

**INSTRUCTIONS FOR  
APPLICATION FOR A CERTIFICATE OF APPROVAL**  
Part of State Form 52889 (R2 / 8-19)

## BACKGROUND

Indiana Code § 14-21-1-18(a) and (b) require that a certificate of approval be obtained before using state funds to alter, demolish, or remove an historic site or historic structure, if it is owned by the state or if it is listed in either the Indiana Register of Historic Sites and Structures or the National Register of Historic Places. The application must be submitted to the Department of Natural Resources, Division of Historic Preservation and Archaeology (“DHPA”), and heard by the Historic Preservation Review Board (“Review Board”).

A state administrative rule regarding the certificate of approval process, 312 IAC 20-3-3, took effect on December 1, 2003. The rule requires that a completed application for a certificate of approval be filed with DHPA at least forty (40) days prior to the Review Board meeting at which the application is to be considered. The rule also requires that the application be submitted on a form to be provided by DHPA. This is the form to be used for the application.

## DETERMINING WHETHER A CERTIFICATE OF APPROVAL IS REQUIRED

If the state agency or its applicant for funding is not certain whether or not the project will alter, demolish, or remove a site or structure that is historic, then the state agency or applicant may ask for DHPA’s technical advice on the historical, architectural, or archaeological significance of sites or structures, or on the project’s impact on them, before applying formally for a certificate of approval. Depending on the nature of the project and the properties it could impact, the Director of DHPA or the DHPA staff may recommend that additional information be provided for the benefit of the Review Board, such as the report of an archaeological investigation of an undisturbed parcel of land, a structural report on a structure proposed for demolition, or photographs of work areas and detailed plans and specifications of proposed rehabilitation work.

Consequently, it would be advisable for the applicant to consult informally with the DHPA staff well before the forty (40) day deadline for filing the application for a certificate of approval, so that the staff could advise the applicant whether any of those additional items will be needed prior to the Review Board meeting. Similarly, the DHPA staff informally can advise the applicant of any other, obvious information deficiencies or of questions that the Review Board likely would want to have answered before the Review Board meeting.

## COMPLETING AND FILING THE APPLICATION FORM

Once it is determined that an historic site or historic structure will be altered, demolished, or removed and that a certificate of approval will have to be obtained, please complete the form below. Attempt to respond to the numbered items below *on the application form*. If you have an electronic copy of this form, you may enlarge the space provided between questions in order to accommodate your written response. If any of the requested information will not fit into the space provided then you may attach additional sheets and indicate where that information may be found (e.g., “Continued on attached sheet” or “See response on page 1 of the attachment” or “Photographs attached”). Please note that Question 4 is requesting detailed information on the proposed work for the project (scope of work). A clear description of the scope of work will greatly assist the review process. If any requested item of information is inapplicable, then please explain.

**Please file one (1) copy of the application form and of any attachments to the DHPA at least forty (40) days prior to the meeting at which you wish to have the application considered by the Review Board.** You will be notified by DHPA staff if an additional eleven (11) copies are needed for Review Board consideration. To be deemed filed, the application must be received at the DHPA office no later than

4:45 PM on the day that is forty (40) days prior to the date of the meeting. The Review Board typically meets on a Wednesday in the last half of January, April, July, and October. You may check with DHPA staff or visit the DHPA website to ascertain the date of the next meeting and the date on which the forty (40) day deadline falls.

#### BEFORE THE REVIEW BOARD MEETING

The agenda, staff comments, and applications for certificates of approval are mailed to Review Board members about two (2) weeks prior to the next Review Board meeting. The applicant's principal contact person will receive a copy of the staff comments after they have been prepared for the Review Board members and prior to the meeting. To save on postage and copying costs, the DHPA staff prefers to send the agenda and staff comments by e-mail, so please provide an e-mail address for the principal contact person on the project.

The principal contact person and/or another representative of the certificate of approval applicant who is knowledgeable about the details of the project should plan to attend the Review Board meeting. Typically, an applicant is given a few minutes to explain the project or to highlight key points, and the Review Board members often ask questions about the application.

#### EXPIRATION DATE

By board policy, a certificate of approval granted by the Indiana Historic Preservation Review Board shall be in effect for two (2) years from the date of issuance, unless otherwise specified. An applicant that requests an extension to a certificate of approval *prior to* its expiration, is automatically granted a temporary extension until such time as the board may act upon the request to approve or deny further extensions of time.

#### MAILING OR DELIVERY ADDRESS FOR THE APPLICATION

Indiana Department of Natural Resources  
Division of Historic Preservation and Archaeology  
402 West Washington Street, Room W274  
Indianapolis, Indiana 46204-2739

#### FOR MORE INFORMATION

Questions about issues pertaining to structures should be directed to the Historic Structures Review Section of DHPA. Questions about archaeological matters should be directed to the Archaeology Section. Either section may be contacted at 317-232-1646 or at [dhpa@dnr.in.gov](mailto:dhpa@dnr.in.gov).



## APPLICATION FOR A CERTIFICATE OF APPROVAL

State Form 52889 (R2/ 8-19)  
DEPARTMENT OF NATURAL RESOURCES  
DIVISION OF HISTORIC PRESERVATION AND ARCHAEOLOGY

*Please provide the information requested in the numbered items below, or explain why it is inapplicable. Please attach additional sheets as needed for complete explanation.*

Date (month, day, year): \_\_\_\_\_

- This is a new submittal.
- This is revised/additional information relating to DHPA number \_\_\_\_\_.
- This project will also be applying for Federal Rehabilitation Investment Tax Credit.
- This project will also include federal involvement and will therefore be undergoing a Section 106 review.

- 1) Identify the state agency that will be spending or providing the funds and if applicable the entity (local government, not-for-profit organization, etc.) that is applying for or that has received the state funds. Also, if applicable, indicate which grant program is being utilized.

- 2) Provide the name, mailing address, telephone number, and e-mail address of the principal contact person for this application. The principal contact person may be an official or an employee of the state agency, applicant, or the applicant's consultant or other agent.

- 3) As applicable, provide the address, and the nearest city or town, township, and county of the proposed project area.

- 4) Provide a detailed description of all construction, demolition, landscaping, earthmoving, rehabilitation, and installation activities proposed as part of this project (i.e., scope of work). This needs to include as much detail as possible at the time of submission. If you have copies of estimates or descriptions of proposed work from contractors those can be attached. If replacement of historic materials/features is proposed then documentation of the current condition justifying the need for replacement along with information on proposed replacement materials/items must be provided.

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- 5) Provide a detailed explanation of how, and to what extent, land, buildings, structures, or objects, in or adjacent to the project area, could be physically altered or visually modified or obscured by the work being proposed as part of this project. This should include impacts to surrounding properties and not just the project site.

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- 6) Describe the current and past land uses within the project area. In particular, state whether or not ground disturbance has occurred through construction, excavation, grading, or filling, and, if so, indicate the part(s) of the project area that have been disturbed. Explain the nature and depth of the disturbance. Be aware that agricultural tilling generally does not have a serious enough impact on archaeological sites to constitute a disturbance of the ground for this purpose.

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- 7) State the known or approximate dates of construction of structures (including buildings, bridges, monuments, picnic shelters, historic districts, etc.) and any other historical information known about the land and structures within the project area. For projects involving buildings or structures include the date of original construction along with the dates of any previous alterations/renovations. It may be necessary to consult county histories, the State Historic Architectural and Archaeological Research Database (SHAARD), the county historian, or a local historical or historic preservation organization for this information. The SHAARD database and user guide can be found on the DHPA website at [www.in.gov/dnr/historic](http://www.in.gov/dnr/historic).

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8) Attach a high quality photocopy of a map, identifying the location of the project, and showing the relevant portion of the city or town, county, or U.S. Geological Survey quadrangle. Be sure that streets, roads, highways, railroads, rivers, lakes, etc., are clearly identified and that the boundaries of the project area and of any property to be sold leased, altered, demolished, or removed are clearly outlined in a dark ink (highlighter and pencil marks do not photocopy well). If there are other properties within or adjacent to the project area that are or may be at least fifty (50) years of age, then they should be identified on the map and keyed to written descriptions and to any photographs included with the written description and map.

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9) Attach recent photographs (exterior and, when relevant to the scope of work, interior) of any structures that may be fifty (50) years old or older and that could be impacted in any way (such as by demolition, rehabilitation, expansion, sale, taking of right-of-way, or visual modification or obscuration) by the project. All photographs must be in color with no more than two photographs per 8 1/2" x 11" page. Photographs must be clearly labeled and when possible keyed to site/floor plans.

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10) Provide a site plan for projects that will involve new construction, additions to existing buildings, changes in right-of-way or earthmoving activities, showing the footprint of existing and/or proposed buildings or structures with the location of all construction, changes in right-of-way or earthmoving activities on a particular lot or lots depicted as precisely as possible.

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11) For projects involving the addition to, or the rehabilitation or restoration of, an historic structure, provide copies of architectural or engineering plans or specifications. Plans are required when the scope of work includes alterations to the floor plan or changes to the configuration of the exterior. Replacement of roofs, windows within their existing openings, and in-kind repairs to existing materials typically do not require architectural plans. If you are unsure if plans would be needed for your project please check with DHPA staff. Provide only those sheets that help to depict character defining features of the historic structure and how they will be altered. Reduce any plan or elevation sheets to no larger than 11" x 17". If pertinent notes on the sheets are too small to read in reduced form, then they should be reproduced elsewhere in the application in larger print or provided digitally as a PDF. Similarly, if the applicant believes it would be useful to provide copies of specifications for the treatment of historically or architecturally significant features, then please reproduce only the most relevant pages from the specifications.

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12) If an historic site or historic structure will be altered, demolished, or removed as part of the project, then identify any alternatives that were, or reasonably could be, considered that would not have as great an impact on the historic site or structure. Discuss the advantages and disadvantages of those alternatives and their feasibility. If there are no feasible alternatives, please explain.

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13) Certificates of approval granted by the Indiana Historic Preservation Review Board expire two (2) years from issuance, unless otherwise specified or extended by action of the board. If requesting a longer timeframe for completion, please note the time (in years) and briefly state reason(s) below.