

- B. The AD-E/WSC will have thirty (30) calendar days from the date the application is received to review the application package, determine if the documents are qualitatively complete and acceptable for

**CHAPTER 4-50
CHARACTERISTICS OF
COOPERATIVE AGREEMENTS FOR
FEDERAL RECLAMATION PROGRAM PROJECTS**

4-50-00 Purpose

- 10 Definitions
- 20 Policy
- 30 Responsibility
- 40 Processing an Application
- 50 Preparing and Issuing an Award
- 60 Amending the Cooperative Agreement
- 70 Administering the Cooperative Agreement
- 80 Resolving Problems
- 90 Closing out the Cooperative Agreement
- 100 Resolving Audit Issues

4-50-00 PURPOSE

The purpose of this chapter is to provide policy and guidance relating to the award, monitoring and closeout of Federal Reclamation Program (FRP) cooperative agreements (CA).

4-50-10 DEFINITIONS

Certain definitions are critical to the understanding of this chapter and, therefore, are provided below.

- A. Briefing Paper. An internal document authorizing OSM to expend funds for Abandoned Mine Land (AML) activities such as: complaint investigation, geotechnical exploration or hazard abatement. The briefing paper includes: a written summary of the facts developed through investigation of the hazard(s); if appropriate, a statement that the situation qualified as an emergency project under OSM regulations and documentation of adherence to the criteria for an emergency; other project specifics and the options and alternatives considered for abating or reducing the hazard(s); detailed cost estimates; and approval by the appropriate levels of OSM management to conduct the project. Typically, a request for procurement is also included with the briefing paper. (See Appendix 6 of AML-4).

CHARACTERISTICS OF COOPERATIVE AGREEMENTS
FOR FEDERAL RECLAMATION PROGRAM PROJECTS

PAGE 4

4-50-70 ADMINISTERING THE COOPERATIVE AGREEMENTS

- A. The E/WSC retains primary responsibility for monitoring the performance of the State/Tribe under a FRP CA. The FO will assist in project site inspection and liaison activities on an "as needed" and "as available" basis.
- B. The FO will assist in reclamation monitoring of FRP projects in those instances where it is near or routinely visits the project vicinity. The FO will report inspection findings to the AD-E/WSC.
- C. All narrative and financial status reports performance submitted by the State/Tribe, through the FO, will be reviewed by the E/WSC for compliance with Chapter 5-60 forwarded to BA.

NOTE: For FRP projects, the State/Tribe will submit performance narrative and financial reports on a quarterly basis. The first quarterly report will be submitted no later than thirty (30) calendar days following the end of the first Federal fiscal year quarter after the effective date of the FRP CA. Subsequent reports will be submitted within thirty (30) calendar days from the end of each federal fiscal year quarter. The final report will be submitted within ninety (90) calendar days after completion of the FRP CA project work.

4-50-80 RESOLVING PROBLEMS

- A. When a potential problem situation occurs, the State/Tribe will contact the FO, who will transmit the information to the AD-E/WSC Office. The AD-E/WSC and the FO will evaluate the situation and recommend appropriate action. If the problem involves a policy issue, the AD-E/WSC will forward the issue and provide its recommendations to the Assistant Director, Reclamation and Regulatory Policy, who in coordination with the DAML/ESC or the FRP/WSC will develop a recommended course of action. The AD-E/WSC will then notify the State/Tribe through the FO and implement the action.

4-50-90 CLOSING OUT THE COOPERATIVE AGREEMENT

When a FRP CA is completed, closeout documents are developed by the State/Tribe in accordance with Chapter 5-70 and transmitted, through the FO, to the DAML/ESC or BFR/WSC, reviews the material, resolves any issues with the State/Tribe, prepares the final MB-212 and the Closeout Analysis Form, OSM Form 81A and forwards the original and one copy of all documents to the Grants Section E/WSC. The Grants Section will sign the MB-212 and send it and the closeout documents to the DFM to deobligate any excess funds, and closeout the CA. The Grants Section

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- B. The AD-E/WSC will have thirty (30) calendar days from the date the application is received to review the application package, determine if the documents are qualitatively complete and acceptable for processing, ensure that funding is available for the project, and then notify the State/Tribe of the acceptability or unacceptability of the application for further processing.
 - C. When the application is administratively complete and acceptable for processing, the AD-E/WSC will prepare three (3) copies of the FRP CA and transmit them, through the E/WSC, to the State/Tribe for approval and signature. If applicable, the FO will prepare a Procurement Request, OSM Form MB-65A. After acceptance by the State/Tribe, all signed copies of the FRP CA will be returned, through the FO, to the AD-E/WSC for approval.
 - D. All documentation will conform to the requirements of the FAM, Chapter 5-10, Application Process.

4-50-50 PREPARING AND ISSUING AN AWARD

- A. Upon approval of the application, the AD-E/WSC will sign all three (3) original copies of FRP CA's under \$1,000,000 and the FONSI, if applicable. NOTE: For emergency projects over \$250,000, prior concurrence by the DD/OTS is necessary. Cooperative agreements \$1,000,000 or greater will be forwarded to the DD/OTS for signature. The signed agreement will be processed as follows: One (1) signed original will be returned through the FO to the State/Tribe, one (1) signed original will be retained by the E/WSC, and the remaining signed original will be part of the obligation package.
- B. The DAML/ESC or the FRB/WSC will forward the FRP CA obligation package to the appropriate Grants Section E/WSC. The Grants Section will review the documents, sign OSM Form MB-212, and forward the signed MB-212 and a copy of the approved CA to the Branch of Accounting (BA), Division of Financial Management (DFM), to obligate the funds.

4-50-60 AMENDING THE COOPERATIVE AGREEMENT

- A. The procedure to be followed in approving an amendment is the same as cited in the preceding sections for approving an FRP CA.
- B. All documentation will conform to the requirement of the FAM, Chapter 5-30.

CHARACTERISTICS OF COOPERATIVE AGREEMENTS
FOR FEDERAL RECLAMATION PROGRAM PROJECTS

PAGE 4

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will return a copy of the approved MB-212 to the DAML/ESC or the BFR/WSC. The DAML/ESC or FRB/WSC will then provide a copy of the approved MB-212 to the FO.

4-50-100 RESOLVING AUDIT ISSUES

After an audit is conducted, the report is transmitted to the OSM Audit Liaison Officer, who transmits a copy to the AD-E/WSC, who works with the DAML/ESC or FRB/WSC or the FO and appropriate State/Tribe agency to jointly arrive at solutions. See Audit Policy and Procedure Manual (AFC-2) for complete details.

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**CHAPTER 5-00
GRANT/COOPERATIVE AGREEMENT NUMBERING SYSTEM
AND FILES ORGANIZATION**

5-00-00	Purpose
10	Applicability
20	Policy
30	Numbering System
40	Files Organization

5-00-00 PURPOSE

This chapter establishes a consistent system for designating grant and cooperative agreement numbers and standards for maintaining OSM grant and cooperative agreement files.

5-00-10 APPLICABILITY

This chapter is applicable to all OSM grant and cooperative agreement programs.

5-00-20 POLICY

- A. Grant and cooperative agreement numbers shall be consistently designated by the Field Offices in accordance with the guidance provided in this chapter.
- B. The official grant/cooperative agreement Management Files shall be established by, and maintained in, the Field Office in accordance with the guidance provided in 5-00-40A. and B. of this chapter. AD-SC shall maintain grant/cooperative agreement files in accordance with 5-00-40A.
- C. The official grant/cooperative agreement Fiscal Files shall be established and maintained by DFM.

5-00-30 NUMBERING SYSTEM

- A. The following is an explanation of the grant numbering system.

GR W 9 X YY Z

GR = Designation for grants and cooperative agreements

W = Last Digit of Fiscal Year of Beginning of Performance Period

9 = Range (Always "9")

X = Grant Program Type

YY = Two-Digit State/Tribal Code

Z = Sequential Numbering by Grant Type;
With "X", Further Describes Grant Type

5-00-30 (Continued)

B. The following is an explanation of the "grant type" designation.

GR W 9 X YY Z

- 0 __ 1 = Civil Penalty Reclamation Cooperative Agreements
- 1 __ = Interim Program Grant (100% Federal funding)

- 2 __ 1 = Program Development Grant (80% Federal funding)
- 2 __ 2 = Program Development Grant (60% Federal funding)
- 2 __ 3 = Program Development Grant (50% Federal funding)

- 3 __ 1 = Administration & Enforcement Grant (80% funding)
- 3 __ 2 = Administration & Enforcement Grant (60% funding)
- 3 __ 3 = Administration & Enforcement Grant (50% funding)
- 3 __ 4 thru 8 = Other Regulatory Grants
- 3 __ 9 = AVS/TIPS Cooperative Agreement

- 4 __ = Indian Joint Funding Cooperative Agreement

- 5 __ = Bond Forfeiture Cooperative Agreement

- 6 __ = Research Cooperative Agreement

- ^{1/} 7 __ 0 = AML Grant
- ^{2/} 7 __ 1 = AML Administrative Grant
- 7 __ 2 = AML Construction Grant
- 7 __ 3 thru 6 = Other AML Grants (another Construction, RAMP, Subsidence Insurance)
- 7 __ 7 = AML Emergency Administrative Grant (State-Administered)
- 7 __ 8 = AML Emergency Construction Grant (State-Administered)
- 7 __ 9 = AML 10% Set-Aside Grant

- 8 __ = SOAP Operational Grant

- 9 __ = Federal Reclamation Cooperative Agreement

^{1/} Beginning in FY 1993, used to designate the revised AML grant program.

^{2/} Through FY 1993, 7_1 through 7_9 used to designate the specific AML grant type.

6-00-30 (Continued)

C. The following is a listing of the two-digit codes used to designate the State/Indian tribal government.

GR W 9 X YY Z

01	=	Alabama
02	=	Alaska
05	=	Arkansas
08	=	Colorado
17	=	Illinois
18	=	Indiana
19	=	Iowa
20	=	Kansas
21	=	Kentucky
22	=	Louisiana
24	=	Maryland
26	=	Michigan
28	=	Mississippi
29	=	Missouri
30	=	Montana
35	=	New Mexico
38	=	North Dakota
39	=	Ohio
40	=	Oklahoma
42	=	Pennsylvania
47	=	Tennessee
48	=	Texas
49	=	Utah
51	=	Virginia
53	=	Washington
54	=	West Virginia
56	=	Wyoming
80	=	Hopi Tribe
81	=	Navajo Tribe
82	=	Crow Tribe
83	=	Cheyenne River Sioux Tribe

5-00-30 (Continued)

D. The following is an explanation of the grant and cooperative subaccount numbering system.

1. For the revised AML grant program:

YY W AA

YY = Two-Digit State/Tribal Code

W = Last digit of FY beginning of performance period
Budget/Cost Category

AA = Specific Budget/Cost Category

- 01 - Non-emergency administrative costs
- 02 - Emergency administrative costs
- 03 - Non-water supply construction costs
- 04 - Water supply construction costs
- 05 - Emergency construction costs
- 06 - Future set-aside costs
- 07 - AMD set-aside costs
- 08 - Subsidence insurance costs
- 09 - Indirect costs associated with non-emergency costs
- 10 - Indirect costs associated with emergency costs

2. For other programs:

YY ____

YY = Two-Digit State/Tribal Code

____ = 3- digit sequential numbering of subaccounts

5-00-40 FILES ORGANIZATION

- A. The OSM grant and cooperative agreement files will be established using six (6) segments. File documents will be posted as listed below for each segment:

Segment 1 - Approved Application. Documents included in an approved grant/amendment application:

- o SF 424 (Application for Federal Assistance)
- o Documents related to Intergovernmental Coordination (E.O. 12372)
- o OSM 47 (Budget Information Report-Nonconstruction) and Backup Information (*for regulatory grants*)
- o OSM 49 (Budget Information and Financial Reporting Form) (*for revised AML grants*)
- o OSM 51 (Program Narrative Information)
- o SF 424 B or D (Assurances)
- o DI 1955 (Certification Regarding Drug-Free Workplace Requirements) (*For Indian Tribes only. States submit one certification annually. That certification is not filed with a particular grant.*)
- o DI 1953 (Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions)
- o DI 1954 (Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower-Tier Covered Transactions) (*if known when the application is submitted*)
- o DI 1963 (Certification Regarding Lobbying) (*only for awards to States over \$100,000*)
- o SF-LLL (Disclosure of Lobbying Activities) (*if appropriate*)
- o Letter revision(s) to application

Material deleted/amended from the application should be clearly marked "VOID" and placed in Segment 3. All material should be dated. Only current material should appear in Segment 1.

Segment 2 - Legal Documents

- o Grant Agreement
- o Amendments to Grant Agreement
- o Letters of Approval

No Letters from the Recipient in this Segment - They belong in either Segment 1 - Approved Application, if a letter revision request, or Segment 6 - Correspondence, if general correspondence.

5-00-40A (Continued)

Segment 3 - Support Documentation

- o Copies of State Laws, Regulations, etc.
- o Material deleted/amended from the recipient's submissions

Segment 4 - OSM Field Office Findings/Review/Documentation

This segment contains documentation of internal actions taken by the Field Offices during the review and evaluation of a grant and cooperative agreement applications, including:

- o News Item Data Sheet (NIDS)
- o All documentation of review and recommended actions
- o Reports of pre-award conference with recipient
- o Solicitor opinions (*related to grant action*)
- o Telephone conversation records
- o AD-SC Funding Availability Notification
- o Findings and Recommendations Memorandum

Segment 5 - Financial/Performance Reporting Documents

This file will not be used as the basis for financial auditing; therefore, it need not duplicate all detailed financial documents and/or records contained in the recipient's files.

- o MB 212 (Grant/Cooperative Agreement Award Report)
- o SF 269 or SF 269A (Financial Status Report)
- o OSM 49 (Budget Information and Financial Reporting Form).
- o OSM-51 (Performance Reports)
- o Monitoring Statements
- o Indirect Cost Agreements
- o ABACIS printout used to determine the correctness of the amount to be deobligated at closeout
- o All closeout documentation and reports
- o Portions of audit report, reviews and resolution of audit issues and other OSM actions affecting the grant.

5-00-40A (Continued)

Segment 6 - Miscellaneous Correspondence/Reports

- o Correspondence and transmittal letters (except for letters of approval which are filed in segment 2) concerning the grant, filed in chronological sequence.
- o News releases
- o Requests to the recipient for information and recipient replies.
- o Letters from members of Congress and the public and OSM replies.
- o Miscellaneous reports, e.g. Minority Business Enterprise Report
- o DI 1961 - FAADS Reporting Form

B. The OSM Construction Project Files (established and maintained in Field Office) will be established using six (6) segments. File documents will be posted as listed below for each segment:

Non-Water Projects

Segment 1

- o NEPA Compliance
- o OSM 76

Segment 2

- o FONSI or Categorical Exclusion Determination
- o Authorization to Proceed

Water Projects

Segment 3

- o NEPA Compliance
- o OSM 76

Segment 4

- o FONSI or Categorical Exclusion Determination
- o Authorization to Proceed

5-00-40B (Continued)

Emergency Projects

Segment 5

- o NEPA Compliance
- o OSM 76

Segment 6

- o FONSI or Categorical Exclusion Determination
- o Authorization to Proceed

**CHAPTER 5-10A
AML GRANT PROGRAM
THE APPLICATION PROCESS**

5-10A-00	Purpose
05	Overview
10	Policy
20	Responsibilities
30	Application Requirements

5-10A-00 PURPOSE

This chapter establishes procedures and provides instructions for applying for the OSM Abandoned Mine Land (AML) Grant.

5-10A-05 OVERVIEW OF REVISED AML GRANT PROCESS

- A. Under the revised AML grant program (implemented in January 1993), annually a State/Tribe submits one grant application covering all AML programs/activities. On the basis of the information provided in the grant application, OSM may award a grant for up to the full amount of the grant distribution identified for the State/Tribe.
- B. The grant performance period is determined by the budget/cost category with the longest designated budget period included in the grant application. However, within the grant performance period, obligation of funds for each budget/cost category is limited to its specified budget period.

<u>Budget/Cost Category</u>	<u>Budget Period</u>
AML Non-Emergency Administrative Costs	One year
AML Emergency Administrative Costs	One year
AML Project Costs (Non-Water Supply)	Three Years
AML Project Costs (Water Supply)	Three Years
Emergency Program Project Costs	One year
Future Set-Aside Costs and Acid-Mine Drainage Set-Aside Costs	Until funds are deposited into set-aside account, usually no longer than 30 days after award
Subsidence Insurance Costs	Eight years
Program Income	Same as associated budget/cost categories
Indirect Costs	Same as associated budget/cost categories

- C. The budget period for all budget/cost categories included in a grant must start on the beginning date of the grant performance period.
- D. At the end of the designated budget period, unobligated funds must be deobligated and that subaccount closed, unless an exception is granted by the FOD.
- E. Deobligating funds from and closing a budget/cost category prior to the end of the grant performance period is accomplished by an amendment to the grant.

AML GRANT PROGRAM
THE APPLICATION PROCESS

PAGE 2

5-10A-05 (Continued)

- F. Accountability for property is assigned to the administrative function. At the end of the administrative function's budget period, unobligated funds must be deobligated, the subaccount closed out, and accountability for property transferred into the next grant's administrative budget/cost category.
- G. Detailed information on individual construction project costs is not submitted as part of a grant application. However, a nonemergency construction project may be initiated only after:
 - a. the State/Tribe submits a Problem Area Description (PAD), Form OSM-76 (see AML-1) and all NEPA compliance documentation for that planned construction project (see chapter 5-11);
 - b. the DAMLR reviews the Form OSM-76; and
 - c. the FOD provides a programmatic authorization to proceed on the project. [This will be considered the "point of Federal action" for construction activities.]
- H. Until closed or transferred into the revised AML grant program, grants approved under the old AML grant program retain the conditions and requirements imposed at the time of award (e.g., reporting timeframes, forms and detail; changes that require prior approval).
- I. FY 1993 is the transition year for the revised AML grant program; grantees have the option of converting to the revised AML grant at anytime during the FY. However, beginning in FY 1994, only the revised AML grant will be awarded.

5-10A-10 POLICY

- A. All AML grant applications shall be submitted to the designated OSM FO. Preapplications are not required for AML grant programs.
- B. An applicant may apply for Federal assistance at anytime during the year to the appropriate OSM FO at least 60 days prior to the beginning of the intended grant period.

5-10A-20 RESPONSIBILITIES

- A. The applicant for an OSM AML grant is responsible for submitting a complete application to its designated FO.
- B. The OSM FO shall, if requested, provide necessary guidance to the applicant during preparation of an application.
- C. The OSM FO Director shall confirm receipt of the application in writing within three working days of receipt.

AML GRANT PROGRAM
THE APPLICATION PROCESS

PAGE 3

5-10A-30 APPLICATION REQUIREMENTS

A. General

1. Applicants shall submit one signed original and two copies of the complete application.
2. The complete application shall be submitted to the appropriate FO at least 60 days prior to the proposed start of the AML grant.

B. Application Package. A complete AML application package for an AML grant consists of:

- | | |
|---|---------|
| - Application for Federal Assistance | SF 424 |
| - Budget Information and Financial Report | OSM 49 |
| - Program Narrative Statement | OSM 51 |
| - Certification Regarding Drug Free Workplace Requirements | DI-1955 |
| - Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions | DI-1953 |
| - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower-Tier Covered Transactions * | DI-1954 |
| - Certification Regarding Lobbying | DI-1963 |
| - Disclosure of Lobbying Activities * | SF-LLL |
| - Nonconstruction Assurances | SF 424B |
| - Assurances for Construction Programs | SF 424D |

* *Forms submitted if appropriate.*

Detailed instructions for preparing documentation for an AML application package are provided at Exhibit X5-10A-1.

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10A-1
PAGE 4

INSTRUCTIONS FOR PREPARING DOCUMENTATION FOR APPLICATION PACKAGES

<u>Document/Form</u>	<u>See Page(s)</u>
Application for Federal Assistance, SF 424	5- 6
Budget Information and Financial Report, OSM 49	7- 9
Program Narrative Statement and explanation of administrative costs, OSM 51	10-14
Certification Regarding Drug-Free Workplace Requirements, DI-1955 <i>*Indian Tribes - Certification required with each application</i> <i>States Certification required annually</i>	15-16
Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions, DI-1953	17-18
Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower-Tier Covered Transactions, DI-1954 <i>*Certification required only if lower-tier participants specifically identified in application</i>	19-20
Certification Regarding Lobbying, DI-1963 <i>*States - for awards over \$100,000</i> <i>Indian Tribes - certification not required</i>	21-22
Disclosure of Lobbying Activities, SF-LLL	23-25
Assurances - Nonconstruction Programs, SF 424B	26-27
Assurances - Construction Programs, SF 424D	28-29

**AML GRANT PROGRAM
THE APPLICATION PROCESS**

**EXHIBIT X5-104-1
PAGE 5**

Standard Form 424

OMB Approval No. 0348-0043

**APPLICATION FOR
FEDERAL ASSISTANCE**

1 TYPE OF SUBMISSION Application <input type="checkbox"/> Construction <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input type="checkbox"/> Non-Construction		2 DATE SUBMITTED	Applicant Identifier
		3 DATE RECEIVED BY STATE	State Application Identifier
		4 DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5 APPLICANT INFORMATION			
Legal Name		Organizational Unit	
Address (give city, county, state and zip code)		Name and telephone number of the person to be contacted on matters involving the application (give area code)	
6 EMPLOYER IDENTIFICATION NUMBER (EIN) [][] - [][][][][][][][][][]		7 TYPE OF APPLICANT (enter appropriate letter in box) <input type="checkbox"/>	
8 TYPE OF APPLICATION <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision 9 Revision (enter appropriate letter(s) in boxes) <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____		A. State H. Independent School Dist. B. County I. State Controlled Institution of Higher Learning C. Municipal J. Private University D. Township K. Indian Tribe E. Interstate L. Individual F. Intermunicipal M. Profit Organization G. Special District N. Other (Specify): _____	
10 CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER [][][][][][][][][][]		11 NAME OF FEDERAL AGENCY	
TITLE		11 DESCRIPTIVE TITLE OF APPLICANT'S PROJECT	
12 AREAS AFFECTED BY PROJECT (cities, counties, states, etc.)			
13 PROPOSED PROJECT		14 CONGRESSIONAL DISTRICTS OF	
Start Date	Ending Date	a Applicant	b Project
15 ESTIMATED FUNDING		16 IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a Federal	\$ _____ .00	a YES THIS PREAPPLICATION APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____	
b Applicant	\$ _____ .00	b NO <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
c State	\$ _____ .00	17 IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
d Local	\$ _____ .00	<input type="checkbox"/> Yes If "Yes," attach an explanation _____ <input type="checkbox"/> No	
e Other	\$ _____ .00		
f Program Income	\$ _____ .00		
c TOTAL	\$ _____ .00		
18 TO THE BEST OF MY KNOWLEDGE AND BELIEF ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a Typed Name of Authorized Representative		b Title	c Telephone number
d Signature of Authorized Representative		e Date Signed	

Previous Editions Not Usable

Standard Form 424 - REV. 4-88
Prescribed by GSA GEN. REG. A-102

**AML GRANT PROGRAM
THE APPLICATION PROCESS**

**EXHIBIT X5-104-1
PAGE 6**

Standard Form 424 (cont'd.)

INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item | Entry | Item | Entry |
|------|---|------|---|
| 1 | Self-explanatory | 12 | List only the largest political entities affected (e.g., State, counties, cities) |
| 2 | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable) | 13 | Self-explanatory |
| 3 | State use only (if applicable). | 14 | List the applicant's Congressional District and any District(s) affected by the program or project |
| 4 | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank | 15 | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15 |
| 5 | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application | 16 | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process |
| 6 | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service | 17 | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7 | Enter the appropriate letter in the space provided | 18 | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8 | Check appropriate box and enter appropriate letter(s) in the space(s) provided
— "New" means a new assistance award
— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
— "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation | | |
| 9 | Name of Federal agency from which assistance is being requested with this application. | | |
| 10 | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | | |
| 11 | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | | |

SF 424 (REV. 4-88) B374

AML GRANT PROGRAM THE APPLICATION PROCESS

EXHIBIT X5-10A-1
PAGE 7

U.S. Department of the Interior
Office of Surface Mining Reclamation and Enforcement
Title IV - Abandoned Mine Lands Program
Budget Submittals and Financial Reporting Form

SECTION A. GENERAL		SECTION B. BUDGET AND FINANCIAL REPORTS BREAKDOWN												SECTION C. DIRECT COSTS		SECTION D. SIGNATURES	
1. Office:		3. Type of Report (Check Appropriate Boxes)		Financial Status Report			Financial Status Report			Financial Status Report			Financial Status Report			3. Date of Report	
2. Grant Title		4. Budget Submittals:		Initial <input type="checkbox"/> Revised <input type="checkbox"/>			Initial <input type="checkbox"/> Revised <input type="checkbox"/>			Initial <input type="checkbox"/> Revised <input type="checkbox"/>			Initial <input type="checkbox"/> Revised <input type="checkbox"/>			4. Telephone Number (include area code)	
3. Grant Number:		5. Financial Status Report:		Initial <input type="checkbox"/> Revised <input type="checkbox"/>			Initial <input type="checkbox"/> Revised <input type="checkbox"/>			Initial <input type="checkbox"/> Revised <input type="checkbox"/>			Initial <input type="checkbox"/> Revised <input type="checkbox"/>			5. Telephone Number (include area code)	
4. Grant Period: / / to / /		6. Financial Status Report:		Initial <input type="checkbox"/> Revised <input type="checkbox"/>			Initial <input type="checkbox"/> Revised <input type="checkbox"/>			Initial <input type="checkbox"/> Revised <input type="checkbox"/>			Initial <input type="checkbox"/> Revised <input type="checkbox"/>			6. Telephone Number (include area code)	
Budget Category	Budget Code Category		Financial Status Report			Financial Status Report			Financial Status Report			Financial Status Report			SECTION D. SIGNATURES		
	Unpaid/Unincurred	Revised	Reporting Period: / / to / /	Reporting Period: / / to / /	Reporting Period: / / to / /	Reporting Period: / / to / /	Reporting Period: / / to / /	Reporting Period: / / to / /	Reporting Period: / / to / /	Reporting Period: / / to / /	Reporting Period: / / to / /	Reporting Period: / / to / /	Reporting Period: / / to / /	Reporting Period: / / to / /			
1. AML Non-Emergency Administrative Costs			Committed	Expended	Expended	Committed	Expended	Expended	Committed	Expended	Expended	Committed	Expended	Expended	1. Signature of Authorized Official	2. Date of Report	
2. AML Emergency Program Administrative Costs															2. Name/Title of Authorized Official		
3. AML Project Costs (Non-Water Supply Projects)																	
4. AML Project Costs (Water Supply Projects)																	
5. Emergency Program Project Costs																	
6. Future Site-Specific Program Costs																	
7. Avoidable Damages Site-Specific Costs																	
8. Scientific Investigation Program Costs																	
9. Non-Emergency Program Justice Costs																	
10. Emergency Program Justice Costs																	
11. Total Program Costs																	
12. Program Revenues																	
13. Total Costs (Do not include item 12.)																	
SECTION C. DIRECT COSTS																	
Type Rate: Pre-allocated <input type="checkbox"/> Fixed <input type="checkbox"/> Provisional <input type="checkbox"/> Fixed <input type="checkbox"/>																	
Indirect Rate Calculation: Base _____ Total Indirect Amount _____																	
Date: / / Period Covered by Report: / / to / /																	

0084 66

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10A-1
PAGE 8

DETAILED INSTRUCTIONS FOR COMPLETING THE OSM 49 BUDGET INFORMATION FORM

**Options for Maintaining Accounting Records
and Reporting Budget Information**

A grantee may elect to:

- Display amounts budgeted for each of the budget/cost categories and support the cost with detailed accounting records.
- Display amounts for each budget/cost category, based on a consistent methodology for distributing costs to the budget/cost categories, which meets the requirements of the State Comptroller or comparable State organization as required by State law.

Section A. General

1. Enter the grant recipient's name.
2. Enter the fiscal year of the grant award, State, and "AML Grant", e.g., FY 1993 Alaska AML Grant.
3. Grant Number assigned by OSM.
4. Enter the beginning and ending dates of the performance period for which the budget is being submitted. (see 5-10A-05B).
5. Mark "x" in the appropriate box to indicate whether the report is the initial budget or revised budget submission.

Section B. Budget and Financial Report Breakdown

- 1.-8. For new submissions, complete the "Budget" "original/current" column for applicable budget/cost categories. Enter applicable budget amounts for all budget/cost categories on which you plan to expend funds during the grant performance period.
- 9.-10. Enter the estimated indirect costs associated with AML non-emergency program costs (item 9) and AML emergency program costs (item 10).
11. Enter the total program costs (total of items 1 through 10).
12. Enter the total amount of program income estimated to be earned during the performance period.
13. Enter the total grant amount requested (do not include item 12).

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10A-1
PAGE 9

Detailed Instructions for Completing the OSM 49 Budget Information Form (Continued)

- C. Enter the approved indirect rate.
- D. Enter the period covered by the approved indirect rate.

Note: Grantee must have a current approved indirect rate before funds for indirect costs can be awarded.

Section D. Signature

1. Enter the signature of the individual authorizing the submission of the OSM 49.
2. Enter the name and title of the individual authorizing the submission of the OSM 49.
3. Enter the date the OSM 49 was signed.
4. Enter the telephone number of the individual authorizing the submission of the OSM 49.

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-104-1
PAGE 10



OMB Approval No.
1029-0072

U.S. DEPARTMENT OF THE INTERIOR
Office of Surface Mining
Washington, DC 20240

Performance Report Program Narrative Statement

1. Type of Program (Check Appropriate Box):			
<input type="checkbox"/> Abandoned Mine Land Program		<input type="checkbox"/> State and Federal Program	
2. Grant Recipient	Type of Report	Reporting Period	Control Numbers:
3. Project Title/Program			
4. Performing Organization			
5. Program Narrative			

OSM-51 (12/80)

"The Paperwork Reduction Act of 1980 (44 U.S.C. 35) requires us to inform you that this information is being collected to determine how an applicant plans to spend Federal dollars in a grant or cooperative agreement. This information will be used to prepare budget analyses and forecasts. The obligation to respond is required to obtain a benefit."

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10A-1
PAGE 11

DETAILED INSTRUCTIONS FOR COMPLETING OSM 51 - PROGRAM NARRATIVE

1. Check the appropriate box to indicate the name of the program for which the Form 51 is being submitted.
2. Enter the name of the grant applicant.
3. Enter the exact title of the grant, e.g., FY 1993 Alaska AML Grant.
4. Enter the name of the performing organization if different from the grant recipient.
5. Enter the program narrative statement.
 - A. As detailed in OMB Circular A-102 (Revised), the Program Narrative Statement should include the following information:

Objectives and Need for Assistance. Describe any relevant physical, economic, social, financial, institutional or other problems requiring a solution. Demonstrate the need for the assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

Results and Benefits Expected. Identify results and benefits to be derived. For example, show how the facility will be used. For land acquisition or developmental projects, explain how the project will benefit the public. Note: For individual reclamation projects, if this information will be on the Problem Area Description, Form OSM-76, it need not be duplicated here.

Approach. Outline a plan of action pertaining to the scope of the grant and describe how the proposed work will be accomplished. Cite factors which might accelerate or decelerate the work and your reasons for taking this approach as opposed to others. Describe any unusual features of the project, such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvements. Provide quantitative projections of the accomplishments to be achieved, if possible. Note: For individual reclamation projects, this information will be on the Problem Area Description, Form OSM-76, and need not be duplicated here. When accomplishments cannot be quantified, list the activities in chronological order to show the schedule of accomplishments and their target dates. Identify the kinds of data to be collected and maintained, and discuss the criteria to be used to evaluate the results and success of the individual reclamation projects.

Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified are being achieved.

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10A-1
PAGE 12

Detailed Instructions for Completing OSM 51 - Program Narrative (Continued)

Geographic Location. Note: For individual reclamation projects, this information will be on the Problem Area Description, Form OSM-76, and need not be duplicated here.

- B. OSM has minimized as much as possible its requirements for additional information, while still meeting its responsibility to ensure that there is no fraud, waste, or abuse in its Federal programs and complying with other Federal requirements (such as OMB Circular A-87, which requires specific prior Federal approval for the purchase of certain items). Therefore, provide the following information for the below listed items that comprise the Administrative Costs Category:

Personnel. Provide an estimate of the number of full-time equivalent positions supported by this grant.

Fringe Benefits. Provide the basis and estimated total amount of fringe benefits.

Travel. Provide the basis for the computation of travel expenses (e.g., 5 of trips, for "y" purpose, at an average cost of \$100 per trip; 3 people to attend 3-day meeting for "y" purpose at \$200 each - \$100 transportation and \$100 subsistence).

Equipment. Provide the estimated dollar amount of total equipment to be purchased, leased or rented. Itemize equipment major, e.g., vehicles, computer-related.

Supplies. Enter estimated dollar amount of supplies. Include an itemization of computer-related hardware.

Contractual. Provide a list by purpose and estimated dollar amount of contracts.

Other. Include other items not reimbursed as an indirect cost (e.g., rent, reproduction, telephone, janitorial and security services). Provide a list by major type with the basis for computation.

- C. Several AML programs require that specific information be included in the program narrative statement. See the following chapters for guidance on the specific program requirements:

- 4-10 - Subsidence Insurance Program
- 4-20 - Set-Aside Program
- 4-40 - Acid Mine Drainage Fund

- D. To ensure consistent classification of costs as either "project", "administrative" or "indirect" for purposes of the Abandoned Mine Land (AML) Grant Program, grantees shall provide the following information as part of the program narrative (OSM 51) for each new AML grant:

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10A-1
PAGE 13

Detailed Instructions for Completing OSM 51 - Program Narrative (Continued)

Project Costs: \$

Administrative Costs: \$

Indirect Costs: \$

The total of the three items shall equal the grant request.

Project Costs include the following construction and construction-related activities:

1. Project Development - Scope of work preparation, field investigation and sampling, eligibility determinations, NEPA documentation, clearances, and preparation of OSM-76 forms for funding and project completion.
2. Project Design - Aerial photography, mapping, detailed construction plans, specifications, bidding documents, permits.
3. Realty Work - Ownership determinations, rights of entry, lien evaluations and filing, acquisition.
4. Construction contract bidding and management.
5. Construction costs, including exploratory drilling.
6. Construction inspection - site inspections, job conferences, surveys, aerial inspections.
7. Post-construction costs - project monitoring, abatement work.

Administrative Costs include the following non-construction-related activities:

1. Inventory system management, including reviewing, revising and identifying problem areas in the AML Inventory.
2. Program policy development - State/Tribe Reclamation Plan management, law/regulation analysis, program policy issues, association business.
3. Program support - Personnel management, fiscal and legal support, grant administration, training, seminars and public information costs.
4. Nonconstruction project costs - Subsidence insurance, future set-aside program and acid-mine drainage fund.

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-104-1
PAGE 14

Detailed Instructions for Completing OSM 51 - Program Narrative (Continued)

Indirect Costs - total indirect funds included in the grant. Indirect cost is calculated by multiplying the appropriate indirect cost rate by the appropriate direct cost base of the grant, as defined by the grantee's Negotiation Agreement with the Federal cognizant agency.

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10A-1
PAGE 15

U.S. Department of the Interior
Certification Regarding
Drug-Free Workplace Requirements

This certification is required by the regulations implementing the drug-free workplace requirements for Federal grant-recipients under the Drug-Free Workplace Act of 1986 (43 CFR Part 12, Subpart D). A copy of the regulation is available from the issuing office.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

Alternate 1. (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 file that are not identified here.

Name and Title of Authorized Representative

Signature _____

Date _____

DI-1955
May 1990

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10A-1

PAGE 16

Instructions for Certification

1. By signing and/or submitting this application or grant agreement, the grantee is providing the Certification Regarding Drug-Free Workplace Requirements.
2. This certification is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplaces on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of *nolo contendere*) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including (i) all "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant, and (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement, consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

U.S. Department of the Interior

**Certification Regarding
Debarment, Suspension, and Other
Responsibility Matters**

Primary Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 43 CFR Part 12, Section 12.510, Participants' responsibilities. The regulations were published as Part VII of the May 25, 1988 Federal Register (pages 19160-19211). Copies of the regulations are included in the proposal package. For further assistance in obtaining a copy of the regulations, contact the U.S. Department of the Interior, Acquisition and Assistance Division, Office of Acquisition and Property Management, 18th and C Streets, N.W., Washington, D.C. 20240.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

- (1) The prospective 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 from covered transactions 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.

Name and Title of Authorized Representative

Signature

Date

DA-1933
(10/88)

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10A-1

PAGE 18

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such a person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. 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.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List (Tel.#).
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10A-1
PAGE 19

U.S. Department of the Interior

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

Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 49 CFR Part 12, Section 12.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211). Copies of the regulations are included in the proposal package. For further assistance in obtaining a copy of the regulations, contact the U.S. Department of the Interior, Acquisition and Assistance Division, Office of Acquisition and Property Management, 18th and C Streets, N.W., Washington, D.C. 20240.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

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

Name and Title of Authorized Representative

Signature

Date

DI-1954
(9/88)

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-104-1
PAGE 20

Instructions for Certification

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

**U.S. Department of the Interior
Certification Regarding Lobbying**

This certification is required by Section 1352, title 31, U.S. Code, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions."

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)
Certification for Contracts, Grants, Loans, and Cooperative Agreements

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 any 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.

Signature _____

Date _____

IF 1983
Jan 84

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10A-1
PAGE 22

Instructions for Certification

1. This certification and a disclosure form should be filed by each person as required, with each submission that initiates agency consideration of such person for: (1) award of a Federal contract, grant, or cooperative agreement exceeding \$100,000 or (2) an award of a Federal loan or a commitment providing for the United States to insure or guarantee a loan exceeding \$150,000.
2. This certification and a disclosure form should be filed by each person as required, upon receipt by such person of (1) a Federal contract, grant, or cooperative agreement exceeding \$100,000, or (2) a Federal loan or a commitment providing for the United States to insure or guarantee a loan exceeding \$150,000, unless such person previously filed a certification, and a disclosure form, if required, at the time agency consideration was initiated.
3. Any person who requests or receives from a person referred to in paragraphs (1) and (2) above (1) a subcontract exceeding \$100,000 at any tier under a Federal contract; (2) a subcontract, contract, or subcontract exceeding \$100,000 at any tier under a Federal grant; (3) a contract or subcontract exceeding \$100,000 at any tier under a Federal loan exceeding \$150,000, or, (4) a contract or subcontract exceeding \$100,000 at any tier under a Federal cooperative agreement, shall file a certification, and a disclosure form, as required, to the next tier above.
4. All disclosure forms, but not certifications, shall be forwarded from tier to tier until received by the person referred to in paragraphs (1) or (2) above. That person shall forward all disclosure forms to the appropriate Bureau/Office within the Department of the Interior.
5. Any certification or disclosure form filed under paragraph (4) above shall be treated as a material representation of fact upon which all receiving tiers shall rely. All liability arising from an erroneous representation shall be borne solely by the tier filing that representation and shall not be shared by any tier to which the erroneous representation is forwarded. Submitting an erroneous certification or disclosure constitutes a failure to file the required certification or disclosure, respectively. If a person fails to file a required certification or disclosure, the United States may pursue all available remedies, including those authorized by Section 1352, title 31, U.S. Code.

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10A-1
PAGE 23

Appendix B to Part ____ — Disclosure Form to Report Lobbying

Approved by OMB
03-48-004E

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

<p>1. Type of Federal Action:</p> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<p>2. Status of Federal Action:</p> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<p>3. Report Type:</p> <input type="checkbox"/> a. initial/filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report: _____
<p>4. Name and Address of Reporting Entity:</p> <p><input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:</p> <p>Congressional District, if known: _____</p>		<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known: _____</p>
<p>6. Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number, if applicable: _____</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known: \$ _____</p>	
<p>10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI):</p>	<p>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</p>	
<p>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>		
<p>11. Amount of Payment (check all that apply):</p> <p>\$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned</p>	<p>13. Type of Payment (check all that apply):</p> <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____	
<p>12. Form of Payment (check all that apply):</p> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____		
<p>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:</p> <p>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>		
<p>15. Continuation Sheet(s) SF-LLL-A attached: <input type="checkbox"/> Yes <input type="checkbox"/> No</p>		
<p>16. Information requested through this form is authorized by 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the Government when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____</p>	
<p>Federal Use Only:</p>		<p>Authorized for Local Reproduction Standard Form-LLL</p>

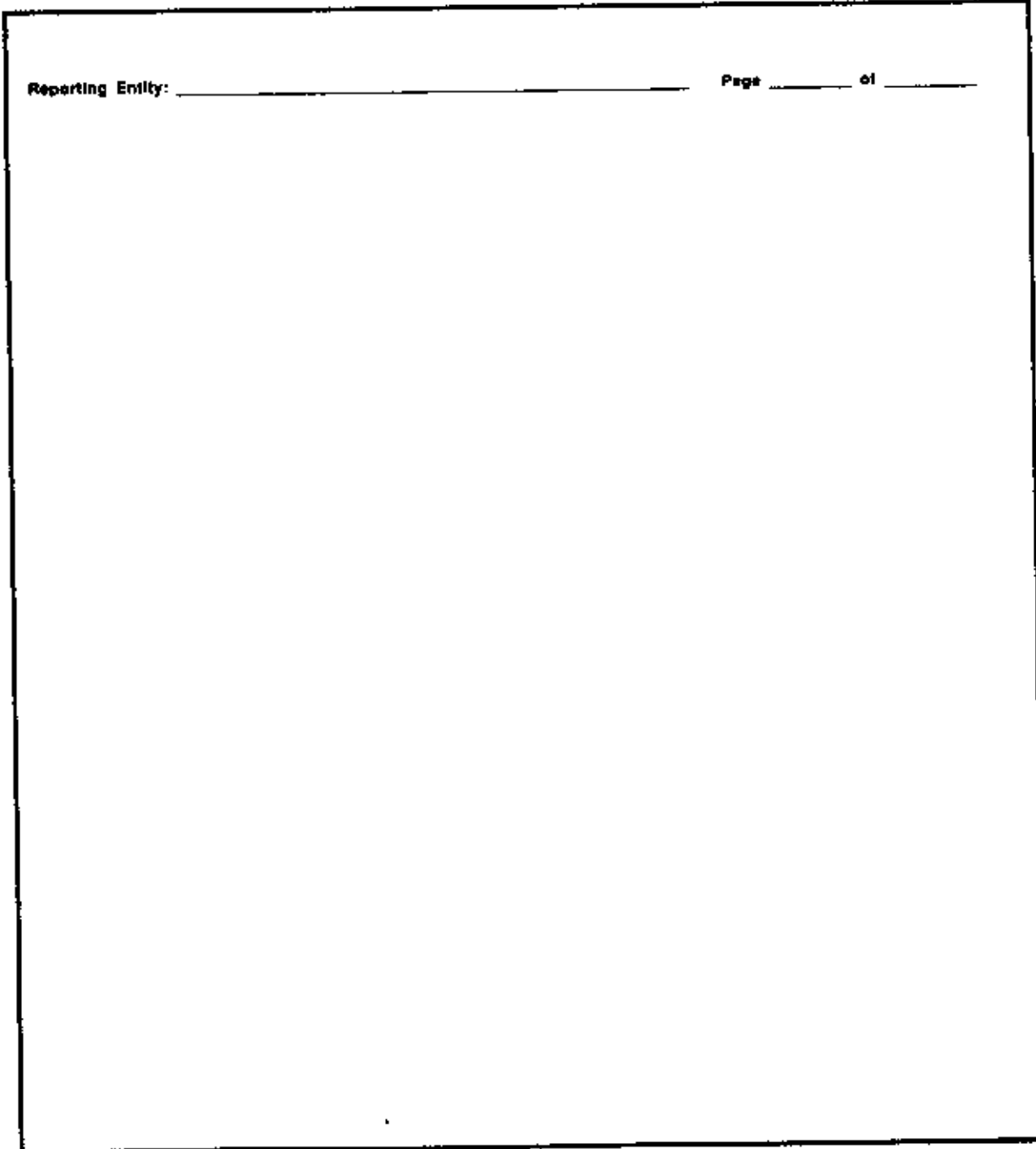
AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT 5-10A-1
PAGE 24

DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET

Approved by OMB
0348-0048

Reporting Entity: _____ Page _____ of _____



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Standard Form - LLL-A

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10A-1
PAGE 25

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime federal recipient, at the initiation or receipt of a covered federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity 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 a covered federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered federal action.
2. Identify the status of the covered federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include congressional district, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, state and zip code of the prime federal recipient. Include congressional district, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the federal program name or description for the covered federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate federal identifying number available for the federal action identified in item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract, grant, or loan award number, the application/proposal control number assigned by the federal agency, include prefixes, e.g., "RFP-DE-90-001").
9. For a covered federal action where there has been an award or loan commitment by the federal agency, enter the federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10.(a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate boxes; Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate boxes; Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with federal officials. Identify the federal official(s) or employee(s) contacted or the officer(s), employee(s), or member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for the collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (3048-0048), Washington, D.C. 20503.

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT 5-104-1
PAGE 26

Standard Form 424B

OMB Approval No. 0348-0040

ASSURANCES — NON-CONSTRUCTION PROGRAMS

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award, and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352), which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd 3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-346) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

Standard Form 424B - 11/79
Prescribed by OMB Circular 4740

**AML GRANT PROGRAM
THE APPLICATION PROCESS**

**EXHIBIT X5-10A-1
PAGE 27**

Standard Form 424B (cont'd.)

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 4701, EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

SF 424B 14-88 Back

AML GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT 5-104-1
PAGE 28

Standard Form 424D

OMB Approved No. 0348-0042

ASSURANCES — CONSTRUCTION PROGRAMS

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance, and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794) which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107) which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 93-255), as amended, relating to non-discrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made, and (j) the requirements on any other non-discrimination Statute(s) which may apply to the application.

Standard Form 424D 11-88
Prescribed by OMB Circular A-102

**AML GRANT PROGRAM
THE APPLICATION PROCESS**

**EXHIBIT X5-10A-1
PAGE 29**

Standard Form 424D (cont'd.)

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), the Contract Work Hours and Safety Standards Act (40 U.S. §§ 327-333) regarding labor standards for federally assisted construction subagreements.
14. Will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (c) notification of violating facilities pursuant to EO 11738; (d) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in floodplains in accordance with EO 11988; (f) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (g) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (h) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523), and (i) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205)
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
19. Will comply with all applicable requirements of all other Federal laws, Executive Orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

SF 424D 1-88 6-7



CHAPTER 5-10R
REGULATORY GRANT PROGRAM
THE APPLICATION PROCESS

5-10R-00	Purpose
10	Policy
20	Responsibilities
30	Application Requirements

5-10R-00 PURPOSE

This chapter establishes procedures and provides instructions for applying for OSM regulatory grants and cooperative agreements.

5-10R-10 POLICY

- A. All regulatory grant applications and cooperative agreements shall be submitted to the designated OSM FO.
- B. An applicant may apply for Federal assistance at anytime during the year to the appropriate OSM FO at least 60 days prior to the beginning of the intended grant period.
- C. Preapplications are not required for OSM regulatory grant/cooperative agreement programs.

5-10R-20 RESPONSIBILITIES

- A. The applicant for an OSM grant is responsible for submitting a complete application to its designated FO.
- B. The OSM FO shall, if requested, provide necessary guidance to the applicant during preparation of an application.
- C. The OSM FO Director shall confirm receipt of the application in writing within three working days of receipt.

5-10R-30 APPLICATION REQUIREMENTS

- A. General
 - 1. Applicants shall submit one signed original and two copies of the complete application.
 - 2. The complete application shall be submitted to the appropriate FO at least 60 days prior to the intended start of the grant/cooperative agreement.

REGULATORY GRANT PROGRAM
THE APPLICATION PROCESS

PAGE 2

5-10R-30 (Continued)

B. Application Package. A complete application package for a regulatory grant consists of:

- | | |
|--|------------------|
| - Application for Federal Assistance | SF 424 |
| - Budget Information Report | OSM 47 |
| - Narrative explanation and justification of budget items | -- |
| - Program Narrative Statement | OSM 51 |
| - Quantitative Program Management Information | OSM 51A, B and C |
| - Certification Regarding Drug Free Workplace Requirements | DI-1955 |
| - Certification Regarding Debarment, Suspension and Other Responsibility Matters -- Primary Covered Transactions | DI-1953 |
| - Certification Regarding Debarment, Suspension Ineligibility and Voluntary Exclusion -- Lower-Tier Covered Transactions | DI-1954 |
| - Certification Regarding Lobbying | DI-1963 |
| - Disclosure of Lobbying Activities | SF-LLL |
| - Nonconstruction Assurances | SF 424B |

Detailed instructions for preparing documentation for a regulatory application package are provided at Exhibit X5-10R-1.

REGULATORY GRANT PROGRAM
THE APPLICATION PROCESS

EXHIBIT X5-10R-1
PAGE 3

INSTRUCTIONS FOR PREPARING DOCUMENTATION FOR A REGULATORY
APPLICATION PACKAGE

<u>Document/Form</u>	<u>See Page(s)</u>
Application for Federal Assistance, SF 424	4-5
Budget Information Report, OSM 47 and Narrative explanation and justification of budget items	6-11
Program Narrative Statement, OSM 51	12-14
Certification Regarding Drug-Free Workplace Requirements, DI-1955 *Indian Tribes - Certification required with each application States Certification required annually	15-16
Certification Regarding Debarment, Suspension and Other Responsibility Matters -- Primary Covered Transactions, DI-1953	17-18
Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower-Tier Covered Transactions, DI-1954 *Certification required only if lower-tier participants specifically identified in application	19-20
Certification Regarding Lobbying, DI-1963	21-22
Disclosure of Lobbying Activities, SF-LLL	23-25
Nonconstruction Assurances, SF 424B	26-27

**REGULATORY GRANT PROGRAM
THE APPLICATION PROCESS**

EXHIBIT X5-10R-1
PAGE 4

Standard Form 424

OMB Approval No. 0344-0043

APPLICATION FOR FEDERAL ASSISTANCE		1. DATE SUBMITTED		Applicant Identifier	
		3. DATE RECEIVED BY STATE		State Application Identifier	
1. TYPE OF SUBMISSION Application <input type="checkbox"/> Construction <input type="checkbox"/> Pre-application Construction <input type="checkbox"/> Non-Construction <input type="checkbox"/> Non-Construction		4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier	
		2. APPLICANT INFORMATION			
Legal Name			Organizational Level		
Address (include city, county, state and zip code)			Name and telephone number of the person to be contacted on matters involving this application (give area code)		
6. EMPLOYER IDENTIFICATION NUMBER (EIN) [] [] [] - [] [] [] [] [] [] [] [] [] []			7. TYPE OF APPLICANT (enter appropriate letter in box) <input type="checkbox"/> A. State M. Independent School Dist. B. County N. State Controlled Institution of Higher Learning C. Municipal O. Private University D. Township P. Indian Tribe E. Interstate Q. Individual F. Inter-municipal R. Profit Organization G. Special District S. Other (Specify) _____		
8. TYPE OF APPLICATION <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision II Request enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify) _____			9. NAME OF FEDERAL AGENCY		
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER TITLE			11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT		
12. AREAS AFFECTED BY PROJECT (include counties, states, etc.)					
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICT'S OF			
Start Date	Ending Date	a. Applicant b. Project			
15. ESTIMATED FUNDING		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?			
a. Federal	\$ 00	a. YES THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____			
b. Applicant	\$ 00	b. NO <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW			
c. State	\$ 00				
d. Local	\$ 00				
e. Other	\$ 00				
f. Program Income	\$ 00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?			
g. TOTAL	\$ 00	<input type="checkbox"/> Yes If "Yes" attach an explanation <input type="checkbox"/> No			
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.					
a. Typed Name of Authorized Representative		b. Title		c. Telephone number	
d. Signature of Authorized Representative				e. Date Signed	

Previous Editions Not Usable

Standard Form 424 - Rev. 4-85
Prescribed by GSA GEN. REG. & INV.

AK 9 2000

FEDERAL ASSISTANCE MANUAL

**REGULATORY GRANT PROGRAM
THE APPLICATION PROCESS**

EXHIBIT X5-10R-1
PAGE 5

Standard Form 424 (cont'd.)

INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required factsheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item | Entry: | Item | Entry: |
|------|--|------|--|
| 1 | Self-explanatory. | 12 | List only the largest political entities affected (e.g., State, counties, cities) |
| 2 | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable) | 13 | Self-explanatory |
| 3 | State use only (if applicable) | 14 | List the applicant's Congressional District and any District(s) affected by the program or project |
| 4 | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank | 15. | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5 | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. |
| 6 | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17 | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7 | Enter the appropriate letter in the space provided. | 18 | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided
— "New" means a new assistance award
— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
— "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |
| 9 | Name of Federal agency from which assistance is being requested with this application. | | |
| 10. | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested | | |
| 11. | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | | |

SF 424 (REV. 4-88) 5411

