  
**Federal Subgrants**  
**General Terms and Conditions**

**I. Administrative Requirements**

These general terms and conditions highlight requirements which are especially pertinent to federal subgrants made by the Missouri Department of Natural Resources (MDNR). These general terms and conditions do not set out all of the provisions of the applicable laws and regulations, nor do they represent an exhaustive list of all requirements applicable to this award. These terms and conditions are emphasized here because they are frequently invoked and their violation is of serious concern.

In addition to these terms and conditions, the subgrantee must comply with all governing requirements of their subgrant, including the federal Common Rule (adopted by federal agencies and contained in specific Codes of Federal Regulation, for each federal agency, under the title "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). The Common Rule is fully incorporated by reference into these terms and conditions. The common rule as codified by the federal granting agency can be found at <http://www.whitehouse.gov/omb/grants/chart.html>

**A. Method of Payment.** The subgrantee will be reimbursed by the MDNR for all allowable expenses incurred in performing the scope of services. The subgrantee shall report project expenses and submit to the MDNR original invoices for payment as required by division/program per the subgrant agreement. The form must be completed with the MDNR invoiced amount and local share detailed. Invoices must provide a breakdown of project expenses by the budget categories contained in the subgrant budget. Invoices must be received by the MDNR per the subgrant agreement. No reimbursements will be made for expenditures incurred after the closing budget date unless a budget time period extension has been granted by the MDNR prior to the closing date.

1. Payments under non-construction grants will be based on the grant sharing ratio as applied to the total project cost for each invoice submitted unless the subgrant specifically provides for advance payments. Advance payments may only be made upon a showing of good cause or special circumstances, as determined by the MDNR. Advance payments will only be made on a monthly basis to cover estimated expenditures for a 30-day period or as otherwise agreed. The MDNR will not advance more than 25% of the total amount of the grant unless the recipient demonstrates good cause.
2. All reimbursement requests must have the following certification by the authorized subgrantee official: I certify that to the best of my knowledge and belief the data above are correct and that all outlays were made or will be made in accordance with the subgrant and that payment is due and has not been previously requested.

**B. Retention and Custodial Requirements for Records.** The subgrantee shall retain financial records, supporting documents, and other records pertinent to the subgrant for a period of three years starting from the date of submission of the final financial status report. Authorized representatives of federal awarding agencies, the Comptroller General of the United States, and the MDNR shall have access to any pertinent books, documents, and records of subgrantees in order to conduct audits or examinations. The subgrantee agrees to allow monitoring and auditing by the MDNR and/or authorized representative. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the subgrantee shall retain records until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

C. **Program Income.**

1. Subgrantees are encouraged to earn income to defray program costs. Program income means income from fees for services performed, from the use or rental of real or personal property acquired with grant funds, from the sale of commodities or items fabricated under the subgrant, and from payments of principal and interest on loans made with subgrant funds. Program income does not include items such as interest on grant funds, rebates, credits, discounts, or refunds.
2. Program income shall be deducted from outlays, which may be both state and subgrantee unless the MDNR, with approval of the federal awarding agency, as negotiated with the subgrantee, specifies an alternative method in the subgrant. The default deductive alternative requires that program income be deducted from total allowable costs to determine the net amount to which the respective matching ratios are applied. For example, 50/50 share ratio subgrant with total allowable costs of \$10,000 that earns \$1,000 in program income would result in \$4,500 net share and a \$4,500 net subgrant share.

D. **Match or Cost Share Funding.** In general, match or cost sharing represents that portion of project costs not borne by state appropriations. The matching share will usually be prescribed as a minimum percentage. In-kind (noncash) contributions are allowable project costs when they directly benefit and are specifically identifiable to the project or program. Any in-kind match must be assigned a fair market value stated in dollars and the rationale used to calculate the value must be provided. Neither costs nor the values of third party in-kind contributions count towards satisfying a cost sharing or matching requirement of a grant agreement if they have been or will be counted towards satisfying a cost sharing or matching requirement of another federal subgrant agreement, a federal procurement contract, or any other award of federal funds. Federal funds from another federal grant or subgrant shall not count towards satisfying a cost sharing or matching requirement of a grant agreement.

1. Match or cost share funding will be established by the MDNR through negotiation with the subgrantee. Signature by both the MDNR and subgrantee on the subgrant signature form firmly affixes the match or cost sharing ratios. Full expenditure of subgrantee match or cost share funding is required over the life of the subgrant. Subgrantee must invoice the MDNR, as required by the particular subgrant, and provide financial records for total expenditure of state and match or cost share funding. The MDNR will reimburse the subgrantee for its percentage portion agreed to less any negotiated withholding.
2. Failure to provide 100% of the match or cost share ratio of total expenditures as identified in the subgrant may cause the subgrantee to become ineligible to receive additional financial assistance from the MDNR. Failure to provide the required match may result in other enforcement remedies as stated in Y. for non-compliance.

E. **Financial Management Systems.** The financial management systems of subgrantees must meet the following standards:

1. **Financial Reporting.** Accurate, current, and complete disclosure of financial results of financially assisted activities must be made in accordance with the financial reporting requirements of the subgrant;
2. **Accounting Records.** Maintain records which adequately identify the source and application of funds provided for financially assisted activities. These records must contain information pertaining to subgrant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income;
3. **Internal Control.** Effective control and accountability must be maintained for all subgrantee cash, real and personal property, and other assets. Subgrantees must adequately safeguard all such property and must assure that it is used solely for authorized purposes;

4. **Budget Control.** Actual expenditures or outlays must be compared with budgeted amounts for each subgrant;
  5. **Allowable Costs.** Applicable OMB cost principles, federal agency program regulations, and the subgrant scope of work will be followed in determining the reasonableness, allowability, and allocability of costs;
  6. **Source Documentation.** Accounting records must be supported by such source documentation as canceled checks, paid bills, payrolls, time and attendance records, contract, and subgrant award document. The documentation must be made available by the subgrantee at the MDNR's request;
  7. The subgrantee shall have procedures in place to minimize the time lapsed between money disbursed by the MDNR and money spent by the subgrantee.
- F. **Reporting of Program Performance.** Subgrantee shall submit to the MDNR a performance report for each program, function, or activity as specified by the subgrant or at least annually and/or after completion of the project. Performance report requirements, if not expressly stated in the scope of work, should include, at a minimum, a comparison of actual accomplishments to the goals established, reasons why goals were not met, including analysis and explanation of cost overruns or higher unit cost when appropriate, and other pertinent information. Representatives of the MDNR shall have the right to visit the project site(s) during reasonable hours for the duration of the contract period and for three years thereafter.
- G. **Budget and Scope of Work Revisions.** Subgrantees are permitted to rebudget within the approved direct cost budget to meet unanticipated requirements. However, subgrantee must request approval in writing to revise budgets and scopes of work under the following conditions:
1. For non-construction grants, subgrantees shall obtain the prior approval of the MDNR, unless waived by the MDNR, for cumulative transfers among direct cost categories, or, if applicable, among separately budgeted programs, projects, functions or activities when the accumulative amounts of such transfers exceed or are expected to exceed 10% of the current total approved budget whenever the MDNR's share exceeds \$100,000.
  2. For construction and non-construction projects, subgrantees shall obtain prior written approval from the MDNR for any budget revision which would result in the need for additional funds.
  3. For combined non-construction and construction projects, the subgrantee must obtain prior written approval from the MDNR before making any fund or budget transfer from the non-construction to construction or vice versa.
  4. Subgrantees under non-construction projects must obtain prior written approval from the MDNR whenever contracting out, subgranting, or otherwise obtaining a third party to perform activities which are central to the purpose of the award.
  5. Changes to the scope of services described in the subgrant must receive prior approval from the MDNR. Approved changes in the scope of work or budget shall be incorporated by written amendment to the subgrant.
  6. Extending the grant past the original completion date requires approval of the MDNR.
- H. **Equipment Use.** Subgrantee agrees that any equipment purchased pursuant to this agreement shall be used for the performance of services under this agreement during the term of this agreement. The equipment shall

not be moved from the State of Missouri without approval from the MDNR. The following standards shall govern the utilization and disposition of equipment acquired with subgrant funds:

1. Title to equipment acquired under this subgrant will vest with the subgrantee on acquisition. Equipment means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost \$5,000 and greater.
  - a. Equipment shall be used by the subgrantee in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by MDNR funds. When no longer needed for the original program or project, the equipment may be used in other activities currently or previously supported by the MDNR or the federal agency. If the MDNR puts subgrantee on notice that it believes grant assets are not being used for the intended purpose, subgrantee shall not sell, give away, move or abandon the assets without the MDNR's prior written approval.
  - b. The subgrantee shall also make equipment available for use on other projects or programs currently or previously supported by the MDNR, providing such use will not interfere with the work on the projects or program for which it was originally acquired. First preference for other use shall be given to other programs or projects supported by the MDNR. User fees should be considered if appropriate.
  - c. The subgrantee must not use equipment acquired with MDNR funds to provide services for a fee to compete unfairly with private companies that provide equivalent services, unless specifically permitted or contemplated by state or federal law. This fee may be considered program income under Section C above.
  - d. When acquiring replacement equipment, the subgrantee may use the equipment to be replaced as a trade-in or sell the property and use the proceeds to offset the cost of the replacement property, subject to the approval of the MDNR.
2. Equipment Management. Subgrantee's procedures for managing equipment, whether acquired in whole or in part with subgrant funds, will, at a minimum, meet the following requirements until disposition takes place:
  - a. Subgrantee must maintain property records that include a description of the equipment, a serial number or other identification number, the source of property, the acquisition date, cost of the property, percentage of federal or state participation in the cost of the property, and the location, use and condition of the property.
  - b. A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.
  - c. A control system must be developed to ensure adequate safeguards to prevent against loss, damage, or theft of the property. Any loss, damage, or theft shall be reported to and investigated by local authorities. The subgrantee shall procure and maintain insurance covering loss or damage to equipment purchased with a sub-grant award, with financially sound and reputable insurance companies or through self-insurance, in such amounts and covering such risks as are usually carried by companies engaged in the same or similar business and similarly situated.
  - d. Subgrantee must develop adequate maintenance procedures to keep the property in good condition.
  - e. If the subgrantee is authorized or required to sell the property, proper sales procedures must be established to ensure the highest possible return.

3. **Disposition.** When original or replacement equipment acquired under a subgrant is no longer needed for the original project or program or for other activities currently or previously supported by the MDNR, subgrantee shall dispose of the equipment as follows:

- a. Items of equipment with a current per-unit fair market value of less than \$5,000 may be retained, sold or otherwise disposed of with no further obligation to the MDNR.
- b. For items of equipment with a current per unit fair market value of \$5,000 or more, the MDNR shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the MDNR's share of the equipment.
- c. In cases where a subgrantee fails to take appropriate disposition actions, the MDNR may direct the subgrantee how to dispose of the equipment.
- d. If the MDNR puts subgrantee on notice that it believes grant assets are not being used for the intended purpose, subgrantee shall not sell, give away, move or abandon the asset without MDNR's written approval.

I. **Supplies.** Title to supplies acquired under a subgrant will vest, upon acquisitions, in the subgrantee.

If there is a residual inventory of unused supplies exceeding \$5,000 in total aggregate fair market value upon termination or completion of the award, and if the supplies are not needed for any other federally sponsored programs or projects, the subgrantee shall compensate the department for its share.

J. **Inventions and Patents.** If any subgrantee produces subject matter, which is or may be patentable in the course of work sponsored by this subgrant, subgrantee shall promptly and fully disclose such subject matter in writing to the MDNR. In the event that the subgrantee fails or declines to file Letters of Patent or to recognize patentable subject matter, the MDNR reserves the right to file the same. The MDNR grants to the subgrantee the opportunity to acquire an exclusive license, including the right to sublicense, with a royalty consideration paid to the MDNR. Payment of royalties by subgrantee to the MDNR will be addressed in a separate royalty agreement.

K. **Copyrights.** Except as otherwise provided in the terms and conditions of this subgrant, the author or the subgrantee is free to copyright any books, publications, or other copyrightable material developed in the course of this subgrant; however, the MDNR and federal awarding agency reserve a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use, with the approval of MDNR, the work for government purposes.

L. **Prior Approval for Publications.** The subgrantee shall submit to the MDNR two draft copies of each publication and other printed materials which are intended for distribution and are financed, wholly or in part, by subgrant funds. The subgrantee shall not print or distribute any publication until receiving written approval by the grant manager.

M. **Mandatory Disclosures.** Subgrantee agrees that all statements, press releases, requests for proposals, bid solicitations, and other documents describing the program/project for which funds are now being awarded will include a statement of the percentage of the total cost of the program/project which is financed with federal and state money, and the dollar amount of federal and state funds for the program/project.

N. **Procurement Standards.** Subgrantees shall use their own procurement procedures provided that procurement conforms to standards set forth in the "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

1. No work or services, paid for wholly or in part with state or federal funds, will be

contracted without the written consent of the MDNR. See G.4.

2. Subgrantee agrees that any contract, interagency agreement, or equipment to be procured under this award which was not included in the approved work plan must receive formal MDNR approval prior to expenditure of funds associated with that contract, interagency agreement, or equipment purchase.

- O. **Audit Requirements.** The MDNR has the right to conduct audits of recipients at any time. The subgrantee shall arrange for independent audits as prescribed in OMB Circular A-133, Single Audit Act Amendments of 1996, as applicable. Audits must confirm that records accurately reflect the operations of the subgrantee, the internal control structure provides reasonable assurance that assets are safeguarded, and subgrantee is in compliance with applicable laws and regulations. When the subgrantee has its yearly audit conducted by a governmental agency or private auditing firm, the relevant portion(s) of the audit report will be submitted to the MDNR. Other portions of the audit shall be made available at the MDNR's request.
- P. **Allowability of Costs.** Allowability of costs shall be determined in accordance with cost principles contained in OMB Circular No. A-87 for state and local governments, and Circular No. A-122 for nonprofit organizations.
- Q. **Conflicts of Interest.** No party to this subgrant, nor any officer, agent, or employee of either party to this subgrant, shall participate in any decision related to such subgrant which could result in a real or apparent conflict of interest, including any decision which would affect their personal or pecuniary interest, directly or indirectly.

The subgrantee is advised that, consistent with Chapter 105, RSMo, no state employee shall perform any service for consideration paid by the subgrantee for one year after termination of the employee's state employment by which the former state employee attempts to influence a decision of a state agency. A state employee who leaves state employment is permanently banned from performing any service for any consideration in relation to any case, decision, proceeding, or application in which the employee personally participated during state employment.

- R. **State Appropriated Funding.** The subgrantee agrees that funds expended for the purposes of this subgrant must be appropriated and made available by the Missouri General Assembly for each fiscal year included within the subgrant period, as well as being awarded by the federal or state agency supporting the project. Therefore, the subgrant shall automatically terminate without penalty or termination costs if such funds are not appropriated and/or granted. In the event that funds are not appropriated and/or granted for the subgrant, the subgrantee shall not prohibit or otherwise limit the MDNR's right to pursue alternate solutions and remedies as deemed necessary for the conduct of state government affairs. The requirements stated in this paragraph shall apply to any amendment or the execution of any option to extend the subgrant.
- S. **Eligibility, Debarment and Suspension.** By applying for this award, the subgrantee verifies that it, its board of directors, and all of its principals are currently in compliance with all state and federal environmental laws and court orders issued pursuant to those laws, and that all environmental violations have been resolved (for example, no pending or unresolved Notices of Violation (NOV)) at the time of application. If compliance issues exist, subgrantee shall disclose to the MDNR all pending or unresolved violations noted in an NOV, administrative order, or civil and criminal lawsuit, but only where those alleged violations occurred in the past two years in the State of Missouri. The MDNR will not make any award at any time to any party which is debarred or suspended, under federal or state authority, or is otherwise excluded from or ineligible for participation in federal assistance under Executive Order 12549, "Debarment and Suspension." Subgrantee shall complete a Debarment/Suspension form when required by the MDNR. Furthermore, subgrantee is also responsible for written debarment/suspension certification of all subcontractors receiving funding through a federally funded grant.

- T. **Restrictions on Lobbying.** No portion of this award may be expended by the recipient to pay any person for influencing or attempting to influence the executive or legislative branch with respect to the following actions: awarding of a contract; making of a grant; making of a loan; entering into a cooperative agreement; or the extension, continuation, renewal, amendment or modification of any of these as prohibited by Section 319, Public Law 101-121 (31 U.S.C. 1352).

In accordance with the Byrd Anti-Lobbying Amendment, any recipient who makes a prohibited expenditure under Title 40 CFR Part 34 or fails to file the required certification or lobbying forms shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure.

- U. **Recycled Paper.** Consistent with Federal Executive Order 13101 and 13423 and EPA Executive Order 1000.25, the subgrantee shall use recycled paper consisting of at least 30% post consumer fiber and double sided printing for all reports which are prepared as a part of this grant award and delivered to the MDNR. The subgrantee must use recycled paper for any materials that it produces and makes available to any parties. The chasing arrows symbol representing the recycled content of the paper will be clearly displayed on at least one page of any materials provided to any parties.

- V. **Contracting with Small and Minority Firms, Women's Business Enterprise, and Labor Surplus Area Firms.** In accordance with Missouri Executive Order No. 05-30 and federal administrative provisions, all subgrantees shall make every feasible effort to target the percentage of goods and services procured from certified minority business enterprises (MBE) and women business enterprises (WBE) to 10% and 5%, respectively, when utilizing subgrant funds to purchase supplies, equipment, construction and services related to this subgrant.

1. The subgrantee agrees to take all necessary affirmative steps required to assure that small and minority firms and women's business enterprises are used when possible as sources when procuring supplies, equipment, construction and services related to the subgrant. The subgrantee agrees to include information about these requirements in solicitation documents. Affirmative steps shall include:
  - a. Placing qualified minority business and women's business enterprises on solicitation lists;
  - b. Ensuring that minority business and women's business enterprises are solicited whenever they are potential sources;
  - c. Dividing total requirements, when economically feasible, into small tasks or quantities to permit maximum participation by minority business and women's business enterprises;
  - d. Establishing delivery schedules, where the requirements of work will permit participation by minority business and women's business enterprises;
  - e. Using the services of the Small Business Administration and the Minority Business Development Agency of the U.S. Department of Commerce, and;
  - f. Requiring any prime contractor or other subgrantee, if subgrants are to be allowed, to take the affirmative steps in subparagraphs a. through e. of this section.
2. For EPA subgrants, the subgrantee agrees to submit to the MDNR grants manager a completed Form 5700-52A, U. S. Environmental Protection Agency MBE/WBE Utilization Under Federal Grants, Cooperative Agreement, and Interagency Agreements within 30 days after the end of each federal/state fiscal year or as determined by the MDNR.
3. For EPA subgrants, the subgrantee agrees to include disadvantaged business enterprises in the affirmative steps indicated above.

- W. **Disputes.** Subgrantee and the MDNR should attempt to resolve disagreements concerning the administration or performance of the subgrant. If an agreement cannot be reached, the MDNR program director will

provide a written decision. Such decision of the program director shall be final unless a request for review is submitted to the division director within ten (10) business days after the program director's decision. Such request shall include: (1) a copy of the program director's final decision; (2) a statement of the amount in dispute; (3) a brief description of the issue(s) involved; and (4) a concise statement of the objections to the final decision. A decision by the division director shall constitute final MDNR action.

**X. Termination**

1. **Termination for Cause.** The MDNR may terminate any subgrant, in whole or in part, at any time before the date of completion whenever it is determined that the subgrantee has failed to comply with the terms and conditions of the subgrant. The MDNR shall promptly notify the subgrantee in writing of such a determination and the reasons for the termination, together with the effective date. The MDNR reserves the right to withhold all or a portion of grant funds if the subgrantee violates any term or condition of this subgrant.
2. **Termination for Convenience.** Both the MDNR and subgrantee may terminate the subgrant, in whole or in part, when both parties agree that the continuation of the project would not produce beneficial results commensurate with the further expenditure of funds.
3. This agreement is not transferable to any person or entity.

**Y. Enforcement; Remedies for Noncompliance.** If a subgrantee falsifies any award document or materially fails to comply with any term of a grant, award, or subgrant, the MDNR may take one or more of the following actions, as appropriate:

1. Suspend or terminate, in whole or part, the current award or grant.;
2. Disallow all or part of the cost of the activity or action not in compliance;
3. Temporarily withhold cash payments pending subgrantee's correction of the deficiency;
4. Withhold further awards from the subgrantee;
5. Order subgrantee not to transfer ownership of assets purchased with grant money without prior MDNR approval; or
6. Take other remedies that may be legally available, including cost recovery, breach of contract, and suspension or debarment.

**Z. Subgrantee's Signature.** The subgrantee's signature on the application and the award documents signifies the subgrantee's agreement to all of the terms and conditions of the award.

**AA. Human Trafficking. This requirement applies to non-profit recipients or subrecipients.** The subgrantee, their employees, subrecipients under this award, and subrecipients' employees may not engage in severe forms of trafficking in persons during the period of time that the award is in effect; procure a commercial sex act during the

period of time that the award is in effect; or use forced labor in the performance of the award or subawards under the award. The department has the right to terminate unilaterally: (1) implement section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), noncompliance that are available to the subgrantee under this award.

- BB. **Illegal Immigration.** As per HB 1549, 1771, 19395 & 2366 - Section 67.307 2. Any municipality that enacts or adopts a sanctuary policy will be ineligible for moneys provided through grants administered by any state agency or department until the policy is repealed or is no longer in effect.
- CC. **Illegal Immigration – Missouri Statutes – RSMo 285.525 – 285.550 Effective January 1, 2009.** Effective January 1, 2009 and pursuant to RSMo 285.530 (1), no business entity or employer shall knowingly employ, hire for employment, or continue to employ an unauthorized alien to perform work within the state of Missouri.
- DD. **Management Fees.** Management fees or similar charges in excess of the direct costs and approved indirect rates are not allowable. The term “management fees or similar charges” refers to expenses added to the direct costs in order to accumulate and reserve funds for ongoing business expenses, unforeseen liabilities, or for other similar costs which are not allowable under this agreement. Management fees or similar charges may not be used to improve or expand the project funded under this agreement, except to the extent the authorized as a direct cost of carrying out the scope of work.

## II. Statutory Requirements

Subgrantees must comply with all federal state and local laws relating to employment, construction, research, environmental compliance, and other activities associated with grants from the MDNR. Failure to abide by these laws is sufficient grounds to cancel the award. For a copy of state and federal laws that typically apply to grants from the MDNR, contact the MDNR grants manager.

Any subgrantee, in connection with its application for financial assistance, shall include a certification that the subgrantee, its board of directors and principals are in compliance with the specific federal and state laws set out below. Further, the subgrantee shall report to the MDNR any instance in which the subgrantee or any member of its board of directors or principals is determined by any administrative agency or by any court in connection with any judicial proceeding to be in noncompliance with any of the specific federal or state laws set forth below. Such report shall be submitted within ten (10) working days following such determination. Failure to comply with the reporting requirement may be grounds for termination of this subgrant or suspension or debarment of the subgrantee

- A. Laws and regulations related to nondiscrimination:
  - 1. Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin;
  - 2. Title VII of the Civil Rights Act of 1964 found at 42 U.S.C. §2000(e) et.seq. which prohibits discrimination on the basis of race, color, religion, national origin, or sex;
  - 3. Title IX of the Education Amendments of 1972, as amended (U.S.C. §§ 1681-1683 and 1685-1686) which prohibits discrimination on the basis of sex;

4. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of disability;
5. Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 621-634), which prohibits discrimination on the basis of age;
6. Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse;
7. Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
8. Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records;
9. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing;
10. Chapter 213 of the Missouri Revised Statutes which prohibits discrimination on the basis of race, color, religion, national origin, sex, age, and disability.
11. The Americans with Disabilities Act (P. L. 101-336), 42 U. S. C. §12101 et seq., relating to nondiscrimination with respect to employment, public services, public accommodations and telecommunications.
12. Any other nondiscrimination provisions in the specific statute(s) and regulations under which application for federal assistance is being made.
13. The requirements of any other nondiscrimination statute(s) and regulations which may apply to the application.

**B. State and Federal Environmental Laws:**

1. The Federal Clean Air Act, 42 U.S.C. § 7606, as amended, prohibiting award of assistance by way of grant, loan, or contract to noncomplying facilities.
2. The Federal Water Pollution Control Act, 33 U.S.C. § 1368, as amended, prohibiting award of assistance by way of grant, loan, or contract to noncomplying facilities.
3. The National Environmental Policy Act of 1969, 42 U.S.C. § 4321 et seq., as amended, particularly as it relates to the assessment of the environmental impact of federally assisted projects.
4. The National Historic Preservation Act of 1966, 16 U.S.C. § 470 et seq., as amended, relating to the preservation of historic landmarks.
5. Earthquakes - Seismic Building and Construction Ordinances, §§ 319.200 - 319.207, RSMo (Cum. Supp. 1990), relating to the adoption of seismic design and construction ordinances by certain cities, towns, villages and counties.
6. The Missouri Clean Water Law, Sections 644.006 to 644.141, RSMo.
7. The Missouri Hazardous Waste Management Law, Section, 260.350 to 260.430, RSMo.
8. The Missouri Solid Waste Management Law, Sections 260.200 to 260.245, RSMo.
9. The Missouri Air Conservation Law, Sections 643.101 to 643.190, RSMo.

- C. Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, 42 U.S.C. §§ 4601 and 4651 et seq., relating to acquisition of interest in real property or any displacement of persons, businesses, or farm operations.
- D. The Hatch Act, 5 U.S.C. § 1501 et seq., as amended, relating to certain political activities of certain State and local employees.
- E. The Archaeological and Historic Preservation Act of 1974 (Public Law 93-291) relating to potential loss or destruction of significant scientific, historical, or archaeological data in connection with federally assisted activities.
- F. The Wild and Scenic Rivers Act of 1968 (16 U.S.C. § 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- G. The flood insurance purchase requirements of § 102(a) of the Flood Disaster Protection Act of 1973 (Public Law 93-234) which requires Subgrantees in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
- H. The Privacy Act of 1974, P.L. 93-579, as amended prohibiting the maintenance of information about any individual in a manner which would violate the provision of the Act.
- I. Public Law 93-348 regarding the protection of human subjects involved in research, development and related activities supported by this award of assistance.
- J. The Laboratory Animal Welfare Act of 1966 (P. L. 89-544), 7 U.S.C. § 2131 et seq., pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
- K. The following additional requirements apply to projects that involve construction:
  1. The Davis-Bacon Act, as amended, 40 U.S.C. § 276a et seq., respecting wage rates for federally assisted construction contracts in excess of \$2000.
  2. The Copeland (Anti-Kickback) Act, 18 U.S.C. § 874, 40 U.S.C. § 276c.
  3. The Contract Work Hours and Safety Standards Act, 40 U.S.C. § 327 et seq.
  4. Convict labor shall not be used on construction projects unless by convicts who are on work release, parole, or probation.
  5. The Lead-Based Paint Poisoning Prevention Act (42 U. S. C. § 4801 et seq.) which prohibits the use of lead paint in construction or rehabilitation of residence structures.
- L. Trafficking Victims Protection Act of 2000, Section 106, as amended (22 U.S.C. 7104(g) relating to termination of contract award based should any employee of the department, recipient or subrecipient violate this act.
- M. Missouri House Bill 1549, 1771, 1395 & 2366 – Illegal Aliens and Immigration Status Verification – This bill change the laws regarding illegal aliens and immigration status verification. Effective January 1, 2009, no business entity or employer shall knowingly employ, hire for employment, or continue to employ an unauthorized alien to perform working within the state of Missouri.
- N. Federal Funding Accountability and Transparency Act of 2006 (S. 2590) – Required information on federal awards be made available to the public via a single searchable website. Federal awards include grants, subgrants, loans, awards, cooperative agreements and other forms of financial assistance.

STATE HISTORIC PRESERVATION OFFICE  
Additional Administrative Requirements/Survey & Planning Grants

**III. Additional Administrative Requirements**

The Grant Recipient shall apply the standards contained in State statutes, the National Register Program Guidelines (NPS-49), and the federal Common Rule (Adopted by 29 federal agencies and contained in the specific Codes of Federal Regulations, for each federal agency, under the title, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" or OMB Circular A-110 for Institutions of Higher Education, Hospitals, and other Nonprofit Organizations) in the administration of this grant and in particular those standards paraphrased as follows:

- A. Commencement of Work.** The Grant Recipient shall commence work on the project within sixty (60) calendar days from the Grant Agreement obligation date. Failure to meet the sixty-day work commencement requirement may result in the termination of the grant in accordance with subsection I-X.
- B. Applicable Preservation Standards.** All project work, if applicable, must meet the Secretary of the Interior's "Standards and Guidelines for Archeology and Historic Preservation."
- C. Professional Standards for HPF Work.** All persons employed or retained by the Grant Recipient to perform or supervise project work that must conform with the Secretary of the Interior's "Standards and Guidelines for Archeology and Historic Preservation", shall meet federal 36 CFR Part 61 qualifications for preservation professionals, which appears as Attachment C to the Grant Agreement.
- D. Hiring of Project Contractor Time Line.** If applicable, within thirty days of the date of this Grant Agreement, the Grant Recipient shall have hired a project contractor meeting the requirements of 36 CFR 61.
- E. Failure to Meet Milestones.** Failure to meet any milestone shall be considered cause, at the discretion of MDNR, for the termination of the grant in accordance with subsection I-X. Furthermore, if a project is behind a milestone by 30 calendar days, MDNR can, at its discretion, unilaterally terminate a Grant Agreement unless the required "notification of problems" procedures have been followed.
- F. Required Notification of Problems.** The Grant Recipient, as an obligation of this Grant Agreement, must immediately inform the MDNR of any problems which may lead to amendment of this grant action to include a 10% overall budget change, change in personnel, change in scope of work and any actions that may cause the Grant Recipient to fail to meet any milestone. Not informing MDNR of problems shall be considered cause, at the discretion of the MDNR, for the termination of the grant in accordance with subsection I-X.
- G. Required Conferences.** Upon one week's notice, a representative(s) of the Grant Recipient shall be available to confer with a representative(s) of the Missouri Department of

Natural Resources regarding project work and/or Grant Agreement administration so as to ensure work progress in accordance with this Grant Agreement.

**H. Acknowledgments.** Any publication based on activities supported by this grant assistance must contain the following acknowledgment or a portion of this statement, as appropriate, depending upon the content of the publication:

**(1) Publications**

The activity that is the subject of this (type of publication) has been financed (in part/entirely) with federal funds administered by the State Historic Preservation Office, Division of State Parks, Missouri Department of Natural Resources, and the (Federal Awarding Agency). However, the contents and opinions do not necessarily reflect the views or policies of the (Federal Awarding Agency) or the Missouri Department of Natural Resources, nor does the mention of trade names or commercial products constitute an endorsement or recommendation.

**(2) Equal Opportunity Statement for Publication**

This program received Federal funds from the National Park Service. Regulations of the U.S. Department of the Interior strictly prohibit unlawful discrimination in departmental Federally Assisted Programs on the basis of race, color, national origin, age or handicap. Any Person who believes he or she has been discriminated against in any program, activity, or facility operated by a recipient of Federal assistance should write to: Director of Equal Opportunity Program, U.S. Department of the Interior, National Park Service, P.O. Box 37127, Washington, D.C. 20013-7127.

**(3) Other Statements**

When issuing statements, press releases, requests for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with this grant assistance, all Grant Recipients, shall clearly state (1) the percentage of the total cost of the program or project which will be financed with Historic Preservation Fund monies, and (2) the dollar amount of Federal funds for the project or program.

**I. Reporting of Program Performance.** A Final Project Report, which appears as Exhibit 3 to Attachment B, shall be submitted at the end of the grant period. This report should include a comparison of actual accomplishments to the goals established, reasons why goals were not met, and other pertinent information. In addition, if a project is more than 45 days in arrears with regard to a given milestone, an interim report must be prepared to include both a report on the advancement toward completion of project work as well as expenses incurred to date. It must also include a timeline for expense closeout. Additionally, all Grant Recipients must submit a crossover form in September of the year funded to assess expenditure for that fiscal year unless otherwise directed by the MDNR.

**J. Ownership of Project Materials.** Unless stated elsewhere in this Grant Agreement, all products identified in Attachment A shall be the property of MDNR with the exception of photographic negatives, which may be retained by the Grant Recipient. Negatives retained must either be placed in public repositories or be maintained in such a way that the public will have access. Upon 24 hours notice, materials gathered pursuant to this agreement shall be available for inspection by MDNR.

**K. Political Activities.** Grant Recipients shall not allow the use of grant funds, equipment, or premises for political purposes; sponsor or conduct candidate meetings; or engage in voter registration, transportation activity, or other partisan political activities.

**L. Contingent Fees.** No person, agency or organization may be employed or retained to solicit or secure a grant or Grant Agreement upon agreement or understanding for a commission, percentage, brokerage, or contingent fee. The MDNR may withdraw the grant or deduct the contingent fee in full from any grant with respect to a Grant Recipient determined to be in violation of this section.

**M. Dual Compensation.** In the event the Grant Recipient, its employees, grantees, or agents are involved in multiple projects involving federal funding, and compensation is based upon the percentage of time allocated to the federal project, MDNR will not compensate the Grant Recipient for more than one hundred percent (100%) of such time.

**N. Succession.** By executing the Grant Agreement, the Grant Recipient expressly binds himself, his partners, successors, assigns, executors, and administrators.

**ATTACHMENT B**

**EXHIBIT 1**

**U. S. Department of Interior  
Assurance of Compliance  
(Title VI, Civil Rights Act of 1964)**

**U.S. DEPARTMENT OF THE INTERIOR  
ASSURANCE OF COMPLIANCE  
(TITLE VI. CIVIL RIGHTS ACT OF 1964)**

\_\_\_\_\_ (hereinafter called "Applicant-Recipient")  
(Name of Applicant-Recipient)

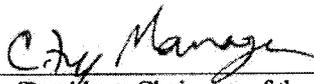
HEREBY AGREES THAT IT will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the department of the Interior Regulation (43 CFR 17) issued pursuant to that title, to the end that, in accordance with Title VI of that Act and Regulation, no person in the United States shall, on the ground of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant-Recipient receives financial assistance from the Missouri Department of Natural Resources and hereby gives assurance that it will immediately take any measures to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Applicant-Recipient by the Missouri Department of Natural Resources, this assurance obligates the Applicant-Recipient, or in the case of any transfer of such property, any transferee for the period during which the real property or structure is used for a purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance obligates the Applicant-Recipient for the period during which the Federal financial assistance is extended to it by the Missouri Department of Natural Resources.

THE ASSURANCE is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, Grant Agreements, property discounts or other Federal financial assistance extended after the date hereof to the Applicant-Recipient by the Missouri Department of Natural Resources, including installment payments after such date on account of arrangements for Federal financial assistance which were approved before such date. The Applicant-Recipient recognized and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall reserve the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant-Recipient, its successors, transferees, and assignees, and the person or persons whose signature appears below are authorized to sign this assurance on behalf of the Applicant-Recipient.

3-11-14  
DATED

  
APPLICANT-RECIPIENT

  
(President, Chairman of the Board or  
Comparable Authorized Official)

\_\_\_\_\_  
APPLICANT-RECIPIENT'S MAILING ADDRESS

**ATTACHMENT B**  
**EXHIBIT 2**  
**Mid-Term Budget Report**

**INSTRUCTIONS FOR HPF GRANT  
AGREEMENT MID-TERM BUDGET REPORT**

1. Use as many sheets as necessary to list all costs associated with the grant activity.																			
2. Enter the project name and assigned project grant number.																			
	<p><b>I. List expenditures by COST CATEGORY:</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 5%;"></td> <td style="padding: 5px;"> <p><b>A. Personnel/Fringe:</b> list each person on the payroll paid as a consultant, indicating name, date, check number. Attach time sheets if necessary.</p> </td> </tr> <tr> <td></td> <td style="padding: 5px;"> <p><b>B. Travel/Other/Equipment:</b> provide a short description of expenditures, bills, check numbers, check dates, and amounts.</p> </td> </tr> <tr> <td></td> <td style="padding: 5px;"> <p><b>C. Supplies:</b> same as for travel/other/equipment.</p> </td> </tr> <tr> <td></td> <td style="padding: 5px;"> <p><b>D. Contractor:</b> list costs paid under grant agreement with contractor. Include copies of contractor invoices and verification of payment made to contractor.</p> </td> </tr> <tr> <td></td> <td style="padding: 5px;"> <p><b>E. Indirect Cost:</b> indicate mathematical computation used to arrive at the dollar amount, then indicate dollar amount.</p> </td> </tr> <tr> <td></td> <td style="padding: 5px;"> <p><b>Special note: With regards to donated goods, services or equipment, such costs should be treated as follows for the purpose of listing expenditures:</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 5%;"></td> <td style="padding: 5px;"> <p>Donated <b>time</b> should be listed in category <b>A</b>. Therefore, all time records should be included as proof of expenditures in that section.</p> </td> </tr> <tr> <td></td> <td style="padding: 5px;"> <p>Donated <b>equipment</b> should be listed only in category <b>B</b>. All proofs and forms necessary to verify this type of donation should be inserted into this section.</p> </td> </tr> <tr> <td></td> <td style="padding: 5px;"> <p>Donated <b>goods</b> should be listed in either category <b>B</b> or <b>C</b>. All proofs and forms necessary to verify these types of donations should be inserted into those sections.</p> </td> </tr> </table> </td> </tr> </table>		<p><b>A. Personnel/Fringe:</b> list each person on the payroll paid as a consultant, indicating name, date, check number. Attach time sheets if necessary.</p>		<p><b>B. Travel/Other/Equipment:</b> provide a short description of expenditures, bills, check numbers, check dates, and amounts.</p>		<p><b>C. Supplies:</b> same as for travel/other/equipment.</p>		<p><b>D. Contractor:</b> list costs paid under grant agreement with contractor. Include copies of contractor invoices and verification of payment made to contractor.</p>		<p><b>E. Indirect Cost:</b> indicate mathematical computation used to arrive at the dollar amount, then indicate dollar amount.</p>		<p><b>Special note: With regards to donated goods, services or equipment, such costs should be treated as follows for the purpose of listing expenditures:</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 5%;"></td> <td style="padding: 5px;"> <p>Donated <b>time</b> should be listed in category <b>A</b>. Therefore, all time records should be included as proof of expenditures in that section.</p> </td> </tr> <tr> <td></td> <td style="padding: 5px;"> <p>Donated <b>equipment</b> should be listed only in category <b>B</b>. All proofs and forms necessary to verify this type of donation should be inserted into this section.</p> </td> </tr> <tr> <td></td> <td style="padding: 5px;"> <p>Donated <b>goods</b> should be listed in either category <b>B</b> or <b>C</b>. All proofs and forms necessary to verify these types of donations should be inserted into those sections.</p> </td> </tr> </table>		<p>Donated <b>time</b> should be listed in category <b>A</b>. Therefore, all time records should be included as proof of expenditures in that section.</p>		<p>Donated <b>equipment</b> should be listed only in category <b>B</b>. All proofs and forms necessary to verify this type of donation should be inserted into this section.</p>		<p>Donated <b>goods</b> should be listed in either category <b>B</b> or <b>C</b>. All proofs and forms necessary to verify these types of donations should be inserted into those sections.</p>
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	<p>Donated <b>goods</b> should be listed in either category <b>B</b> or <b>C</b>. All proofs and forms necessary to verify these types of donations should be inserted into those sections.</p>																		
	<p><b>II. The HPF GRANT AGREEMENT amount is the same amount as in the original Grant Agreement Budget federal or nonfederal share.</b></p>																		
	<p><b>III. MID-TERM SHARE AMOUNTS</b> list how much was actually spent to date for each share type: federal or nonfederal.</p>																		
	<p><b>IV. TOTAL EXPENDITURES</b> is the combined amount of both mid-term federal and nonfederal expenditures.</p>																		
3. Sign and date the completed form.																			

**Historic Preservation Fund Grants  
GRANT AGREEMENT MID-TERM BUDGET REPORT**

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

<b>COST CATEGORIES</b>	<b>HPF GRANT AGREEMENT FEDERAL SHARE TOTAL</b>	<b>MID-TERM REPORT FEDERAL SHARE TOTAL</b>	<b>HPF GRANT AGREEMENT NONFEDERAL SHARE TOTAL</b>	<b>MID-TERM REPORT NONFEDERAL SHARE TOTAL</b>	<b>TOTAL MID-TERM EXPENDITURES</b>
<b>Personnel/ Fringe:</b>					
<b>Travel/Other/ Equipment</b>					
<b>Supplies:</b>					
<b>Contractor:</b>					
<b>Indirect Cost:</b>					

COMMENTS:

Authorized Signature

Date

**ATTACHMENT B**

**EXHIBIT 3**  
**Final Project Report**

**Department of Natural Resources**  
 Division of State Parks, State Historic Preservation Office  
**FINAL PROJECT REPORT**

Project No.: 29-

Project Title:

Total Project Cost: \$

Amendments with  
 Approval Dates:

MAJOR WORK ITEMS	PLANNED	AMENDED	ACTUAL

**Major Cost Items:** (See Attached)

Publication

Name:

Date:

No. Copies.

**Additional  
 Information:**

**CERTIFICATION:**

I certify professionally qualified program and grants management staff of my organization have confirmed, through site visits and/or review of financial and performance reports, that work under this subgrant (or Grant Agreement) has been accomplished according to applicable laws, regulations, Secretary of the Interior's Standards, other program standards, grant management requirements specified in NPS-49, National Register Programs Guideline, and the terms and conditions of the applicable HPF grant.

Deputy State Historic Preservation Officer

Approval Date

National Park Service

Date

## Major Cost Categories

Project Number: 29-

Project Title :

Cost Category—Exhibit 1 Final Expenditures	Original Budget	Amended Amount	Actual Amount
A.	\$	\$	\$
B.	\$	\$	\$
C.	\$	\$	\$
D.	\$	\$	\$
E.	\$	\$	\$
F.	\$	\$	\$
G.	\$	\$	\$
H.	\$	\$	\$
I.	\$	\$	\$
J.	\$	\$	\$
K.	\$	\$	\$
L.	\$	\$	\$
M.	\$	\$	\$
N.	\$	\$	\$
O.	\$	\$	\$
P.	\$	\$	\$
Q.	\$	\$	\$
R.	\$	\$	\$
S.	\$	\$	\$
<b>TOTAL (\$)</b>	\$	\$	\$

**ATTACHMENT B**

**EXHIBIT 4**

**U. S. Department of the Interior  
Certification Regarding  
Debarment, Suspension, and Other Responsibility Matters  
Drug-Free Workplace  
Requirements and Lobbying**

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.

---

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

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

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

---

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

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

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

---

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

---

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

Alternate I. (Grantees Other Than Individuals)

A. The grantee certifies that it will or continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such 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)

---

---

---

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

---

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

---

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

Alternate II. (Grantees Who Are Individuals)

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

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

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

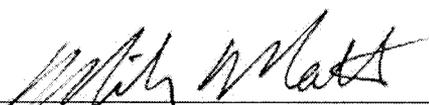
CHECK  IF CERTIFICATION FOR THE AWARD OF A FEDERAL LOAN EXCEEDING THE AMOUNT OF \$150,000, OR A SUBGRANT OR SUBCONTRACT EXCEEDING \$100,000, UNDER THE LOAN.

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

  
SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

Mike Mattes City Manager  
TYPED NAME AND TITLE

3-11-14  
DATE

**ATTACHMENT C**

**Excerpt from 36 CFR Part 61  
Qualifications for Preservation Professionals**

**EXCERPT FROM 36 CFR PART 61**  
**(Qualifications for Preservation Professionals)**

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In the following definitions, a year of full-time professional experience need not consist of a continuous year of full-time work but may be made up of discontinuous periods of full-time or part-time work adding up to the equivalent of a year of full-time experience.

(a) **HISTORY.** The minimum professional qualifications in history are a graduate degree in history or closely related field; or a bachelor's degree in history or closely related field plus one of the following: (1) At least two years of full-time experience in research, writing, teaching, interpretation or other demonstrable professional activity with an academic institution; or (2) Substantial contribution through research and publication to the body of scholarly knowledge in the field of history.

(b) **ARCHEOLOGY.** The minimum professional qualifications in archeology are a graduate degree in archeology, anthropology, or closely related field plus: (1) At least one year of full-time professional experience or equivalent specialized training in archeological research, administration, or management; (2) At least four months of supervised field and analytic experience in general North American Archeology; and (3) Demonstrated ability to carry research to completion. In addition to these minimum qualifications, a professional in prehistoric archeology shall have at least one year of full-time professional experience at a supervisory level in the study of archeological resources of the prehistoric period. A professional in historic archeology shall have at least one year of full-time professional experience at a supervisory level in the study of archeological resources of the historic period.

(c) **ARCHITECTURAL HISTORY.** The minimum professional qualifications in architectural history are a graduate degree in architectural history, art history, historic preservation, or closely related field, with coursework in American architectural history; or a bachelor's degree in architectural history, art history, historic preservation, or closely related field plus one of the following: (1) At least two years of full-time experience in research, writing, or teaching in American architectural history or restoration architecture with an academic institution, historical organization or agency, museum, or other professional institution; or (2) Substantial contribution through research and publication to the body of scholarly knowledge in the field of American architectural history.

(d) **ARCHITECTURE.** The minimum professional qualifications in architecture are a professional degree in architecture plus at least two years of full-time professional experience in architecture; or a State license to practice architecture.

(e) **HISTORIC ARCHITECTURE.** The minimum professional qualifications in historic architecture are a professional degree in architecture or a State license to practice architecture, plus one of the following: (1) At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or closely related field; or (2) At least one year of full-time professional experience on historic preservation projects. Such graduate study or experience shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

**ATTACHMENT D**

**Standards for Determining Eligibility**

# Standards For Determining Eligibility

## CONCEPT OF LOCAL MATCHING SHARE:

Historic Preservation Fund grant awards are federal monies that are made available through the Missouri State Historic Preservation Office in support of a wide range of administrative, direct and indirect costs incurred in conducting eligible historic preservation survey and planning activities.

A fundamental principle of these grants is that they are only partially funded with federal money and must be matched by the Grant Recipient with a local cost share. In general the matching ratio must be 60/40, that is, forty percent of the project cost must be provided by the Grant Recipient.

## GENERAL RULES FOR MATCHING SHARES:

The local matching share of a Historic Preservation Fund project may include:

- charges incurred by the Grant Recipient as project costs during the project period;
- project costs financed with cash contributions or donations to the Grant Recipient by other non-Historic Preservation Fund sources, including public agencies, institutions, and private organizations and individuals;
- project costs represented by services or real and personal property (or the use of these) contributed or donated by non-federal third parties during the project period. Where such in-kind contributions are made by the Federal government, they may be included in the Grant Recipient's matching share only if Federal legislation authorizes such inclusion.

All costs, whether cash or in-kind, will be accepted as contributing to part of the Grant Recipient's matching share only when such contributions meet all of the following criteria:

- 1.) are verifiable from the Grant Recipient's records;
- 2.) are not included as matching contributions for any other federally assisted program or any federal contract;
- 3.) are necessary and reasonable for proper and efficient accomplishment of approved project objectives;
- 4.) are contributed within the project period;
- 5.) are types of costs which are allowable under the applicable Federal and state regulations;
- 6.) are not derived from the federal government directly or indirectly under another assistance agreement unless authorized under the other agreement and the laws and regulations to which the other agreement is subject;
- 7.) are provided for in the approved Grant Agreement;
- 8.) and conform to all other provisions listed in this guide.

### **GENERAL RULES FOR DETERMINING ALLOWABILITY:**

General guidelines for establishing the allow ability of a matching share contribution is outlined below:

- 1.) Although the Missouri Department of Natural Resources prefers and encourages Grant Recipients to make required contributions in cash, either cash or in-kind contributions can qualify.
- 2.) In-kind contributions must be fairly valued and must be of such nature that if the federal share had been used to pay for the contribution, the Grant Recipient would have incurred an allowable cost. In-kind contributions are eligible only to the extent that they represent actual costs for which Historic Preservation Funds could be applied for project objectives. Any grant funds applied in excess of actual cost would constitute an unallowable profit to the Grant Recipient.
- 3.) Following project approval and signing of the Grant Recipient's Grant Agreement, non-federal share expenditures of cash will be recorded as they occur. All in-kind contributions must be recorded in the ledger accounts as grant costs when the in-kind services or goods are received. Records, including required supporting documentation, of in-kind services performed or goods received must be maintained on a current basis.
- 4.) Non-federal share contributions need not be made in exact time concurrence and proportion with withdrawal and expenditure of Historic Preservation Funds. During the first months of project operation, Grant Recipients may be authorized to expend a greater proportion of matching Historic Preservation Funds to meet project expenses than is required by the applicable matching ratio. However, the full matching share must be contributed by the end of the project period. This applies to all survey and planning activities.
- 5.) The local matching share is subject to audit, as is the federal share.
- 6.) Documentation of the basis for applying allowable indirect cost rates as matching share must be readily available.
- 7.) The basis for determining the matching share charges for personal services, materials, equipment, buildings, and land must be documented.
- 8.) Matching share costs will not be allowable if incurred prior to the effective date of the project grant award, whether or not the cost would have been allowable if incurred after such date, with one exception:

It is recognized that some costs must be incurred before a proposed project can be submitted to the Grantor with required descriptive and cost data. Therefore, such costs that are directly related to development of survey and planning projects may be considered eligible with the Grantor's concurrence.

### **GENERAL RULES FOR VALUATION OF IN-KIND CONTRIBUTIONS:**

General rules for establishing the value of in-kind contributions as an element of the local matching share are outlined below:

#### **Donated Services:**

- 1.) Volunteer services may be furnished by professional and technical personnel, consultants, and other skilled and unskilled labor. Volunteered services may be counted as matching share if they are integral and a necessary part of the approved grant project.
- 2.) Rates for volunteer services must be consistent with those regular rates paid for similar work in other activities of state government. In instances where the skills required for the Historic Preservation Fund assisted project are not found in the state government, rates used must be consistent with those rates paid for similar work in the labor market in which the grantor competes for the type of services involved.
- 3.) If a volunteer performs services outside his profession or trade, this volunteer time must be valued at the federal minimum wage rate. Unless a higher rate can be documented, all rates are subject to the Grantor's approval.
- 4.) Volunteers employed by other organizations are treated as follows: when an employer, other than the Grant Recipient or a university, furnishes the services of an employee to the grant project, these services will be valued at the employee's regular rate of pay (exclusive of fringe benefits and overhead cost), provided the services volunteered are in the same skill range for which the employee is normally paid.
- 5.) Review board contributions are treated as follows: only to the extent that items of cost would be allowable under state and local laws, regulations, and practices applicable to persons performing comparable duties and services, can such contributions be applied as matching share.

Time spent by a review board or any other advisory body member who is directly related to the development, conduct or administration of a Grant Recipient's project is allowable as matching share contribution to the extent that the contributed time is spent solely in the member's capacity as a member of the board. Time spent in meetings directly relating to approved program objectives which is chargeable as matching share must be documented by agenda, minutes of the meeting, and a separate time record, for each member. Travel time must be reasonable and meetings must be held in an easily accessible place. Unreasonable or undocumented donations of time will be subject to audit review and possible adjustment or disallowance.

- 6.) All volunteer services claimed as non-federal share must be substantiated by time cards or records that are signed by both the volunteer and his supervisor, just as are required for all salaried employees. Such records must show the actual hours worked and the specific duties performed. The records should also show the basis for determining the rate of the volunteer's contribution and such documentation must be available for audit.

#### **Donated Property:**

##### Valuation of Donated Expendable Personal Property:

Expendable personal property includes such items as expendable equipment, office supplies, or workshop supplies. Values assessed to donated or contributed personal property included as matching share must be reasonable and must not exceed the fair market value at the time of donation. The basis for determining the valuation must be documented and available for audit.

##### Valuation of Donated Non-expendable Personal Property and Buildings and Land, or Use of These Types of Property:

Generally, as stipulated in the Federal Office of Management and Budget, Circular A-122, the rules used for charging matching share for donated non-expendable property, buildings and land are as follows.

- 1.) If the purpose of the grant is to furnish equipment, buildings, or land to the Grant Recipient or otherwise to provide a facility, the total value of the donated property may be claimed as matching share.
- 2.) If the purpose of the grant is to support activities that require the use of equipment, buildings, or land on a temporary or part-time basis, depreciation or use charges for equipment and buildings may be made. The full value of equipment or other capital assets and fair rental charges for space may be made provided the Grantor has approved the charges.
- 3.) The valuation of donated non-expendable personal property shall not exceed fair market value of equipment and property of the same age and condition at the time of donation.
- 4.) If the donor transfers title to the property, the amount allowable as matching share is determined as if the Grant Recipient had purchased the property and paid the fair market value of the property at the time the property was transferred.
- 5.) If the use of property is donated as a loan, the amount allowable as matching share shall be determined as if the Grant Recipient had rented the property and paid the fair rental value at the time of the donation.
- 6.) The value of donated land and buildings may not exceed its fair market value at the time of donation to the Grant Recipient as established by an independent certified real property appraiser.
- 7.) The value of donated space shall not exceed the fair rental value of space as established by an independent appraiser of comparable space and facilities in a privately owned building in the same locality.

**ATTACHMENT E**

**Eligible and Noneligible Expenditures**

## **Listing of Eligible and Noneligible Expenditures**

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Standards for determining the allow ability of individual items of cost are based on federal management circulars; rules and regulations; and the National Park Service grant manual for this program. Listed below are examples of costs which are typically allowable, but the absence of a particular type of cost in the list is not intended to imply that it is either allowable or unallowable.

**Accounting:** The cost of establishing and maintaining accounting and other information systems required for the management of the grant project.

**Advertising:** Advertising media including newspapers, magazines, radio and television programs, direct mail, trade papers, and the like. These advertising costs are allowable when they are solely for recruitment of personnel necessary for the grant assisted project; for solicitation of bids for procurement of goods and services required for the performance of the Historic Preservation Fund assisted project; notices required by the federal government, state, or local agencies pertaining to the Historic Preservation Fund program, and other purposes specifically provided for in the Grant Agreement.

**Audit services:** The cost of audits necessary for the administration and management of functions related to the grant project.

**Bonding:** Costs of premiums on bonds covering employees who handle Historic Preservation Fund grant monies.

**Budgeting:** Costs incurred for the development and preparation of budgets, if such actions occur after an applicant has been selected for funding.

**Building Lease:** The administrative costs for lease management of Grant Recipient office space.

**Communications:** Communication costs incurred for telephone calls or special phone systems directly related to grant program operations.

**Compensation for Personal Services:** **Compensation** includes all current or accrued payment for services rendered during the period of performance under the Grant Agreement, including, but not limited to, wages, salaries, and supplementary compensation and benefits. The costs of such compensation are allowable to the extent that total compensation for individual employees is:

- 1.) reasonable for the services rendered;
- 2.) supported by payroll documentation and time distribution records. *Note: amounts charged to Grant Recipient projects for personal services, regardless of whether treated as direct or indirect cost, will be based on payrolls documented and approved in accordance with generally accepted practices of state or local government. Payrolls must be supported by time and attendance records or equivalent records for individual employees. Time distribution records are not required for full- or part-time employees whose entire time is charged to one grant project or activity. The method used should produce a clear record of distribution of time and effort, federal and matching shares assigned to personnel. A system*

*that only tracks effort is not acceptable. Time should be accounted for in units of work days and include a brief description linking work performed to a specific approved project.*

**Depreciation and Use Allowances:** Grant Recipients may be compensated for the use of buildings or equipment as capital improvements. The computation used will exclude any portion of the cost of the building or equipment donated or borne directly or indirectly by the federal government. Before any grantor may utilize Use Allowance, a formal request must be made to the Grantor to insure its eligibility.

**Employee Fringe Benefits:** Costs identified under 1 and 2 below are allowable to the extent that total compensation for Grant Recipient employees is reasonable.

- 1.) employee benefits in the form of regular compensation paid to employees during periods of authorized absence from the job such as annual leave, sick leave, court leave, military leave, and the like if they are:
  - a.) provided pursuant to an approved leave system; and
  - b.) the cost thereof is equitably allocated to all related activities including grant programs.
- 2.) employee benefits in the form of employers' contributions or expenses for social security, employee's life and health insurance plans, unemployment insurance coverage, and workman's compensation, provided such benefits are granted under approved plans and are distributed equitably to grant programs and all other activities.

**Employee Morale, Health and Welfare Costs:** Costs of health or first-aid clinics and/or infirmaries, recreational facilities, and employees' counseling services, incurred in accordance with general state or local government policies.

**Equipment and Other Capital Expenses:** An article of non-expendable tangible property that has a useful life of more than one year and an acquisition cost of \$300 or less is allowable without prior approval of the Grantor when deemed necessary for grant project operation.

**Exhibits:** Costs of exhibits relating specifically to grant program processes, accomplishments, or results. (cf: unallowable costs for ineligible exhibit purposes under "Museums").

**Furnishings:** Costs of project furnishings are allowable when such are original pieces of furniture or are permanently attached items that are integral to the building.

**Indirect Costs:** Indirect costs when specifically authorized by the Grantor.

**Legal Expenses:** Costs of legal expenses required in the administration of the grant, if directly related to program activities.

**Maintenance and Repair:** Costs incurred for necessary maintenance, repair, and upkeep of Grant Recipient administrative offices and non-expendable property in support of grant assisted activities which neither add to the permanent value of the property nor appreciably prolong its useful life, but do keep it in an efficient condition.

**Materials and Supplies:** Costs of materials and supplies necessary to carry out the grant project. Purchases made specifically for the grant project should be charged at their actual price after deducting all discounts, trade discounts, cash discounts, rebates, and allowances received by the grantee.

**Meetings and Conferences:** Costs are allowable when the primary purpose of the meeting is dissemination of information relating to grant activities.

**Memberships, Subscriptions, and Professional Activities:** The cost of memberships in civic, business, technical, and professional organizations is allowable, provided:

- 1.) the benefit from the membership is directly related to achieving grant program objectives;
- 2.) the expenditure is for agency membership;
- 3.) the cost of the membership is reasonably related to the value of services or benefits received;
- 4.) the expenditure is not for membership in organizations which devote a substantial amount of time in lobbying either the Congress of the United States or the General Assembly of Missouri.

**Motor Pools:** Costs of service organizations which provide automobiles to user Grant Recipient agencies at mileage or fixed rate and/or provide vehicle maintenance, inspection, and repair service.

**Payroll Preparation:** Costs of preparing payrolls and maintaining necessary related wage records.

**Personnel Administration:** Costs for recruitment, examination, certification, classification, training, establishment of pay standards, and related activities for grant programs.

**Printing and Reproduction:** Costs of printing and reproduction services necessary for grant administration, including, but not limited to, forms, reports, manuals, and informational literature. Publication costs of reports or other materials relating to grant program accomplishments or results are allowable when provided for in the Grant Agreement.

**Procurement Service:** The costs of procurement of services including solicitation of bids, preparation and award of Grant Agreements, and all phases of Grant Agreement administration.

**Publications:** Publication charges are eligible if the papers report work supported by the Historic Preservation Fund grant and acknowledge the source of the grant. The publication must not be for profit or the program income from the publication must be shown to further extend grant activities. It must be proved that there will be a significant and direct benefit to the achievement of grant program objectives.

**Public Information Service Costs:** Public information service costs include the costs associated with newsletters, pamphlets, news releases, and other forms of program related informational services.

- 1.) Allowable costs are those normally incurred to:

- a.) inform or instruct individuals, groups, or the general public about statewide and local historic preservation accomplishments, problems and issues directly related to Historic Preservation Fund grant supported activities;
  - b.) interest individuals and organizations in participating in Historic Preservation Fund grant supported programs with special emphasis on Missouri Department of Natural Resources objectives;
  - c.) provide necessary stewardship reports to state and local government agencies contributing to the project;
  - d.) disseminate the results of grant-sponsored activities to preservation professionals, interested organizations and the general public.
- 2.) Publication service costs necessary to comply with grant project requirements, such as completion reports, publications undertaken at the written direction of the Grantor, or other publications necessary for program administration, are allowable.

**Reference Materials:** Costs of books and subscriptions to civic, business, professional and technical periodicals when such materials are necessary to accomplish grant program objectives.

**Research:** Costs of historical, architectural, and archaeological research necessary for project accomplishments. Note: purely archival research is ineligible.

**Review Commissions:** Costs incurred by local review boards or commissions created to carry out grant objectives. Members of the commission may receive subsistence, travel allowances, and compensation while serving the commission, in accordance with state law, regulations, and practices applicable to persons performing comparable duties and services.

**Supplies and Services:** The cost of maintaining and operating a central store for supplies, equipment and materials used either directly or indirectly for the purpose of a specific project activity.

**Taxes:** In general, taxes or payments in lieu of taxes which the Grant Recipient is legally required to pay are allowable, subject to adjustments for applicable credits.

**Training and Education:** Costs of in-service training customarily provided for employee development when directly or indirectly benefiting grants objectives.

**Transportation:** Costs incurred for freight, cartage, express postage, and other transportation costs relating to goods either purchased, delivered, or moved from one location to another are allowable when necessary and directly related to the grant project.

**Travel:** Travel costs are allowable for expenses for transportation, lodging, subsistence, and related items incurred by employees who are in travel status on official business incident to a grant project. Such costs may be charged on an actual basis, or on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip and results in charges consistent with those normally allowed in like circumstances in state sponsored activities. The difference between coach and first class airfare is not allowable unless coach accommodations are not reasonably available.

The following types of costs may be allowable, but prior approval of the Grantor will be required:

**Automatic Data Processing:** Costs of automatic data processing services to grant projects. These costs may include rental of equipment; the acquisition of equipment by outright purchase; rental-purchase agreement; or other methods of purchase, but purchase cost is allowable only upon prior Grantor approval.

**Building Space and Related Facilities:** The cost of space in privately owned or publicly owned buildings used for the benefit of the grant project is allowable, subject to the conditions stated below. (Note: the total cost of space, whether in a privately or publicly owned facility, may not exceed the rental cost of comparable space and facilities in the private sector in the same locality).

- 1.) **Maintenance and Repair:** The cost of utilities, insurance, security, janitorial services, normal repairs and alterations, and the like are allowable to the extent they are not otherwise included in rental or other charges for space.
- 2.) **Rearrangements and Alterations:** Costs incurred for extraordinary rearrangements and alterations of facilities required specifically for the grant project are allowable with prior approval by the Grantor.
- 3.) **Occupancy of Space Under Rental-Purchase Agreement or a Lease with Option-to-Purchase:** The cost of space procured under such arrangements is allowable with prior approval by the Grantor.
- 4.) **Non-Occupancy:** The cost of space procured for the grant project may not be charged to the project for periods of non-occupancy without prior Grantor authorization.

**Capital Expenditures:** The cost of facilities, equipment, other capital assets, and repairs which materially increase the value or useful life of capital assets is allowable when such procurement is specifically justified in writing and specifically approved by the Grantor in advance. When assets acquired with federal grant funds are sold, no longer available for use in the federally sponsored program, or used for purposes not authorized by the Grantor, federal equity in the assets will be refunded in the same proportion as the federal participation in its cost. In case any assets are traded on new items, only the net cost of the newly acquired assets is allowable.

**Equipment:** Articles with a unit cost of more than \$300 and useful life of more than one year are allowable when specifically approved by the Grantor in advance as a direct cost.

**Insurance and Indemnification:** Costs of hazard and liability insurance to cover personal property directly connected with federally assisted projects and maintained pursuant to the Grant Agreement, during the grant project period.

Costs of other insurance in connection with the general conduct of activities are allowable subject to the following limitations:

- 1.) Type, extent and cost of coverage must be in accordance with general state government policies and sound business practices.

- 2.) Costs of insurance or of contributions to any reserve covering the risk of loss of, or damage to, federal government property are not allowable except when written approval is granted by the Grantor.
- 3.) Contributions to a reserve for a self-insurance program approved by the Grantor are allowable to the extent that the type of coverage, and the risk and premiums would have been allowed had insurance been purchased to cover the risks.

**Professional and Consultant Service Costs:** Costs of professional and consultant services are allowable subject to the general conditions ruling federal grants, state and local laws, and the following.

- 1.) the nature and scope of the service rendered in relation to the service required;
- 2.) the necessity of contracting for the service considering the Grant Recipient organization's capability in a particular area;
- 3.) the impact of government grants on the Grant Recipient organization;
- 4.) the qualifications of the individual or concern rendering the service and the customary fee charged, especially on non-government Grant Agreements and grants; and
- 5.) the adequacy of the contractual agreement for the service (e.g., description of the service, estimate of time required, rate of compensation, and termination provisions).

However, it should be noted that:

- 6.) Retainer fees to be allowed must be reasonably supported by evidence of services actually rendered;
- 7.) Costs of legal, accounting, and consulting services, and related costs incurred in the prosecution of claims against the government are unallowable; and
- 8.) No person employed as a consultant, or by firms providing consultant services, shall receive more than a reasonable rate of compensation for personal services paid with Historic Preservation Funds. Where audit and monitoring reviews indicate that the rates of compensation were not reasonable or exceeded the maximum daily rate, the Grantor may determine such costs to be unallowable.

**Proposal Costs:** Proposal costs are allowable when the cost of preparing proposals for potential federal government grants are specifically provided for in the Grant Agreement.

**ATTACHMENT F**

**Examples of Nonallowable Costs**

## Examples of Costs Which Are Not Allowed

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Standards for determining the allow ability of individual cost items as a part of the local matching share are based on federal management circulars; rules and regulations; and the National Park Service grant manual for this program. Listed below are examples of costs which are typically not allowable, but the absence of a particular type of cost in the list should not be taken to mean that it necessarily is allowable. Where questions of eligibility are involved, grantees should request a Grantor determination prior to making such expenditures.

**Archival Research:** Costs of purely archival research.

**Archaeological Salvage:** Costs of salvage archaeology unrelated to increasing and understanding knowledge of a National Register property. (There are special circumstances that may allow archaeological salvage, and applicants that propose such actions must, in writing, inform the Grantor of their proposed methods and any special circumstances. Allow ability will be decided on a case by case basis.)

**Bad Debts:** Any losses arising from uncollectible accounts and other claims and related collection costs.

**Bonus Payments:** Bonus payments of any kind.

**Conditional Donations:** Any donation or contribution containing a reversionary provision to the donor which can be exercised during the term of the project.

**Contingencies:** Contributions to a contingency reserve or any similar provision for unforeseen events.

**Contributions and Donations:** Charitable contributions and donations are unallowable as follows:

- 1.) charitable contributions and donations of grant funds;
- 2.) the value of services donated by employees or other persons paid with grant funds; and
- 3.) Donated goods (i.e., expendable personal property, supplies, and donated use of space) may be furnished to a subgrantee, or grant supported grantee. The value of such goods and space is not reimbursable as direct or indirect cost. (However, the value of the donations may be used to meet matching share requirements following HPP review to determine eligibility on a case by case basis).

**Curation:** Costs of curation or exhibition of artifacts or other materials after the project end date.

**Damage Judgements:** Damage judgements arising out of acquisition, construction, or equipping of a grant assisted program or project site, whether determined by judicial decision or arbitration or otherwise.

**Entertainment:** Costs of amusements, social activities, and related incidental costs such as meals, beverages, lodging, rentals, transportation and gratuities.

**Equipment:** Equipment and other capital expenditures are unallowable as indirect costs. (Although they may be allowable under the rules regarding Use Allowances or Depreciation, the Grantor must decide allow ability on a case by case basis).

**Fines and Penalties:** Costs resulting from violations of, or failure to comply with, federal, state, and local laws and regulations.

**Fund raising:** Expenses and costs of organized fund raising, including financial campaigns, endowment drives, solicitations of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions.

**Indirect Cost to Individuals:** Indirect costs to individuals under Grant Recipient Grant Agreements.

**Interest and Other Financial Costs:** Interest on borrowing, however represented, is unallowable.

**Interpretive Expenses:** Interpretive expenses, such as staff salaries or maintenance of interpretive devices, with the exception of purchase and installation costs for such devices.

**Legislative Expenses:** Salaries and other expenses of local governmental units such as county supervisors, city councils, school boards, etc., whether or not incurred for purposes of legislation or of executive direction.

**Lobbying:** Costs associated with activities or any communication designed to influence in any manner a member of Congress to favor or oppose any legislation or appropriation.

**Meals:** Costs of meals for Grant Recipient employees or Review Board members, including any oversight or advisory boards, are unallowable except when such persons are on travel status in conjunction with activities eligible for Historic Preservation Fund assistance.

**Maintenance and Administration:** Costs of ongoing maintenance and administration of properties following a Historic Preservation Fund assisted project.

**Mitigative Expenses:** Costs applied to mitigation activities performed as a condition or precondition for obtaining a federal permit or license or funding by other federal programs.

**Museums:** Costs of museum exhibits, museum staff salaries, and other museum administrative expenses, including maintenance, are unallowable.

**Overdrafts or Deficits:** Bank charges for overdrafts or deficits.

**Taxes:** Taxes or tax penalties which the organization involved would not have been liable to pay under prudent management are not allowable, this includes payroll tax penalties or interest paid on late charges.

**ATTACHMENT G**

**Procurement Standards**

## Procurement Standards

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The types of procurement Grant Agreements which are allowable under the fund are cost reimbursement firm fixed-price Grant Agreements, fixed-price incentive Grant Agreements, or cost-plus-a-fixed-fee Grant Agreements. Other types of Grant Agreements may be acceptable depending upon individual circumstances. However, cost-plus-a-percentage-of-cost-Grant Agreements may not be used under any circumstances.

All procurement transactions, regardless of whether by sealed bid or by negotiation, and without regard to dollar value, shall be conducted in a manner that provides maximum open and free competition. The Recipient shall have written selection procedures which shall provide, at a minimum, the procedural requirements; incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured; clearly set forth all requirements which offerors must fulfill and other factors to be used in evaluating bids or proposals. Grant Agreement awards shall be made only to responsible grantees that possess the potential ability to perform successfully under the terms and conditions of the proposed procurement. Consideration shall be given to such matters as grantee integrity, compliance with public policy, record of past performance, and financial and technical resources. Grant Agreement procedures are as follows:

A. **Formal Bidding:** The Grant Recipient must formally advertise, with adequate purchase description, sealed bids and public openings unless negotiation is necessary to accomplish sound procurements. However, procurements under \$25,000.00 need not be formally advertised. Formal advertisements should be placed in a major newspaper that covers the area affected by the project. Notice should be published at least three times in this publication or once in three different publications. Use of pre-selected bid lists, posting in public places, and publication in trade journals, and magazines are deemed legitimate steps to ensure free and open competition. The Grant Recipient must, at a minimum, submit the following documentation to the Grantor if this method is chosen: A copy of the actual advertisement and an invoice showing the dates published. The advertisement must state that federal funds are involved, and that compliance with all applicable federal, state, and local laws, rules, and regulations is required. After bids are received, they should be tabulated and summarized in a manner that will facilitate comparison. In award Grant Agreements that include additive and deductive bid items, the award procedures should include a disclosure of the selection priority for those items. The bid tabulation must be signed and dated. If no bid or no acceptable bids are received, a Grant Agreement can be negotiated for the same scope of work if each bidder is given notice of this intent and reasonable opportunity to negotiate.

B. **Competitive Negotiation:** If conditions do not lend themselves to formal advertising, the Grant Recipient may use competitive negotiation. In this type of procurement, the Grant Recipient must solicit an adequate number to be determined by the Grantor, of qualified sources to permit reasonable competition consistent with nature and requirements of the procurement. The request for bids need not be published: it does, however, have to be publicized - normally, proposals are distributed to several prospective grantees. The Grant Recipient must honor reasonable requests by outside grantees to the maximum extent possible. The Recipient must identify all significant evaluative factors, including price or cost where required and their relative importance.

The Grant Recipient must provide mechanisms for technical evaluation of the proposals received, determinations of responsible offerors for the purpose of written or oral discussion and selection for Grant Agreement award. The Grant Recipient may award to the most responsible offeror whose proposal will be most advantageous. Unsuccessful offerors must be notified promptly.

C. The Grant Recipient must utilize competitive negotiation or small purchase procedures for procurement of professional services valued under \$25,000.00. The Recipient should consider the competitors' qualifications and select the most qualified; taking cost and timing into consideration. The Grant Recipient should evaluate resumes, past experience, and references at minimum to determine qualifications.

D. **Record keeping for procurements:** The Grant Recipient must maintain records sufficient to detail the significant history of the procurement. These records must include the rationale for the method of procurement, selection of Grant Agreement type, grantee selection or rejection, and the basis for cost or price.

E. **Minimum federal provisions needed in Grant Recipient subgrant agreements:** The Grant Recipient must include, at a minimum, the following items:

Provisions or conditions which will allow for administrative, contractual, or legal remedies in the instances where subcontractors violate or breach the Grant Agreement arrangement;

Provision for a method of termination to include both default and circumstances beyond the control of the subcontractor: and

Provision(s) which access the right of the National Park Service and the Grantor to grantee records demand the grantee maintain records for a minimum of three years or more if there are audit concerns.

F. The written agreement should contain the following provisions:

- (1) A grantee should not use his/her position for the actual or apparent purpose of private gain other than payment for services rendered for himself/herself or another person, particularly one with whom he/she has family, business, or financial ties. (2)
- (2) A grantee shall not convey inside information that has not become part of the body of public information and not become available upon public request, directly to any person for private gain for himself/herself or another person, particularly one with whom he/she has family, business, or family ties.
- (3) A grantee shall not either for or without compensation, engage in teaching, lecturing, or writing that is dependent on information obtained as a result of his/her employment with the Grant Recipient, except when that information has been made available to the general public or will be made available upon public request, or when the Grantor gives written authorization for the use of non-public information on the basis that the information is for public good.

## Procurement

HPF Manual Chapter 17 and HPF Appendices 36 CFR 12.76

1. States and CLGs must follow all state and federal laws (always go with whichever is more restrictive).
2. CLGs must follow all of the same HPF regulations as States.
3. Do not sign contracts for projects of \$25,000 or more before NPS authorization is obtained
4. All procurement must be conducted in a manner that provides maximum open and free competition without exception.
5. Methods of procurement:



- Small purchase procedure (under \$100,000) – Seek bids from 3 or more qualified sources. You do not have to receive 3 bids.
  - Competitive sealed bids/Competitive Negotiations – (over \$100,000).
  - Sole-Sourcing – Almost never allowed and must be approved by NPS. Must be: (a) a service or item only available from a single-source, (b) public emergency requiring immediate action, (c) special circumstance approved by NPS, or (d) after solicitation of bids for a number sources, competition is determined to be inadequate.
6. Professional Services may be obtained through competitive negotiation – solicit 3 or more firms capable of providing the professional service. Selection may be based on qualifications not price.
    - “Most qualified” takes into consideration State local laws and regulations which make provision for socioeconomic programs such as small businesses etc. Written justification for using this should be included with documentation.
  7. Former staff or consultant seeking to bid on RFP cannot help develop scope of work for RFP/RFQ.
  8. Any preagreement procurement costs approved by NPS must have met procurement regulations.
  9. Record Keeping. Procurement records must include, but are not limited to:
    - Rationale for the method of procurement
    - Copy of RFP/Formal Advertisement
    - Selection of contract type (cost-reimbursement, fix-price, cost plus fixed-fee etc.)
    - List of consultants/contractors contacted
    - List of consultants/contractors who responded
    - Contractor selection or rejection
    - Copy of consultant qualifications
    - Basis for cost or price



## COMPETITIVE NEGOTIATION AND SMALL PURCHASES CONTRACTING DOCUMENTATION

This format should be used for contracts for professional services and other procurement to document compliance with Federal procurement standards.

1) Grant Number: \_\_\_\_\_

- 2) Contract Type:
- Professional Services
  - Printing
  - Equipment/Supplies
  - Other

3) Addresses of Contractors Contacted

A Name of Firm: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code \_\_\_\_\_  
Work Telephone: \_\_\_\_\_ Work E-mail: \_\_\_\_\_

B Name of Firm: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code \_\_\_\_\_  
Work Telephone: \_\_\_\_\_ Work E-mail: \_\_\_\_\_

C Name of Firm: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code \_\_\_\_\_  
Work Telephone: \_\_\_\_\_ Work E-mail: \_\_\_\_\_

D Name of Firm: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code \_\_\_\_\_  
Work Telephone: \_\_\_\_\_ Work E-mail: \_\_\_\_\_

E Name of Firm: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code \_\_\_\_\_  
Work Telephone: \_\_\_\_\_ Work E-mail: \_\_\_\_\_

F Name of Firm: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code \_\_\_\_\_  
Work Telephone: \_\_\_\_\_ Work E-mail: \_\_\_\_\_

G Name of Firm: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code \_\_\_\_\_  
Work Telephone: \_\_\_\_\_ Work E-mail: \_\_\_\_\_

**4) Comparative Summary of Responses Received (must be AT LEAST 3 firms)**

Use letter identifier from previous page.

Letter ID or Firm Name	Date quote obtained	Price Quote	Obtained how?
A.			
B.			
C.			
D.			
E.			
F.			
G.			

5) Basis for Selection:  Lowest Price  Other

For the purposes of an SAT Grant, Selection criteria DOES NOT have to be lowest price, however, the explanation for the basis used must be described:

Signature of Grantee Official

Title

Date