



State Form 50554 (R15 / 7-16)

Indiana Department of Natural Resources  
Division of Historic Preservation and Archaeology  
402 West Washington Street, Room #W274  
Indianapolis, IN 46204-2739  
317-232-1646

**HISTORIC PRESERVATION FUND**

**ACQUISITION AND DEVELOPMENT**  
(Rehabilitation and "Bricks and Mortar" Projects)

**GRANT APPLICATION PACKET**

**For Federal Fiscal Year 2017**

**A PROGRAM OF THE NATIONAL PARK SERVICE,  
U.S. DEPARTMENT OF THE INTERIOR**

**ADMINISTERED BY THE INDIANA DEPARTMENT OF NATURAL RESOURCES,  
DIVISION OF HISTORIC PRESERVATION AND ARCHAEOLOGY**



# FY2017 HISTORIC PRESERVATION FUND ACQUISITION AND DEVELOPMENT GRANT APPLICATION

## INTRODUCTION

The Division of Historic Preservation and Archaeology (DHPA), part of the Indiana Department of Natural Resources, is the state agency responsible for the administration of the National Historic Preservation Act of 1966. This Act authorizes the Secretary of the Interior, through the National Park Service, to provide money from the Historic Preservation Fund (HPF) to the states for the purpose of carrying out historic preservation activities. In Indiana, a large portion of these funds are allocated as matching grants to various parties who agree to undertake specific projects that will assist the State in meeting its preservation goals and objectives.

The information on the following pages describes the grant program more fully and explains the process for requesting grant funds. Grant applications for FY2017 will be accepted by the Division of Historic Preservation and Archaeology until **5:00 p.m. Friday, October 7, 2016**. After evaluation by DHPA Staff, all applications (except any that propose non-eligible activities) will be presented to the Indiana Historic Preservation Review Board at its first meeting in 2017, which is tentatively scheduled for late-January. This Board will vote on funding recommendations for projects which best meet the state and federal guidelines and priorities for the HPF matching grants program. Applicants will be notified of the Board's decision regarding their project proposals no later than **February 28, 2017**. This is normally a *tentative notification* until the DHPA has applied for Indiana's HPF allocation from the National Park Service and been approved. Furthermore, no work can begin until a formal grant agreement has been concluded between the applicant and the State. This process is normally completed by the end of May. All grant projects **MUST** be completed by **June 30, 2018**.

## PART I: GENERAL GUIDELINES

### A. Types of Projects

Federal regulations specify that only certain types of preservation projects are eligible for funding under this grants program, including Architectural and Historical projects, Archaeological projects, and Acquisition and Development projects. This application packet is designed specifically for **Acquisition and Development** projects, which include the following:

1. The preservation, rehabilitation, or restoration of a site, structure, object, or other resource currently listed in the National Register of Historic Places, or for which a nomination has already been submitted to the DHPA for review and which will be listed before the proposed project begins. (See Part I, Section B.2. for further details.) The resulting work must be conducted in accordance with the Secretary of the Interior's Standards for the Treatment of Historic Properties (see Appendix B). Top priority is given to projects that will result in the structural stabilization of threatened or endangered historic resources. Please contact the DHPA if you have any questions about this type of project, or if you need more detailed information concerning the Secretary of the Interior's Standards. Note that the "reconstruction" of a historic building, structure, or feature is an allowable activity under the National Park Service guidelines for this grants program; however, the DHPA Staff and the constituents of Indiana have determined this activity to be a low priority item for funding consideration. Please contact the DHPA before applying for a reconstruction project.
2. The purchase (acquisition) of a site, structure, object, or other resource currently listed in the National Register of Historic Places, or for which a nomination has already been submitted to the DHPA for review and which will be listed before the proposed project begins. (See Part I, Section B.2. for further details.) Note that while "acquisition" of a historic building or structure is an allowable activity under the National Park Service guidelines for this grants program, the DHPA Staff and the constituents of Indiana have determined this activity to be a low priority item for funding consideration. Please contact the DHPA before applying for an acquisition project as additional forms and documentation may be required to complete the grant application.

Under the approved evaluation criteria, certain activities are considered to be high or middle priority work items, while other activities are deemed to be lower priority work items. A proposed project may sometimes include a mix of different priority activities. In general, however, the competition for grant funds does not allow for the funding of low priority work items. Contact the DHPA Grants Staff if you have any questions about the eligibility of specific work items.

**High Priority Work Items:**

- ❖ Stabilization of an endangered National Register-listed property
- ❖ Preservation of an endangered National Register-listed property
- ❖ Rehabilitation of an endangered National Register-listed property
- ❖ Restoration of an endangered National Register-listed property

**Middle Priority Work Items:**

- ❖ Preservation of a non-endangered National Register-listed property
- ❖ Rehabilitation of a non-endangered National Register-listed property
- ❖ Restoration of a non-endangered National Register-listed property
- ❖ Utilities upgrades for a National Register-listed property
- ❖ Preservation or restoration of interior features of high cultural or artistic value at a National Register-listed property

**Low Priority Work Items:**

- ❖ Acquisition of a National Register-listed property
- ❖ General interior rehabilitation of a National Register-listed property
- ❖ Other non-urgent rehabilitation activities at a National Register-listed property
- ❖ Undertakings for improvement of functionality, such as improved access and/or energy conservation, at a National Register-listed property

**Ineligible/Unallowable Work Items:**

- ❖ New construction
- ❖ Landscaping (other than grading necessary to correct drainage problems)
- ❖ Directional and/or interpretive signage
- ❖ Museum exhibits
- ❖ Any priority work items at a property that is NOT National Register-listed

**B. Eligibility Requirements**

1. **Applicant Eligibility:** Eligible applicants include (a) private, non-profit organizations with 501(c)(3) tax exempt status (such as local historical societies, preservation organizations), (b) educational institutions (such as public and private schools, colleges, and universities), and (c) local governmental units (including city and county agencies and commissions funded by a consortium of local governments). Individuals and private, for-profit entities are not eligible to receive grant funds because federal regulations prohibit grant recipients from making a financial profit as a direct result of the grant-assisted project. Note also that state and federal auditing and income tax regulations prevent the DHPA from making a grant award to an organization which is not incorporated, or which does not otherwise exist as a legal entity.
2. **Property Eligibility:** Properties to be assisted with grant funds MUST be listed in the National Register of Historic Places at the time of application, OR they must be in the nomination process and have passed both technical and substantive review at the time of application. The DHPA is forbidden from investing grant funds into properties that are not listed in the National Register; therefore, applicants should not submit grant applications for properties that are not currently listed without the approval of the DHPA Staff. Properties may be listed individually, or they may be listed as contributing resources within listed historic districts. Note that properties within the boundaries of historic districts that are designated as “non-contributing” (NC) are not eligible to receive grant funding. Properties listed in the State Register of Historic Sites and Structures that are not also listed in the National Register of Historic Places are not eligible to receive grant funding. Please note that a County Interim

Report listing does not imply a National Register listing. To find out the National Register status of a property, contact the DHPA National Register Staff: 317-232-1646.

3. **Eligibility of Proposed Work Items:** All proposed work must conform to the “Secretary of the Interior’s Standards for the Treatment of Historic Properties” (see Appendix B). Work that does not conform to these Standards is not eligible for reimbursement under this program. The Secretary of the Interior’s Standards provide common sense guidelines for rehabilitation efforts that will respect original historic fabric and the patina of age while returning the building or structure to a state of utility within reasonable financial limitations. Projects that will include or necessitate ground disturbance, or are within or in the vicinity (100 yards) of a cemetery, should consult DHPA staff about possible archaeology requirements (see Appendix F).
4. **Protective Covenants:** The terms under which all Acquisition and Development grants are made requires the State to hold a protective covenant on any property purchased or rehabilitated using federal money, as a means of protecting the public’s interest in that property. These covenants require the grant recipient/property owner to maintain their property so as to preserve the historical and architectural integrity of the features, materials, appearance, workmanship, and environment that made the property eligible for listing in the National Register of Historic Places, and to prevent inappropriate, incompatible, and/or irreversible changes to the property in the future. Properties receiving \$2,000 to \$25,000 will have a covenant in place for a period of five (5) years; properties receiving \$25,001 to \$50,000 will have a covenant in place for a period of ten (10) years. The covenant must be legally recorded with the title to the property BEFORE any grant funds can be released by the DHPA. Throughout the duration of the covenant, the grant recipient must request written approval from the DHPA before beginning any work on the property (interior and exterior), other than general day-to-day maintenance. DHPA approval will be given only if the proposed work meets the applicable Secretary of the Interior’s Standards. The grant recipient must respond to an annual questionnaire about the condition of the property and planned rehabilitation activities. In addition, DHPA staff will also conduct periodic, unannounced site inspections to monitor compliance with the covenant. Violations of the covenant that cannot be adequately resolved by the DHPA will be submitted to the Indiana Attorney General’s Office for prosecution. (See Appendix E – Protective Covenant Required for Properties Rehabilitated Using Federal Funds.)

### **C. Project Personnel**

Project personnel includes a Project Coordinator and a Principal Investigator. The Project Coordinator is the person who will supervise the grant administration. All proposals require a Project Coordinator, and the majority of projects require a Principal Investigator who meets professional qualifications specific to the type of project being proposed. **Grant applicants MUST designate a Project Coordinator on their grant proposal; however, they may designate a Principal Investigator at a later date if one is to be hired and paid using grant funds.**

The **Project Coordinator** is the person authorized to represent the grant recipient/project sponsor in the day-to-day administration of the project. The Project Coordinator is responsible for ensuring the progress and timely completion of all work on the project, and also for submitting progress reports and reimbursement requests to the Division of Historic Preservation and Archaeology. The Project Coordinator is also the DHPA’s contact for all correspondence relating to the project. While it is obvious that the Project Coordinator must be a capable, reliable, and conscientious person, there are no academic or professional requirements for this position. Select a Project Coordinator who will be able to commit to the project for the duration of the grant and who will be available to undertake the responsibilities of the role.

The **Principal Investigator** is the person who conducts or supervises the professional aspects of the grant project. It is the Principal Investigator that is held responsible for the quality of the final product, including any remedial work that may be required by the State. **Note that the State is prevented by federal regulations from paying for work that does not meet professional standards.** The Principal Investigator must meet the requirements listed in 36 CFR 61 for the appropriate discipline, and must be able to demonstrate previous experience on a similar project. (See Appendix A – 36 CFR 61 Professional Qualifications.) In most instances, the Principal Investigator for an Acquisition and Development project must either be an architect or an independent general contractor who is not working on the project. The Principal Investigator must be someone professionally capable of inspecting the rehabilitation work, verifying that the work performed conforms to the approved plans and specifications, and protecting the interests of the

property owner/project sponsor. In some instances it is not necessary to designate a Principal Investigator at the time of application: if the services of a Principal Investigator are included in the project budget, but the sponsoring organization does not have an agent or employee to act in that role then services must be procured according to federal and state requirements. In this case, indicate that the Principal Investigator is: "To Be Selected."

It is possible for one person to serve as both Project Coordinator and Principal Investigator, assuming that he or she has the necessary qualifications, experience, and ability. Grant applicants should contact the DHPA if they have any questions regarding these two positions.

The **Property Owner's Agent** must be designated in rare instances when the project sponsor organization does not own the property to be rehabilitated with grant assistance. This person must be either the property owner or someone authorized to act on behalf of the property owner. The Property Owner's Agent shall be a primary point of contact for the Project Coordinator, the Principal Investigator, and the DHPA. Specifically, the Property Owner's Agent must coordinate access to the property, posting of the project sign, and execution of the covenant document. Note that the property owner and the Property Owner's Agent are bound to the terms and conditions of this grant agreement also. Failure to abide by these conditions may result in cancellation of the grant award.

#### **D. Funding Levels**

All funds distributed through the HPF grants program are awarded in the form of matching grants, which require the grant recipients or sponsoring organizations to supply a certain percentage of the total project costs. Acquisition and Development projects are eligible for grant funding in the amount of **50%** of the total project costs; the grant recipient must pay the remaining 50% of the total project cost. Questions regarding funding levels should be directed to the DHPA's Grants Staff. The federal grant amount requested for an Acquisition and Development project must be at least **\$2,000**, but cannot exceed **\$50,000**.

It is the general policy of the Division of Historic Preservation and Archaeology, when funding projects, to provide the maximum amount of financial support possible. Note, however, that under some circumstances, a grant providing a lesser amount of funding might be offered, with a request for a corresponding reduction in the proposed scope of work. It would then be up to the grant applicant, after consultation with the DHPA, to decide whether or not to modify the proposed scope of work, accept the grant award, and proceed with the project.

**The Indiana Historic Preservation Review Board reserves the right to reject grant applications that do not include an adequate project description, or that include project budgets not commensurate with the product(s) to be created or the amount of work to be done.**

The DHPA estimates that **between \$350,000 and \$450,000** will be available for distribution as grant awards. If the available funding is between \$300,000 and \$399,999 this funding amount will be distributed as follows: approximately **15%** will be targeted for Architectural and Historical projects, approximately **30%** will be targeted for Archaeological projects, and approximately **55%** will be targeted for Acquisition and Development projects. If the available funding is between \$400,000 and \$499,999 this funding amount will be distributed as follows: approximately **14%** will be targeted for Architectural and Historical projects, approximately **28%** will be targeted for Archaeological projects, and approximately **58%** will be targeted for Acquisition and Development projects.

#### **E. Matching Share**

Because HPF grant funds can provide only a portion of the total costs of a project (as explained in D. Funding Levels, above) and **must be matched** at the ratio stipulated in the grant agreement, the grant applicant must make arrangements to provide the Matching Share. This can be done by having the grant applicant commit its own funds or services to the project, by arranging for donations of goods, services, and volunteer labor from interested third parties, or by a combination of these two methods. The Matching Share can be in the form of **cash, donated in-kind services and goods, volunteer time**, or any combination of these three categories. Documentation of the availability of matching funds must also be provided in order to receive the maximum score, such as: copies of bank statements, university department budgets, government department budgets, letters of commitment for in-kind services, etc. For more information on the various types of Matching Share, refer to Part II, Section F of this document.

## **F. Procurement**

When Historic Preservation Funds are used to procure supplies, equipment, or contractual services, the purchases must be made in compliance with state and federal standards. Any procurement that takes place prior to the official start date of the grant is **void and not reimbursable** under this grants program. Any procurement that does not comply with state and federal fair procurement and open selection standards is also **void and not reimbursable**. Procurement requirements will be covered in detail during the initial meeting between the grant recipients and the DHPA Staff. Therefore, no procurement should take place until a grant award has been made by the State, the project begin date has passed, and the DHPA Grants Staff has conducted the grant project start-up meeting. The only exception is if a pre-existing, signed contract already exists and is provided with the grant application; please contact the DHPA Grant Staff to discuss this circumstance, if it applies. A brief overview of Procurement guidelines is provided at the end of this packet, in order for applicants to understand and plan for this process.

## **G. Submitting Reimbursement Requests**

**Historic Preservation Fund grants are reimbursement grants. This means that the grant recipient may only receive money from the State after providing the DHPA Grants Staff with appropriate documentation showing that project costs have been incurred and that some portion of local matching funds have been expended.**

Reimbursement requests must document total costs incurred and paid (both grant share and matching share), and reimbursement will be provided at the appropriate funding ratio (50%). Therefore, grant recipients must have the ability to begin their project with some cash or in-kind donations from the start of their grant in order to leverage HPF funds.

The DHPA normally provides grant recipients with prompt grant payments when quarterly progress reports have been filed on time and when proper reimbursement requests have been submitted. However, **15%** of the total grant amount will be retained until the final product has been reviewed and approved by the appropriate DHPA Program Area Staff. Specific instructions on filing reimbursement requests are contained in the Grants Manual, which will be supplied to grant recipients during the initial meeting with DHPA Staff. Normally, the grant recipient can expect to receive payment within thirty (30) days of submitting a reimbursement request.

**No grant project may result in a net financial profit for any party.** Any funds generated in the course of a grant project will be considered as “program income,” and must be applied toward the total project costs. This reduction of the total project costs will result in a corresponding reduction of the grant award. Applicants who believe they may generate program income as a result of the proposed project should consult with the DHPA’s Grants Staff for advice **before** completing this application.

## **H. The Application Process**

In order to apply for an Historic Preservation Fund (HPF) grant, carefully complete this application in accordance with the instructions set forth in Part II of this document. Applications must be received in the Division of Historic Preservation and Archaeology **no later than 5:00 p.m. Friday, October 7, 2016 – this is NOT a postmark deadline.** Please note that any application received after this deadline will not be considered for funding and will be returned to the applicant.

Completed applications and/or questions should be addressed to:

**Grants Section  
Division of Historic Preservation and Archaeology  
402 West Washington Street, Room W274  
Indianapolis, Indiana 46204-2739**

Additional information or advice on the HPF program may be obtained by contacting the DHPA Grants Staff:

Malia Vanaman	317-232-1648	<a href="mailto:mvanaman@dnr.IN.gov">mvanaman@dnr.IN.gov</a>
Steve Kennedy	317-232-6981	<a href="mailto:skennedy@dnr.IN.gov">skennedy@dnr.IN.gov</a>

**At the end of the application packet you will find several helpful additions:**

- **A list of FREE ADVICE to prepare your grant proposal**
- **A guide on WHAT TO EXPECT IF YOU RECEIVE AN HPF GRANT**
- **An OVERVIEW OF THE PROCUREMENT PROCESS**

## PART II: INSTRUCTIONS FOR APPLYING FOR FUNDS

All of the various forms needed to apply for grant funds are attached. Please supply five (5) copies (one (1) original and four (4) photocopies) of the complete proposal. Specific instructions for each of these items are contained in items A through J below. Assemble five (5) application packets (one (1) with all original documents and four (4) with all photocopies), with the parts put together in the order shown below. There is no need to staple or paperclip components within the application. Whenever possible, please use the forms provided or photocopies of the original forms. Completed grant applications **MUST** include all of the following:

- A. Proposal Cover Sheet (*do not include other cover letters or summary sheets on top of cover sheet*)
- B. Grant Application Checklist
- C. Project Description and Timetable
- D. Statements on Meeting State Priorities
  - Administrative Priorities **and**
  - Acquisition and Development Priorities
- E. Project Budget
- F. Matching Share and Letters of Commitment
- G. Signed Statement of Understanding
- H. Covenant Acknowledgment Form
- I. Letters of Support (*20 maximum*)
- J. Resume(s)
- K. **ONE (1)** CD with digital images of separate TIF or JPG files of the subject property (max. 20 images). **DO NOT** submit images in Microsoft Word, PDF, PageMaker, etc. Do not annotate images; captions and explanatory information can be provided separately.

### A. **Proposal Cover Sheet**

This form (*attached*) should be completed and signed by an authorized party. Specific instructions for completing this form are given below.

1. The Project Title should be succinct and reflect the kind of project that the grant applicant has proposed in this application (for example, the “Corydon Public Library Roof and Masonry Rehabilitation”). Allowable project types can be found in Part I, Section A.
2. The Project Sponsor is the **legal entity** applying for the grant (municipal government agency, educational institution, or not-for-profit organization with 501(c)(3) status). If the grant proposal is successful, it is the Project Sponsor who will be offered funding. The Project Sponsor also has the ultimate legal and financial responsibility for the project. Ordinarily, the Project Sponsor is also the Property Owner.
3. The Federal Identification Number of the Project Sponsor. This is required as part of state and federal auditing and income tax regulations.
4. The Congressional District in which the project is located. This information is required by the National Park Service.
5. List the county in which the project is located.
6. The name of the Project Coordinator as the individual designated by the Project Sponsor to administer the project. (See Part I, Section C, and submit the resume of this person, if a current resume is not on file with the DHPA’s Qualified Professional List.)
7. The name of the Principal Investigator as the professional responsible for ensuring that the final product meets all applicable state and federal standards. (See Part I, Section C.) In some cases, the P.I. will be a member of the project sponsor organization and can be named in the application. If a P.I. is donating services, or is being paid off-budget from the grant, please provide the name of this person. If the Principal Investigator is not a current



employee of the Project Sponsor, but will be hired later if the grant application is funded, insert “To Be Selected” in this space. Please note that any P.I. receiving payment for services as part of the grant budget **MUST** be hired according to federal and state procurement standards and contracts should not be arranged prior to the grant start-up. If the Principal Investigator is listed on the DHPA’s Qualified Professional List, please verify that a current resume is on file. Additional information on selecting professionals can be found in Part II, Section E (6).

8. Indicate the amount of federal funding requested, the matching share, and the total project cost on the appropriate lines. Note that these figures must be consistent with those contained on the subsequent Project Budget and Matching Share pages of the application.
9. Indicate the proposed schedule for the project. Do not anticipate starting any project **prior to May 1, 2017**; due to federal delays, clearance to begin a project is sometimes not granted until June. Note also that the ending date is to be **no later than June 30, 2018**.
10. Supply the information specifically requested in lines A through E. Properties assisted with HPF funds must be listed in the National Register of Historic Places. If the property is not yet listed, the nomination needs to have passed substantive review by the DHPA staff. Contact the Division of Historic Preservation and Archaeology if there is any confusion regarding this item. If a project includes ground disturbance related to the scope of work, there are requirements for archaeology that must be followed. See Appendix F: Archaeology Requirements for Development Projects.
11. List the historic name (if any) of the property and its full address. List the name and address of the owner of record of the historic property. List the name and contact information of the Property Owner’s Agent, if applicable.

#### **B. Grant Application Checklist**

After completing all parts of the grant application, refer to the Grant Application Checklist (attached) for instructions on how to assemble the parts of the application, and how many copies of each part are required to be submitted. Next, check off the items on the list, and submit the Checklist as part of the grant application.

#### **C. Project Description and Timetable**

Please supply a narrative statement that is as clear and concise as possible, but also includes sufficient detail to fully define the proposed scope of work and the timeframe in which the project will be completed. This is the executive summary of your project. In most cases, this narrative should not exceed ten (10) pages and should address the following:

- A detailed description of the project, including the reasons for undertaking the project. Give some history of the property and/or the project, explain the current conditions and need for the project.
- The project goals and methodology: list and describe the work items that will be addressed in the project (e.g., masonry rehabilitation, roof replacement, window repair, etc.). All rehabilitation projects must adhere to the standards and requirements contained in the *Secretary of the Interior’s Standards and Guidelines for the Treatment of Historic Properties*. Please contact the DHPA to obtain a current copy or if you need further information regarding the requirements.
- Why the project is important, what will be accomplished, the current or planned use of the property, and how the project would benefit the local community and/or State.
- Outline a proposed time frame for the project that includes both starting and ending dates, as well as a breakdown of any phases, tasks, or major parts of the project (including procurement of Principal Investigator and/or construction contracts). Projects that will be completed later than **June 30, 2018** cannot be considered for funding.

#### **D. Statements on Meeting State Priorities: Administrative AND Acquisition and Development**

Attached are two different lists of priorities which the State has identified to help evaluate proposed grant projects. The priorities are based on federal requirements and recommendations, the Division's own established needs and plans, and public input from constituents throughout the state. **It is critical that applicants prepare thorough responses to BOTH the Administrative Priorities and the Acquisition and Development Priorities when completing the application. The responses to these sets of priorities are what the DHPA Staff uses to evaluate and score your proposal. Without clearly detailed and thorough responses, your proposal may not score high enough to be recommended for grant funding.**

Please contact the DHPA if there is any uncertainty regarding the specific priorities that are applicable to your project. It is unlikely that any single project will address every priority. Similarly, some projects may only partially address certain criteria. When a proposed project does not address a particular criterion, the applicant should respond with "Proposed project does not meet this criterion," or "Not Applicable."

Grant applicants should address this section of the application carefully and thoroughly, and should demonstrate to the greatest extent possible how the proposed project relates to the DHPA's criteria. Staff recommendations will be prepared based on the point scores earned through this exercise. **Grant awards will not be made to any applicant scoring fewer than 65 points on the Administrative Priorities. Final authority on distribution of Indiana's HPF grant funds rests with the Indiana Historic Preservation Review Board. A copy of the Division's procedures for the grant selection process is attached (Appendix D).**

#### **E. Project Budget**

Complete the attached Project Budget form. For information on allowable and unallowable costs, please refer to Appendix C of this application packet. Be sure to account for the total cost of the proposed project, not just the federal share. Please note that contingency fees or escalation percentages should NOT be included. Please complete each line, and insert "0" when the budget contains no costs for that particular line-item. If grant funding is offered, reimbursements may only be made for costs incurred in the line-items that include these original budget figures. The budget must be broken down as follows:

1. Personnel. This category refers only to persons on the regular payroll of the sponsoring organization. Persons employed on a contractual basis for the sole purpose of working on the grant-assisted project should be included in the "Contractual" line-item in the Budget.
2. Fringe Benefits. Fringe benefits for paid personnel are an allowable cost. To facilitate the budget process, fringe benefit expenses are often expressed as a percentage of the "Personnel" cost.
3. Volunteer Personnel. This category refers to persons who donate their time towards the completion of the grant-assisted project. Volunteer time is valued at minimum wage (\$7.25/hour) unless other arrangements are made in advance with the Division of Historic Preservation and Archaeology. Note that, in general, the State prefers to fund projects that include little or no Volunteer Personnel time, since it is often difficult for the Project Sponsor to keep volunteers working on a set schedule.
4. Travel. Travel expenses may not exceed the Indiana State Auditor's rate of \$0.36 per mile. If the project involves travel outside the State of Indiana, please note this in the budget and provide a justification in the Project Description.
5. Supplies. Only those items necessary for the completion of the project may be purchased under this grant. Note that any single item costing more than \$250 is considered to be **equipment**, and not a supply item. Historic preservation grant funds cannot be used to purchase equipment without advance written permission from the Division of Historic Preservation and Archaeology.

6. Architectural Design Fees. Development projects often require the services of an architect or other professional to provide schematics, specifications, plans, drawings, and assist with bidding, contracting, and project oversight. These services are usually provided by the Principal Investigator. The cost of these services may be included in the grant budget, either as a cash expense, or as an in-kind professional donation (see Administrative Priorities #3 on page 19). Contact the DHPA Grant staff with any questions about this line-item.
7. Advertisement. Costs associated with required advertisement or solicitation of competitive bids are an eligible expense for reimbursement. If the project will require procurement of services, the cost of advertisement can be included in the budget.
8. Contractual. This category refers to the cost of professionals engaged to work on the project on a contractual basis. **Note that federal regulations require an open selection process in the hiring of all consultants and contractors paid by a federally-funded project.** The only exception is if a pre-existing, signed contract already exists and is provided with the grant application; please contact the DHPA Grant Staff to discuss this circumstance, if it applies. A brief overview of Procurement guidelines is provided at the end of this packet, in order for applicants to understand and plan for this process. The grant recipient must either advertise the activity/position or distribute a request for proposals to a minimum of five (5) qualified individuals and/or firms. After the open selection process, the Division of Historic Preservation and Archaeology must approve of the selected consultant or contractor before the grant recipient may hire them. Under federal regulations for this program, no person employed as a consultant (or volunteering their professional services) will be reimbursed (or valued) at more than **\$60.00 per hour**. When hiring consultants or contractors for a grant project, the subgrantee must also provide evidence that:
  - ❖ The fee is appropriate considering the qualifications of the consultant/contractor, the fees which the consultant/contractor ordinarily charges, and the nature of the services to be provided; and,
  - ❖ That no consultant/contractor with equal experience and qualifications is available for a lesser amount.

The Division of Historic Preservation and Archaeology reserves the right to reject consultants and contractors selected by grant recipients to work on grant projects. Consultants who have failed to perform adequately on past preservation projects will not be approved (whether the Division of Historic Preservation and Archaeology either funded the project or merely reviewed the project in the course of administering state and federal preservation programs in Indiana). **The grant applicant is warned not to make any commitments to any parties prematurely, as this could make the applicant ineligible for grant funding.** An overview on the procurement process is included at the end of this application packet. Additional information on contracting with consultants may be found in the DHPA Grants Manual, which will be supplied to grant recipients with their award letter. The only exception is if a pre-existing, signed contract already exists and is provided with the grant application; please contact the DHPA Grant Staff to discuss this circumstance, if it applies. Contact the DHPA staff with any questions about contracts or procurement.

9. Other. Costs that do not fall into any of the above categories should be entered on this line. Examples of items often accounted for here include printing and publishing expenses. Please indicate the nature of any expenses listed in this category. Note that Acquisition and Development projects often require the formal advertisement of bidding opportunities in several newspapers. These costs often amount to several hundred dollars, and should be included in the project budget. Questions regarding advertisement costs should be directed to the DHPA Grants Staff.

**Note: Only direct project costs are allowable -- indirect costs are NOT allowable expenses under this program. The DHPA Staff will automatically eliminate indirect costs from project budgets whenever they appear. This may severely alter a proposed project's budget, and may jeopardize its ability to be properly executed should grant funding be awarded. The grant recipient must also keep accurate records of all expenditures. These records must be able to satisfy the requirements of a federal audit.**

#### **F. Matching Share**

The matching share is the amount of funding that the Project Sponsor is responsible for having "up-front," equal to 50% of the total project cost. Please indicate the source of the matching share. If elements of the matching share are

being provided by entities other than the sponsoring organization, attach copies of letters from those entities showing a firm and binding commitment to provide the promised donation. The “Certification of Matching Share” must be signed by the person legally authorized to commit the sponsoring organization and its funds. Documentation of the availability of matching funds must also be provided in order to receive the maximum score, such as: copies of bank statements, university department budgets, government department budgets, letters of commitment for in-kind services, etc.

There are three categories of Matching Share:

1. Cash. When grant recipients use their own funds to purchase goods or services specifically for the grant project (i.e., goods or services that recipients would not otherwise be purchasing as part of their own on-going programs), or when a third party donates cash to the grant recipient for the same purpose, it is considered to be a cash donation to the grant project. This would include situations where grant recipients are using their own personnel or funds to perform some or all of the grant work, by drawing supplies from their own supply room, or to hire a temporary employee or a consultant solely and specifically to work on the grant project; where they use their own funds to purchase supplies for use on the project that are not ordinarily stocked in their own supply room; or where they receive cash from a third party to help them do any of the preceding activities.
2. In-Kind Services and Goods. When a third party provides professional services or supplies to assist the project, it is considered to be an in-kind donation to the grant project. **See** Volunteer Services to differentiate In-Kind Professional Services from general volunteers. Keep in mind that in-kind goods and services must still be documented for reimbursement. Some goods or supplies are difficult to document specifically (i.e. paper or toner for printing, phone use, computer use, etc.) and may not lend themselves to being included as match. Contact the DHPA with any questions.
3. Volunteer Services. When the grant recipient arranges to have individuals perform work on the project without any remuneration, it is considered to be a volunteer services donation to the grant project. Establishing the value of volunteer services can be difficult. If the volunteer is normally a paid professional in a given field of endeavor, and is providing free services in that same field, then it is usually possible to value the volunteer’s time using their regular hourly rate of pay. In that case, the services are considered a Professional In-Kind donation and should be listed under “In-Kind.” However, such an arrangement must be approved in advance by the Division of Historic Preservation and Archaeology. Ordinarily however, volunteer services are valued at minimum wage (\$7.25/hour). Accurate time sheets must be kept to document the amount of volunteer services performed.

Note that the grant applicant may use any combination of these three forms of match. Ordinarily, however, some amount of cash will be required to initiate the project, since grant funds are paid out on a reimbursement basis.

**Other Grant Funds Used As Match to the HPF Grant:** In some cases, it may be possible to use other grant funds as match against the HPF grant funds. However, such grant funds **MUST NOT** be funds from a federal source or pass-through funds that are federal in origin. If non-federal grant funds are to be used as match, be cautioned that the matching funds should be immediately available for the grant applicant to use. If the matching funds are from a reimbursement grant program (like the HPF), the grant applicant **MUST** have some amount of cash documented in the match in order to leverage both sources of federal and non-federal grant funds. If there are questions about the eligibility of matching funds, please contact the DHPA Grants Staff.

**Multiple Grants Used on the Same Project:** Most grant programs, whether public or private, will require some amount of local match. Be advised that in most cases, it is not allowable to use the same local funds as match against two separate grants, in effect, counting the same dollars twice. Ordinarily, each grant must have its own matching funds that are dedicated solely to that grant. If there are questions about using other grants within a project, please contact the DHPA Grants Staff.

**State Personnel Salaries and Fringe Benefits as Match:** While it is technically possible to use State personnel salaries and fringe benefits as match to an HPF grant, due to the complexities of this situation required by the Auditor of State’s financial software, such match will not be permitted. State personnel may work on the subgrant project, but may not code their time as match to the project, nor should the value of their salaries and fringe benefits be included anywhere in the project budget. If you have any questions about this situation, please contact the DHPA Grants Staff.

### **G. Signed Statement of Understanding**

This form must be signed by the person who is legally authorized to commit the applicant organization. Review these statements carefully before signing them, and contact the DHPA if any questions arise. **A grant application cannot be considered for funding unless this form has been executed and submitted.**

### **H. Covenant Acknowledgment Form**

This form must be signed by a person who is a legally authorized signatory on behalf of applicant organization and/or property owner. The purpose of this form is to confirm that the applicant organization and/or property owner are aware of and understand the terms of the protective covenant that must be recorded with the deed to the property prior to the investment of federal funds. If the applicant organization is not the property owner, this form must be signed by the property owner or a designated property owner's agent. Review the form and the covenant language in Appendix E carefully, and contact the DHPA if any questions arise.

### **I. Letters of Support**

The DHPA strongly encourages grant applicants to supply letters of support from local elected officials, historical societies, community groups, business people, or other interested parties in order to demonstrate broad-based popular support for the proposed project. Letters of support must be drafted and dated and signed, so as to demonstrate that they concern a current and specific grant proposal. Copies of old support letters that were written for other purposes or for previous grant applications will not be counted by the DHPA. Petitions, form/unoriginal letters and unsigned letters will not be counted. **Letters of support must be submitted with the grant application; letters sent or delivered separately to the DHPA will not be inserted into proposals and therefore will NOT be counted.** Note that the total number of current support letters accompanying the proposal earns points in the grant evaluation process. A maximum of twenty (20) support letters will be counted for evaluation points; do not submit more than twenty (20) support letters.

### **J. Resumes**

Please submit copies of the resume of the person who will act as Project Coordinator. If the grant-assisted project will include a Principal Investigator who is already a member of the Project Sponsor's staff, please include copies of this person's current resume with the project application. If no Principal Investigator will be used, or if a consultant will be hired later to serve as the Principal Investigator, it is not necessary to submit a resume for this position. Please note that if the P.I. will be hired using grant funds, proper procurement MUST be followed.

### **K. CD of Property Images**

For Acquisition and Development projects, the applicant is required to supply **current** images of the subject property and the nature of the work involved. Historic images may be submitted to illustrate previous conditions or features that are relevant to the proposed activity. The DHPA will accept 35mm color slides or a CD with digital images to meet this requirement. Only **ONE (1)** CD is necessary. **Digital images should be separate files in JPG or TIF format**, please do not put images in Microsoft Word, Microsoft Publisher, PowerPoint, or other presentation software.

The **minimum** number of images required typically ranges from eight (8) to twenty (20), depending on the complexity of the project; more than this number may be required for very large projects. Applicants are requested to include at least two (2) images that show the principle facade(s) of the building or structure. In the case of extensive exterior rehabilitation projects, the applicant should submit one (1) image of each elevation or side of the building or structure to provide orientation. All other photographs should be of the part(s) of the building or structure that is (are) the focus of the proposed project. Be sure to include detail shots of structural damage, deterioration, and areas in need of special attention. Without good visual evidence of the nature of a proposed project, it is difficult for the DHPA Staff to properly evaluate and score a grant proposal. Please do not put notes or annotations directly on the images. If explanatory information is necessary, provide a separate sheet of photo captions at the end of the application packet.

**Note that any and all slides, photographs, CDs, videotapes, and other visual or documentary materials submitted in support of HPF applications become the property of the DHPA. These materials cannot be returned to the applicant. For audit purposes, these materials must remain with the DHPA's program files, regardless of whether the proposal is funded or not.**

**Submitting the Application**

Assemble the application in the order of the checklist and stapled in the top left corner or secured with a binder clip. Please do not submit applications in folders, plastic report covers, 3-ring binders, or spiral-bound. Please do not staple or paperclip portions within the application

Once the application is submitted to the DHPA, the Grants Staff will log-in the application and will verify that all of the required component parts are included. If any of the required parts of the grant application packet are missing, incomplete, or insufficient, the DHPA Staff will notify the applicant immediately. The applicant will then have approximately **seven (7) days** to submit any missing or incomplete parts. Any applications that remain incomplete at the time of Staff Review will have their scores reduced accordingly, or may be rejected altogether.

**Warning: Hand-delivering the application to the DHPA**

Please be aware that the Indiana Government Center South Building and the Department of Natural Resources close at 5:00 p.m., however, you should keep in mind the following: downtown traffic, parking, security screening to enter the building, and signing in at the DNR Executive Office, and plan your arrival appropriately. We recommend that you aim for no later than 4:00 or 4:30 p.m. arrival to insure you are able to enter the building and deliver your application.

**HISTORIC PRESERVATION FUND**  
**ACQUISITION AND DEVELOPMENT PROJECT PROPOSAL**

**Application for Federal Historic Preservation Funds**  
**Federal Fiscal Year FY2017**

Administered by the Indiana Department of Natural Resources, Division of Historic Preservation and Archaeology: 402 West Washington St., Room W274, Indianapolis, Indiana 46204. Telephone number (317) 232-1646, Fax number (317) 232-0693.

1. Project Title: \_\_\_\_\_  
\_\_\_\_\_

2. Project Sponsor: \_\_\_\_\_

Address (*number and street, city, state, and ZIP code*): \_\_\_\_\_

Daytime Telephone number: \_\_\_\_\_ Fax number : \_\_\_\_\_

E-mail address: \_\_\_\_\_

3. Federal Identification Number of Project Sponsor: \_\_\_\_\_

4. U.S. Congressional District Number: \_\_\_\_\_

5. County where property is located: \_\_\_\_\_

6. Name of Project Coordinator: \_\_\_\_\_

Address (*number and street, city, state, and ZIP code*): \_\_\_\_\_

Daytime Telephone number: \_\_\_\_\_ Fax number : \_\_\_\_\_

E-mail address: \_\_\_\_\_

7. Name of Principal Investigator: \_\_\_\_\_

Address (*number and street, city, state, and ZIP code*): \_\_\_\_\_

Daytime Telephone number: \_\_\_\_\_ Fax number : \_\_\_\_\_

E-mail address: \_\_\_\_\_

8. Project Budget Breakdown:

a. Total Project Cost: \$ \_\_\_\_\_

b. Amount of Federal Funding Requested (cannot exceed \$50,000): \$ \_\_\_\_\_

c. Amount of Non-Federal Match: \$ \_\_\_\_\_

9. Proposed Project Schedule:

Beginning Date (**must** be later than 4/30/17): \_\_\_\_\_

Ending Date (**cannot** be later than 6/30/18) : \_\_\_\_\_

10. Supply the information requested below regarding the property to be assisted by this project.

- a. Is the property currently listed in the National Register of Historic Places?  Yes  No  
(Either listed *individually* or as a *contributing resource* within a listed district)

If so, what is the name of the National Register district or property?

\_\_\_\_\_

If not, has the Nomination passed substantive review by the DHPA?  Yes  No  
*If not, the property is NOT ELIGIBLE to receive HPF grant funds.  
DO NOT PROCEED with submitting this proposal.*

- b. Is the property a National Historic Landmark (1 of 40 in Indiana)?  Yes  No
- c. Will the project include ground disturbance around the property?  Yes\*  No  
*\*If yes, consult Appendix F: Archaeology Requirements for Development Projects*
- d. Is the property within or adjacent to (within 100 feet) a cemetery?  Yes\*  No  
*\*If yes, consult Appendix F: Archaeology Requirements for Development Projects*
- e. Is the project within a federally-designated flood area?  Yes  No  
*If yes, attach a copy of the flood insurance policy or other proof of insurance.*

11. a. Historic name of property: \_\_\_\_\_

Address of Property (*number and street, city, state, and ZIP code*): \_\_\_\_\_

\_\_\_\_\_

b. Name of Property owner: \_\_\_\_\_

Address of Property owner (*number and street, city, state, and ZIP code*): \_\_\_\_\_

\_\_\_\_\_

Daytime Telephone number: \_\_\_\_\_ E-mail address: \_\_\_\_\_

Note: If the Project Applicant or Project Sponsor does not own the subject property, a Property Owner's Agent must be designated to represent the Property Owner and act as signatory to the grant agreement and all of its requirements and conditions.

c. Agent of Property Owner: \_\_\_\_\_

Address of Owner Agent (*number and street, city, state, and ZIP code*): \_\_\_\_\_

\_\_\_\_\_

Daytime Telephone number: \_\_\_\_\_ E-mail address: \_\_\_\_\_

This application prepared and submitted by:

Name and Title: \_\_\_\_\_

Mailing Address (*number and street, city, state, and ZIP code*): \_\_\_\_\_

\_\_\_\_\_

Daytime Telephone number: \_\_\_\_\_ E-mail address: \_\_\_\_\_

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



## GRANT APPLICATION CHECKLIST

**Please submit this completed checklist with the grant proposal.**

Please assemble the grant proposal in the precise order of the list below and staple in the top left corner or secure with a binder clip. Please do not submit applications in folders, plastic report covers, 3-ring binders, or spiral-bound. There is no need to paperclip or staple components within the application.

For proper staff consideration, the grant proposal MUST include ALL of the following parts, forms, and documentation (unless indicated as optional):

- \_\_\_\_\_ Proposal Cover Sheet (*do not include cover letters or other summary sheets on top of cover sheet*)
- \_\_\_\_\_ Grant Application Checklist
- \_\_\_\_\_ Project Description and Timetable
- \_\_\_\_\_ Statements on Meeting State Priorities:
  - ▶ Administrative Priorities
  - ▶ Acquisition & Development Priorities
- \_\_\_\_\_ Project Budget:
  - ▶ Project Budget Form
  - ▶ Project Budget Breakdown
  - ▶ Estimates
- \_\_\_\_\_ Matching Share
  - ▶ Signed Matching Share Form
  - ▶ Signed Letters of Commitment (*from ANY outside sources of funds, in-kind services, or labor*)
  - ▶ Proof of Matching Share (*bank statements, municipal budgets, university research budgets, etc.*)
- \_\_\_\_\_ Signed Statement of Understanding
- \_\_\_\_\_ Covenant Acknowledgment Form
- \_\_\_\_\_ Letters of Support (*20 maximum*)
  - ▶ ALL letters must be signed and submitted **IN** the application.
- \_\_\_\_\_ Resumes of Key Project Personnel
  - ▶ Project Coordinator
  - ▶ Principal Investigator (*if determined at the time of application*)
- \_\_\_\_\_ Attachments (*Optional*)
  - ▶ Conditions Assessment Reports
  - ▶ Plans (preferably in 11x17 format)
  - ▶ Specifications
- \_\_\_\_\_ Photographic Documentation of the Subject Property
  - ▶ Digital images on **ONE (1) CD (JPG or TIF format only: DO NOT** put images into Microsoft Word, Publisher, Adobe Acrobat Reader, or other programs)
  - ▶ Annotations for photographs (**on separate sheet**) (*optional*). **DO NOT** put notes/annotations directly on the digital images.

**Instructions for assembling the grant application:**

- A. **Assemble these documents** following the order given on the checklist. Make four (4) photocopies of all parts of the proposal packet. Applicants are strongly encouraged to make an additional copy of all documents to retain for their records.
- B. **Combine the original documents** into one application packet that is assembled following the order of the checklist above. This one application packet should contain each of the items listed on the checklist and should be clearly identified as the “Original” application.
- C. **Combine the copies** into four (4) additional application packets that are assembled following the order of the checklist above.
- D. **Secure the packets** with a staple or a binder clip in the top-left corner. Please do not submit applications in folders, plastic report covers, 3-ring binders, or spiral-bound. Do not staple or paperclip components within the application.
- E. **Submit the five (5) sets** of the grant application (one (1) original and four (4) copies, **only one (1) CD** of images is necessary) to the DHPA prior to **5:00 p.m. on Friday, October 7, 2016**. Applications **MUST** be received in the DHPA office prior to this deadline. This is not a postmark deadline -- late applications will not be accepted. Applicants are encouraged to submit their applications early.

The DHPA will log-in each application, and will notify the applicant if any of the required parts of the grant application are missing, incomplete, or insufficient. The applicant will then have approximately **seven (7) days** to submit any missing or incomplete parts. Applications that remain incomplete at the time of Staff Review will have their scores reduced accordingly, or may be rejected altogether.

## FY2017 ADMINISTRATIVE PRIORITIES

Instructions: Provide complete but concise answers for each of the priority statements below. Please be as specific as possible in your answers, and explain exactly how the proposed project will meet the priority issues. Most projects will adequately address several priorities, while only partially addressing others, and will be scored accordingly. No project will address every priority statement. When a proposed project does not address a specific priority, mark “NA” as the response.

Max.

Score: Priority will be given to:

- 16 pts 1. Projects that have a clearly defined and carefully explained project activity/activities and will result in a valuable outcome or products for the State. *Describe the project activity/activities, goals, and methodology: how is the project going to be accomplished and what is the project going to produce? If applicable, list each product individually and include quantities. Note that the scope of work must be realistic and commensurate with the amount of grant funding requested.*
- 16 pts 2. Projects for which applicants have an individual capable of grant administration to act as Project Coordinator. *Provide the name of this person, list their qualifications and grant-administration experience (if any). Note that the past performance of Project Coordinators on DHPA-funded grant projects is documented and will be considered. Project Coordinators with past DHPA-funded grant experience are evaluated on all aspects of grant administration, including Progress Reporting, Procurement, Reimbursement, timeliness, and their overall performance of supervising and coordinating the project on behalf of the sponsoring organization. If a current resume or c.v. for the Project Coordinator is NOT on file at the DHPA (as part of the Qualified Professional list), please submit one with the proposal.*
- 16 pts 3. Projects for which applicants have an individual capable to act as Principal Investigator (P.I.). *There are five possibilities for selecting a P.I. for the project. Respond according to the instructions following the underlined statement below that best describes your situation. Also, provide the appropriate underlined statement as the first sentence of your narrative response to this criterion. If a current resume or c.v. for the P.I. is NOT on file at the DHPA (as part of the Qualified Professional list), please submit one with the proposal.*
- The P.I. is currently a member of the sponsoring organization. *If the P.I. is a paid member of the organization, be sure to indicate whether his/her salary is included in the project budget and local match. Provide the name of this person, list their qualifications (they must meet applicable 36 CFR 61 qualifications), and describe any previous experience on grant projects.*
  - The P.I. is providing their professional services as an “In-Kind Donation” to the project. *This means that the fair market value of their donated services is included in the project budget and will be used as local match to leverage grant funds; however, the P.I. will not receive any payment for their donated services. Provide the name of this person, list their qualifications (they must meet applicable 36 CFR 61 qualifications), and describe any previous experience on grant projects. The P.I. MUST document their pledged in-kind donation in writing on their letterhead and it must be submitted with this proposal.*
  - The P.I. is to be paid from the grant, but is “To Be Determined” and will be hired during the grant project. *Indicate on the cover sheet that the P.I. is “To Be Determined.” The sponsoring organization must hire a qualified P.I. through an open bidding process that follows state and federal rules and procedures for “fair procurement.” Applicants will receive half credit (8 points) for this situation.*
  - The P.I. is providing services totally “off-budget” from the grant project. *This means that no cost for the P.I. is included in the project budget, nor can payment of the P.I. constitute any portion of the local match. In this situation, the sponsoring organization is free to hire anyone without undergoing “fair procurement.” If the intended P.I. is known at this time, provide the name of this person, list their qualifications (they must meet applicable 36 CFR 61*

qualifications), and describe any previous experience on grant projects; otherwise, indicate “To Be Determined” in the appropriate space on the cover sheet.

- The P.I. is already under a pre-existing contract. This situation applies ONLY if the P.I. was hired already and is documented by a fully executed contract dated on or before the date of the grant application deadline. A copy of the pre-existing contract MUST be submitted as part of the application. Provide the name of this person, list their qualifications (they must meet applicable 36 CFR 61 qualifications), and describe any previous experience on grant projects.

If the sponsoring organization’s P.I. selection DOES NOT precisely match one of the above options, please contact the DHPA Grants Staff to discuss the situation and seek advice. Note that past performance of Principal Investigators on DHPA-funded grant projects is documented and will be considered.

- 16 pts 4. Projects that have realistic timetables. Include a detailed timetable that shows the approximate amount of time (days, weeks, or months) that will be devoted to each of the various phases, tasks, or components of the overall project. Allow sufficient time for grant start-up meetings and any tasks necessary for procurement of services (including DHPA review of bidding documents, minimum bidding periods, contract negotiation and execution). Also account for required thirty (30) day DHPA review of draft products and thirty (30) day revision period for final products, as may be applicable to the proposed project. National Register nomination projects should take into account both Technical Review and Substantive Review procedures in their timetables (see C: Project Description and Timetable in the A&H and Archaeological packet instructions). Projects must be complete and all products must be approved by June 30, 2018 -- this deadline is NOT negotiable.
- 16 pts 5. Projects that have realistic and reasonable budgets. Include a detailed budget breakdown, indicate exactly how the various budget figures (line items) were computed, and include copies of any estimates received. Provide a justification for any items that are unusually expensive or inexpensive (such as discounted or donated goods or services). Upon review of the proposal, the DHPA reserves the right to adjust the scope of work or the grant request in cases where the project budget is out of line with the products to be created. In general, the more detail and documentation provided, the higher the score will be for this criterion.
- 12 pts 6. Projects for which applicants have not received funding commitment through the DHPA’s grants program within the last three annual grant cycles (consider only funding awards made in 2014-2016). Indicate whether or not the project sponsor has ever received funding in the past from the DHPA, and list the years in which any grant assistance was received.
- 12 pts 7. Projects that will be sponsored or co-sponsored or endorsed by a governmental agency that has been designated by the National Park Service as a Certified Local Government (CLG) for the purpose of carrying out historic preservation activities. Currently there are nineteen (19) CLGs in Indiana: Bloomington, Crown Point, Elkhart, Evansville, Fort Wayne, Huntington, Lafayette, LaPorte, Logansport, Madison, Mishawaka, unincorporated Monroe County, Muncie, Nappanee, New Albany, Newburgh, Richmond, South Bend, and unincorporated St. Joseph County. Indicate whether or not the project sponsor or co-sponsor is a Certified Local Government. If the project is NOT sponsored or co-sponsored by a CLG, a CLG must endorse the project in writing and this endorsement MUST be included with the grant proposal in order to score points for this criterion. Note the entire project must be within a CLG jurisdiction in order to receive these points and for the DHPA to apply the project to its CLG pass through formula. Projects that are only partially within a CLG jurisdiction will not score any points for this criterion since the CLG pass through formula cannot accommodate partial-CLG projects.
- 10 pts 8. Projects for which applicants can show evidence of broad-based community support by submitting formal letters of support endorsing the proposed project. Support letters should be sought from any other groups or individuals that might have an interest in the successful outcome of the project, such as: historical societies, neighborhood organizations, elected officials, local businesses, community service organizations, etc. Applicants must limit their support letters to a maximum of twenty (20).

The number of points awarded will be based on the quality and variety, as well as the number of support letters submitted.

Letters must be:

- Printed on appropriate organizational letterhead (unless submitted by private citizens);
- Signed, original, project-specific, dated, and current;
- All letters **MUST** be submitted with the application.

The following **WILL NOT** be counted:

- Unsigned letters;
- Letters from any person or organization directly associated with the applicant or the project;
- Letters that are sent or delivered to the DHPA separate from the proposal;
- Form letters, signed petitions, and copies of e-mail correspondence;
- “Thank you” letters or other correspondence that does not specifically support the current application.

- 10 pts      9. Projects for which applicants have 100% of the matching share on-hand AND documented. *In addition to the signed Matching Share Form, provide copies of bank statements, university research program budgets, local government departmental budgets, or other documentation to demonstrate that the applicant has all of the matching share funds available in its own accounts. Applicants that claim to have 100% of the matching share but do not document it will NOT receive full credit. Applicants that can document only 75% to 99% of the matching share WILL NOT receive full credit. Applicants that have less than 75% of the required matching share, documented or not, will not receive any points. Documentation of cash donations pledged, but not yet collected, will NOT be counted as match on-hand. All matching funds MUST be from non-federal sources.*
- 6 pts      10. Projects for which applicants will use a matching share consisting of any combination of cash and in-kind services, with volunteer services not to exceed 10% of the total amount of the matching share. *Describe the match to be used and provide a breakdown if two or more match types are to be included. Maximum points will be given for a match consisting totally of cash, or a combination match that includes less than 10% volunteer services. Project matching shares that include 10% to 25% volunteer services will receive only partial credit. In-kind donations (for goods or professional services) as well as any pledges of volunteer labor MUST be documented in writing by the donors and be submitted with the proposal, along with the Matching Share Form.*
- 6 pts      11. Projects for which applicants are minority or disadvantaged organizations. *Explain how the project sponsor (the applicant organization) qualifies as a minority or disadvantaged organization or directly serves a minority or disadvantaged group (in terms of ethnic background, language, culture, religion, socio-economic conditions, gender).*
- 6 pts      12. Projects for which applicants have properly followed the proposal instructions and have also submitted a complete application. *The application must contain all of the completed forms and required information, and must be received by the DHPA prior to the published grant deadline. Applicants are strongly encouraged to submit their applications early so that the DHPA Staff can verify that they are complete. Applications missing any parts after the application deadline or that did not follow instructions provided in the application packet will not receive full credit, and may receive reduced scores for other priorities as well.*

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142 Points Possible

Note: Proposals **MUST** score a minimum of 65.0 points on the Administrative Priorities in order to be recommended for funding.

## FY2017 ACQUISITION AND DEVELOPMENT PRIORITIES

Instructions: Provide complete but concise answers for each of the priority statements below. Please be as specific as possible in your answers, and explain exactly how the proposed project will meet the priority issues. Most projects will adequately address one or more priorities, while only partially addressing others, and will be scored accordingly. No project will address every priority statement. When a proposed project does not address a specific priority, mark “NA” as the response.

### PRIORITY LEVELS FOR DEVELOPMENT PROJECTS AND WORK ITEMS:

#### High Priority Work Items / Projects:

- ❖ Stabilization of an endangered National Register-listed property
- ❖ Preservation of an endangered National Register-listed property
- ❖ Rehabilitation of an endangered National Register-listed property
- ❖ Restoration of an endangered National Register-listed property

#### Middle Priority Work Items / Projects:

- ❖ Preservation of a non-endangered National Register-listed property
- ❖ Rehabilitation of a non-endangered National Register-listed property
- ❖ Restoration of a non-endangered National Register-listed property
- ❖ Utilities upgrades and energy conservation measures for a National Register-listed property
- ❖ Preservation or restoration of interior features of high cultural or artistic value at a National Register-listed property

#### Low Priority Work Items / Projects:

- ❖ Acquisition of a National Register-listed property
- ❖ General interior rehabilitation of a National Register-listed property
- ❖ Other non-urgent rehabilitation activities at a National Register-listed property
- ❖ Undertakings for improvement of functionality and life-safety at a National Register-listed property

#### Ineligible/Unallowable Work Items / Projects:

- ❖ New construction
- ❖ Landscaping (other than grading necessary to correct drainage problems)
- ❖ Directional and/or interpretive signage
- ❖ Museum exhibits
- ❖ Any priority work items or projects at a property that is NOT National Register-listed
- ❖ Any proposed project where the current OR future phases of rehabilitation activities indicate alterations of the interior and/or exterior that would be incompatible with the Secretary of the Interior’s Standards for Rehabilitation (see Appendix B).

Max.

Score: Priority will be given to:

- 20 pts 1. Projects and activities that meet the criteria for “Priority Levels for Development Projects and Work Items” (see above). *Note: projects consisting entirely of “High Priority” work items will receive a maximum of twenty (20) points; projects consisting entirely of “Middle Priority” work items will receive a maximum of twelve (12) points; projects consisting entirely of “Low Priority” work items will receive a maximum of six (6) points. Projects consisting of a mix of High, Middle, and/or Low Priority work items will receive a maximum of fourteen (14) points.*
- 20 pts 2. Projects that will assist properties that are vacant, partially vacant, and/or severely threatened. *State whether the property is vacant or partially vacant, give a percentage of occupancy, and list which areas are occupied and unoccupied. Describe in detail the current building (or feature) conditions and how the building (or feature) is threatened.*

- 20 pts 3. Projects that will assist local preservation and community revitalization efforts, and/or heritage corridor or heritage tourism development. *Explain how this project fits into any existing community revitalization, heritage corridor development, or heritage tourism plans and/or will help achieve long-range preservation and revitalization goals for the community. Attach documentation to this proposal (such as excerpts of any plans or planning documents) that explicitly mention, identify, or describe the property as a local heritage resource. Describe how this project will stimulate other local revitalization projects, expand local heritage tourism opportunities, or otherwise improve the preservation and revitalization activities of the area in which the property is located. Proposals that do not submit documentation will receive a maximum of fourteen (14) points.*
- 16 pts 4. Projects that are feasible in technological and practical terms, meet the applicable “Secretary of the Interior’s Standards for the Treatment of Historic Properties,” and have adequate planning documents already in place. *Due to the short timeframe of the HPF grant cycle, priority consideration will be given to those projects that are “shovel ready” and have appropriate planning documents already prepared by the applicant and submitted with this proposal.*
- *Describe the proposed work to be done and explain how it conforms to the “Secretary of the Interior’s Standards.”*
  - *Also, describe any existing planning documents for the proposed work, such as feasibility studies, schematic design drawings, or architectural construction plans and specifications, and submit these documents with the grant proposal.*
- Maximum points will be awarded ONLY to those projects that have sufficient planning documents in place to begin the project AND submit them for review with the grant proposal. Progressively reduced points will be awarded to:*
- *Projects that have appropriate schematic plans in place AND submit them with the grant proposal,*
  - *Projects that do not require plans,*
  - *Projects that refer to some planning documents but do not submit them with the grant proposal,*
  - *Projects that have no planning documents in place at all.*
- 12 pts 5. Projects whose budgets include only construction work, and do not include ANY costs for the preparation of plans and specifications, the acquisition of a property, or grant administration. *Describe the work to be done and state what percentage of the project budget will go toward actual construction work, the preparation of plans and specifications, property acquisition, and/or local grant administration. Maximum points will be awarded to projects that are entirely devoted to construction work, and that have appropriate plans and specifications already in place. Reduced points will be awarded to projects that include ANY costs for architectural or engineering design fees, property acquisition, and/or grant administration in the grant project budget.*
- 12 pts 6. Projects that will assist minority- or disadvantaged-related resources. *Describe how the property to be assisted with grant funds (not the applicant organization) specifically relates, either historically or currently, to groups considered to be disadvantaged or minorities in terms of ethnic background, language, culture, religion, socio-economic conditions, or gender.*
- 12 pts. 7. Properties that have received less than \$50,000 total grant assistance from any DHPA-sponsored or DHPA-administered funding program within the last five annual grant cycles (consider only funding awards made in 2012-2016). *List the grant cycle(s) in which funding was received and specify the dollar amount for each year and a total for the last five years. In addition to funding for preservation/rehabilitation work, this includes non-construction grant funding such as that awarded for the preparation of feasibility studies or plans and specifications and conducting archaeological investigations on the property. Properties that have received total grant funding of \$50,000 or more in the last five (5) years will not score any points; properties that have received grant funding totaling less than \$50,000 in the last five years will score up to ten (10) points on a proportional basis; properties that have not received any grant assistance in the last five (5) years will score twelve (12) points.*

- 10 pts 8. Projects that will involve the rehabilitation or restoration of endangered historic resource types and resources with profound reuse challenges, including but not limited to: former jails, hospitals or county welfare institutions, schools, Carnegie libraries, bridges, industrial buildings, rural resources, historic designed landscapes, Underground Railroad-related resources, historic theaters and opera houses, fraternal lodge buildings, former religious structures, etc. *Describe the resource and the factors that make it qualify as an example of an endangered resource type; thoroughly explain any particular reuse challenges.*
- 8 pts 9. Projects that will provide workers with training or experience in an historic trade, skill, or craft that often is needed in preservation projects but is less commonly available today, and/or may otherwise be presented as a public demonstration project. *Describe the trade, skill, or craft that will be included as a part of the project, and give a detailed explanation of how any training components will be implemented. Also explain how a qualified tradesperson will be identified and retained to supervise the activity. Examples of historic trades, skills, and crafts include but are not limited to: repair and rehabilitation of historic windows, the installation of slate or wood roofing, copper flashing and guttering, repair and replication of decorative plaster, repair and replication of decorative woodwork, advanced preservation technology including historically appropriate energy conservation, etc.*
- 6 pts 10. Projects that will assist properties that have been designated as National Historic Landmarks, or are listed in the National Register of Historic Places due to national significance. *State whether or not the property is a National Historic Landmark (NHL) and describe its architectural and historical significance. Note that listing in the National Register is a requirement for HPF funding, but very few properties are designated as NHLs or listed because of national significance. Check the National Register nomination to verify the level of significance of the property.*
- 0 pts 11. Please submit any long-range schematic planning documents that have been prepared for future phases of rehabilitation.
  - *If funding is awarded and invested in the subject property, both grant-assisted activities and future rehabilitation efforts within the covenant period must meet the Secretary of the Interior's Standards for Rehabilitation under the terms of a federally required protective covenant that must be placed on the property. Grant awards of \$25,000 or less require a covenant to be in-force for a period of five (5) years; grant awards of \$25,001 to \$50,000 require a covenant to be in-force for a period of ten (10) years.*
  - *Although this criterion does not offer additional points, submission of planning documents provides the DHPA with the opportunity to review planned rehabilitation activities to determine compatibility or potential conflict with the applicable Secretary of the Interior's Standards. In cases of potential conflict, the DHPA will attempt to resolve any such issues prior to considering a funding offer and the execution of a protective covenant.*
  - *If the subject property has no long-range planning documents in place, or an end use and future phases of rehabilitation have not been identified, please indicate that this is the case.*
  - *If the subject property is already occupied and the current use of the building is not expected to change in the near future, please indicate that this is the case.*
  - *Please note: ALL applicants must sign and submit the Covenant Acknowledgment Form as part of this grant proposal.*

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136 Points Possible



**HISTORIC PRESERVATION FUND  
PROJECT BUDGET**

Please indicate the proposed budget for the project. The figures on this page, when totaled, should equal the Total Project Cost given on the Proposal Cover Sheet. Please refer to the instructions for category-specific guidelines.

<b>COST CATEGORY</b>	<b>PROJECT COSTS</b> (reflects 100% of costs)	
1. Personnel -- Paid: This Category refers only to persons on the direct payroll of the sponsoring organization	Administrative	
	Professional	
	Clerical	
2. Fringe Benefits: Fringe Benefits for paid personnel are allowable.		
3. Volunteer Personnel -- Unpaid: Volunteer time is valued at minimum wage (\$7.25 per hour).		
4. Travel: (@ \$0.36 per mile)		
5. Supplies and/or Materials:		
6. Architectural Design Fees:		
7. Advertisement:		
8. Contractual/Construction:		
9(a). Other: <i>(Describe)</i>		
9(b). Other: <i>(Describe)</i>		

- 10. TOTAL PROJECT COST** **\$**  
*(add columns 1 through 9; this should match the amount on line #8a on proposal cover sheet)*
- 11. Funding Level** **X 50 %**  
*(multiply line 10 by 50%)*
- 12. GRANT AMOUNT REQUESTED\*** **\$**  
*(this should match amount on line #8b on proposal cover sheet--Cannot exceed \$50,000)*

\*The figure representing the Grant Amount Requested should be **rounded down to the nearest whole dollar**, cannot exceed \$50,000, and should be the same as that recorded the Proposal Cover Sheet. Applicants are required to submit a detailed breakdown of costs, or "Budget Justification Page," on a separate sheet following this form.

## MATCHING SHARE

Applicants are asked to submit appropriate documentation of the matching share (copies of bank statements, etc.) following this form. Please note that proposals submitted without documentation WILL NOT receive full credit for the matching share under the grant evaluation criteria.

### SOURCE #1

Donor: \_\_\_\_\_

Source: \_\_\_\_\_

Type (check one):  Cash  In-Kind  Volunteer Amount: \$ \_\_\_\_\_

### SOURCE #2

Donor: \_\_\_\_\_

Source: \_\_\_\_\_

Type (check one):  Cash  In-Kind  Volunteer Amount: \$ \_\_\_\_\_

### SOURCE #3

Donor: \_\_\_\_\_

Source: \_\_\_\_\_

Type (check one):  Cash  In-Kind  Volunteer Amount: \$ \_\_\_\_\_

**TOTAL MATCHING SHARE:** \$ \_\_\_\_\_\*

*\*This amount should match what is listed for the Non-Federal Match Share, line #8c, on the Proposal Cover Sheet.*

### CERTIFICATION OF MATCHING SHARE

I certify that the matching share funds/goods/services identified above are available, and that they will be allocated only to the grant-assisted project described in this application and titled:

\_\_\_\_\_  
Title of Project

\_\_\_\_\_  
Name and Title of Authorized Representative

\_\_\_\_\_  
Signature

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

## **STATEMENT OF UNDERSTANDING FOR HISTORIC PRESERVATION FUND SUBGRANTS**

With respect to any grant received from the Department of Natural Resources, Division of Historic Preservation and Archaeology (DNR-DHPA), the applicant indicates by his/her signature that he/she has read, understands, and agrees that:

1. This is a request for consideration for a grant, and not a promise for funding, from the National Park Service HPF program administered by the Department of Natural Resources (DNR).
2. The individual submitting this grant request on behalf of the applicant has the necessary authority to request consideration of this project by the Department of Natural Resources.
3. This is a matching grants program in which only a portion of the total project cost can be supplied by the grant funds; the matching share will be supplied by the grant applicant in the form of cash, donated or volunteer labor, and/or donated supplies in accordance with state and federal regulations.
4. No work covered in this application is to begin until the applicant has been notified in writing that funds have been awarded, and has accepted in writing the terms and conditions of the grant.
5. If a grant is received, all obligations for material or work are to be paid by the applicant, who will then receive reimbursement from the National Park Service through the Indiana Department of Natural Resources, based on prior agreement and approval. The applicant will be required to supply all necessary financial documentation which must include copies of accurate personnel time sheets indicating the effort expended on the project, canceled checks, invoices, and other data as required by the DHPA, unless special arrangements are made.
6. Grants will be administered in accordance with all applicable federal and state laws, regulations, policies, requirements and guidelines, including OMB Circular A-102 and A-110 (as applicable), policies and procedures of the Historic Preservation Grant-in-Aid Program, Title VI of the 1964 Civil Rights Act, non-discrimination on the basis of handicap (Sec. 504 of the Rehabilitation Act of 1973), and equal employment opportunity and labor law requirements of federal grants.
7. Procurement actions will be conducted in a manner that provides for maximum open and free competition in compliance with program requirements, including OMB Circular A-102 and A-110 (as applicable).
8. All costs charged to the grant project will be in payment of an approved budget item during the project period and will conform to the cost principles of OMB Circular A-87 and A-21 (as applicable).
9. In accordance with Title VI of the 1964 Civil Rights Act (P.L. 88-325), the Department of Natural Resources requires that grant applicants not discriminate against any employee or applicant for employment on a historic preservation project because of race, color, sex, national origin, or ancestry. All employees must be advised of equal opportunity and benefits. Any complaint of discrimination must be reported to the State Historic Preservation Officer.
10. Adequate financial resources will be available for performance (including necessary experience, organization, technical qualifications, and facilities) to complete the proposed project or a firm commitment, arrangement or ability to obtain such will be made.
11. An adequate financial management system (and audit procedure when deemed applicable) will be maintained which provides efficient and effective accountability and control of all property, funds and assets.
12. The matching share will not consist of funds from the federal government under another assistance agreement unless authorized.

13. The project, if funded, will be carried out in accordance with the guidelines set forth by the Division of Historic Preservation and Archaeology, Department of Natural Resources, and will be completed within the allotted time.
14. The applicant shall participate in the grant project and shall submit copies of archaeological/architectural data and survey, study, and planning materials to the Department of Natural Resources with the condition that specific site data including site addresses be withheld from public access in accordance with federal law and the regulation and access policy adopted by the Natural Resources Commissions. This condition is necessary to protect property owners from unwanted destruction, risk, or disruption of their property and to protect valuable scientific data, cultural materials, and artifacts, which might otherwise be lost or harmed.
15. The applicant will cooperate with the staff of the Department of Natural Resources in meeting all the above requirements, as well as other federal requirements that may apply.
16. Additional administrative requirements and project-specific conditions may be made a part of any grant offer made by the Division of Historic Preservation and Archaeology as a result of this application.
17. Any breaking of the conditions set forth in this Statement of Understanding may mean cancellation of the grant.

The applicant recognizes and agrees that any federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall reserve the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and on the person or persons whose signature(s) appears below and who is/are authorized to sign this assurance on behalf of the Applicant.

\_\_\_\_\_  
Name of Applicant/Project Sponsor

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

\_\_\_\_\_  
Name and Title of Authorized Representative

\_\_\_\_\_  
Signature

## COVENANT ACKNOWLEDGEMENT FORM

**This form must be signed and submitted with any Historic Preservation Fund Acquisition and Development grant application.** Failure to submit a signed copy of this form with the complete proposal will automatically remove the project proposal from funding consideration. If the applicant has any questions or concerns, please contact the DHPA grant staff.

The covenant language is provided in Appendix E.

The terms under which all Acquisition and Development grants are made requires the State to hold a protective covenant on any property purchased or rehabilitated using federal money, as a means of protecting the public's interest in that property. These covenants require the grant recipient/property owner to maintain their property so as to preserve the historical and architectural integrity of the features, materials, appearance, workmanship, and environment that made the property eligible for listing in the National Register of Historic Places, and to prevent inappropriate, incompatible, and/or irreversible changes to the property in the future.

- Properties receiving \$2,000 to \$25,000 must have a covenant in place for a period of five (5) years;
- Properties receiving \$25,001 to \$50,000 must have a covenant in place for a period of ten (10) years.

**Release of HPF Funds:** The covenant must be legally recorded with the title to the property before any grant funds can be released by the DHPA.

**Prior Approval Under the Covenant:** Throughout the duration of the covenant (either five (5) or ten (10) years), the grant recipient/building owner must request written approval from the DHPA before beginning any work on the property (interior and exterior) other than general day-to-day maintenance. DHPA approval will be given only if the proposed work meets the Secretary of the Interior's Standards for Rehabilitation (see Appendix B).

**Annual Questionnaire:** The grant recipient/property owner must respond to an annual questionnaire about the condition of the property and any planned rehabilitation activities.

**Site Inspections:** In addition to monitoring by annual questionnaire, DHPA staff will also conduct periodic, unannounced site inspections to monitor compliance with the covenant.

Violations of the covenant that cannot be adequately resolved by the DHPA will be submitted to the Indiana Attorney General's Office for prosecution.

By signing this form, the applicant and/or property owner hereby acknowledges having read and understood this form and the covenant language and the implications thereof; agrees to the execution of a protective covenant on the subject property in the event grant funds are invested; and agrees to abide by the requirements of the covenant for the respective five (5) or ten (10) year duration.

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Name of Applicant or Property Owner

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Name and Title of Authorized Representative (of Applicant or Owner Organization)

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Signature

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Date (month, day, year)

**36 CFR PART 61**  
**Section 61.5 -- Professional Qualifications**

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

**A. History**

The minimum professional qualifications in history are a graduate degree in history or a closely related field; **or** a bachelor's degree in history or a closely related field **plus** one of the following:

1. At least two years of full-time experience in research, writing, teaching, interpretation, or other demonstrable professional activity with an academic institution, historical organization or agency, museum, or other professional institution; **or**
2. Substantial contribution to the body of scholarly knowledge in the field of history through research and publication.

**B. Archaeology**

The minimum professional qualifications in archaeology are a graduate degree in archaeology, anthropology, or a closely related field, **plus**:

1. At least one year of full-time professional experience or equivalent specialized training in archaeological research, administration, or management; **and**
2. At least four months of supervised field and analytic experience in general North American archaeology; **and**
3. Demonstrated ability to carry research to completion.

In addition to these minimum qualifications, a professional in **prehistoric archaeology** shall have at least one year of full-time professional experience at a supervisory level in the study of archaeological resources of the prehistoric period. A professional in **historic archaeology** shall have at least one year of full-time professional experience at a supervisory level in the study of archaeological resources of the historic period.

**C. Architectural History**

The minimum professional qualifications in architectural history are a graduate degree in architectural history, art history, historic preservation, or closely related field, with course work in American architectural history; **or** a bachelor's degree in architectural history with a concentration in American architecture; **or** a bachelor's degree in architectural history, art history, historic preservation, or a closely related field **plus** one of the following:

1. At least two years of full-time experience in research, writing, or teaching in American architectural history or restoration architecture with an academic institution, historical organization or agency, museum, or other professional institution; **or**
2. Substantial contribution to the body of scholarly knowledge in the field of American architectural history through research and publication.

#### **D. Architecture**

The minimum professional qualifications in architecture are a professional degree in architecture **plus** at least two (2) years of full-time professional experience in architecture; **or** a State license to practice architecture.

#### **E. Historical Architecture**

The minimum professional qualifications in historical architecture are a professional degree in architecture; **or** a State license to practice architecture **plus** one of the following:

1. At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or a closely related field **and** at least one year of full-time professional experience on preservation and restoration projects; **or**
2. At least two years of full-time professional experience on preservation and restoration projects.

Experience on preservation and restoration projects shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

**Note:** General contractors or other building trade professionals that do not explicitly meet the 36 CFR Part 61 Professional Qualifications may still be appropriate and acceptable as Principal Investigators on rehabilitation projects. In such instances, length and breadth of construction experience, extensive and documented past experience working on historic properties, professional reputation, and past performance on DHPA projects (if any) are some of the factors that will be considered by the DHPA Grants Staff. The DHPA reserves the right to reject Principal Investigators who do not meet the 36 CFR Part 61 Professional Qualifications or who have a record of unsatisfactory past performance on any DHPA-assisted or DHPA-reviewed projects.

**SECRETARY OF THE INTERIOR'S STANDARDS  
FOR REHABILITATION**

The following Standards are to be applied to specific rehabilitation projects in a reasonable manner, taking into consideration economic and technical feasibility.

1. A property shall be used for its historic purpose or be placed in a new use that requires minimal change to the defining characteristics of the building and its site and environment.
2. The historic character of a property shall be retained and preserved. The removal of historic materials or alteration of features and spaces that characterize a property shall be avoided.
3. Each property shall be recognized as a physical record of its time, place, and use. Changes that create a false sense of historical development, such as adding conjectural features or architectural elements from other buildings, shall not be undertaken.
4. Most properties change over time; those changes that have acquired historic significance in their own right shall be retained and preserved.
5. Distinctive features, finishes, and construction techniques or examples of craftsmanship that characterize a historic property shall be preserved.
6. Deteriorated historic features shall be repaired rather replaced. Where the severity of deterioration requires replacement of a distinctive feature, the new feature shall match the old in design, color, texture, and other visual qualities and, where possible, materials. Replacement of missing features shall be substantiated by documentary, physical, or pictorial evidence.
7. Chemical or physical treatments, such as sandblasting, that cause damage to historic materials shall not be used. The surface cleaning of structures, if appropriate, shall be undertaken using the gentlest means possible.
8. Significant archaeological resources affected by a project shall be protected and preserved. If such resources must be disturbed, mitigation measures shall be undertaken.
9. New additions, exterior alterations, or related new construction shall not destroy historic materials that characterize the property. The new work shall be differentiated from the old and shall be compatible with the massing, size, scale, and architectural features to protect the historic integrity of the property and its environment.
10. New additions and adjacent or related new construction shall be undertaken in such a manner that if removed in the future, the essential form and integrity of the historic property and its environment would be unimpaired.



## UNALLOWABLE AND ALLOWABLE COSTS

The following is a list of possible expenditures or costs associated with many projects. The National Park Service has determined which of these items are **allowable** and **unallowable** project costs. Only allowable costs may be included in the project budget and claimed for reimbursement. **Note** that some items **may be allowable** if certain conditions are met. These conditions must generally be spelled out in the project application, and will be included in the Award Letter and Project Notification. Subgrantees may not claim for reimbursement any items or project costs that were not identified in the project proposal, the Award Letter, and the Project Notification, without written permission from the DHPA. If you have any questions about eligible or ineligible expenses, or how to include cost categories in your HPF project budget, please contact the DHPA Grants Staff.

### UNALLOWABLE COSTS

The following costs and categories are not eligible for reimbursement and should not be included in an HPF project budget.

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

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

**Conferences:** Costs associated with attendance at conferences and seminars, unless approved in advance by the DHPA. Such costs may be approved by the DHPA only when they provide necessary training for CLG staff or local commission members, or when the activity will provide a subgrantee with new or unique training that is directly related to and useful for the completion of the project.

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

**Curation:** The cost of curation of artifacts, except in those cases where archaeological artifacts were discovered in the course of a grant-assisted project and attention is urgently required to prevent the deterioration or loss of the artifacts. In such instances, limited curation costs may be allowable, but only with prior permission from the DHPA. In no case will the DHPA approve such costs in amounts greater than **10%** of the total project budget.

**Depreciation:** Subgrantees who have what they consider to be unusual situations should contact the DHPA.

**Entertainment:** The costs of amusement, social activities, refreshments, and related incidental expenses.

**Equipment:** Single tangible items costing in excess of \$250 are considered to be equipment. The purchase of equipment using grant funds or local matching funds may be allowable, **only** with prior written permission from the DHPA.

**Fines and Penalties:** The costs resulting from failure to comply with federal, state, or local laws.

**Fund Raising:** The costs associated with organized fund raising and solicitations.

**Furnishings:** The purchase of movable pieces of furniture is unallowable. For rehabilitation/restoration projects, the cost of furnishings may be allowable only when these furnishings are permanently attached items that are integral to building construction, are of documented historic design, and/or are reconstructed based upon documented original furnishings (e.g., ceiling and wall-mounted lighting fixtures, theater seats in a theater rehabilitation, etc.).

**Interest:** Interest on borrowings (such as mortgages and other loans), and the legal and professional fees paid in connection therewith, except when authorized by federal legislation.

**Lobbying:** The costs associated with activities or communications designed to influence in any manner a federal, state, or local legislator or official are unallowable.

**Meals:** The cost of meals for subgrantee employees, consultants, and volunteers, except when such persons are on approved travel status in conjunction with activities directly related to the grant project, and these people are being paid a “per diem” pre-approved by the DHPA. (See also “Travel”).

**Memberships:** The costs of memberships in professional or technical organizations, except when **all** of the following are true:

- The benefit from the membership is directly related to achieving grant program objectives;
- The expenditure is for agency membership, not individual membership;
- The cost of the membership is reasonably related to the value of the services or benefits received;
- The expenditure is not for membership in an organization that devotes a substantial part of its activities to influencing legislation.

**New Construction:** The costs of construction activities that are not rehabilitation, preservation, stabilization, or restoration are unallowable. (See also “Landscaping”).

**Preagreement Costs:** Costs incurred prior to the project starting date are unallowable, except with written approval of the DHPA and NPS.

**Revolving Funds:** The use of DHPA grant funds for revolving fund activities is unallowable.

**Training and Education:** Subgrantees are expected to possess the knowledge and skills necessary to complete their projects when the grant award is made. Consequently, training and education costs for employee development normally are unallowable. However, such costs may be allowable if the training is of a unique or unusual type not ordinarily available, and if the training is directly related to the grant project and will improve the quality of the final product. In addition, training for staff and commission members of Certified Local Governments may be allowable. In both situations, the subgrantee must have written approval of such costs before they are incurred.

### **ALLOWABLE COSTS**

The following costs and categories are eligible for reimbursement and may be included in an HPF project budget. All costs must be incurred during the grant period (between project begin and end dates).

**Accounting:** The cost of establishing and maintaining accounting and other information systems required for the management of grant programs. This includes costs incurred by central service agencies for these purposes. However, the cost of maintaining central accounting records required for overall government purposes, such as appropriation and fund accounts by the Treasurer, Comptroller, or similar officials, is considered to be a general expense of government, and is unallowable.

**Advertising:** The advertising costs that are solely for:

- Recruitment of personnel necessary for the grant project;
- Solicitation of bids for the procurement of goods and services required for work on the grant project;
- Notices required by federal or state regulations pertaining to the grant; and
- Other purposes specifically provided for in the grant agreement.

**Appraisals:** For projects involving the acquisition of real property, the cost of necessary appraisals is allowable.

**Archaeology:** Eligible archeological survey activity may be associated with or be a prerequisite for a development project in the following circumstances. If it is necessary in a development project to determine the presence and nature of subsurface features of an above-ground structure or site listed in the National Register, archeological survey using non-destructive remote-sensing techniques or limited archeological testing may be conducted. If the proposed treatment of a non-archeological property will disturb the earth, and if nothing is known about the presence or nature of any

archeological resources, a survey is required to identify and locate any archeological resources and to collect information sufficient to evaluate National Register eligibility prior to finalizing the plans for treatment of the property. If the preservation treatment is site stabilization or another preservation technique requiring accurate and up-to-date resource data, a resurvey of the site may be needed to confirm site boundaries, location, and condition prior to finalizing plans and specifications for the treatment project.

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

**Communications:** Communication costs incurred for telephone calls, postage, and similar expenses necessary for and directly related to the grant project. However, these costs must be adequately documented with copies of bills, receipts, or other documents that illustrate clearly the connection between the grant project and the charges incurred. If reimbursement for such charges is anticipated, contact the DHPA for specific instructions; **note** that many subgrantees find that it is not cost-effective to seek reimbursement for any but long-distance telephone expenses.

**Compensation for Personal Services:** Compensation for personal services includes all remuneration, paid currently or accrued, for services rendered during the period of performance under the grant agreement, including but not necessarily limited to wages, salaries, and supplementary compensation and benefits. The costs of such compensation are allowable to the extent that they are adequately documented and reasonable for the services rendered. For private nonprofit organizations and local governments, documentation will include time and attendance records for each employee's work on the grant. Educational institutions must document the efforts of employees who are paid on an hourly basis in the same manner, but can use an OMB-approved time-distribution system to document effort of faculty members. In addition, all subgrantees must provide copies of payroll checks unless they are audited annually by the State Board of Accounts, and have worked out an alternative system of documentation with the DHPA under appropriate OMB standards. (See also "Employee Fringe Benefits").

**Employee Fringe Benefits:** Costs identified under the two items below are allowable to the extent that the total compensation for subgrantee employees is reasonable as defined in "Compensation for Personal Services" (above):

- Benefits in the form of regular compensation paid to employees during periods of authorized absences from the job, such as for annual, sick, court, or military leave, if:
  - a. They are provided pursuant to an approved leave system; and
  - b. The cost thereof is equitably allocated to all related activities, including grant programs.
- Benefits in the form of employers' contributions or expenses for social security, employees' life and health insurance plans, unemployment insurance coverage, worker's compensation insurance, pension plans, and severance pay, provided that such benefits are granted under approved plans and are distributed equitably to grant programs and to other activities.

**Exhibits:** The costs of temporary exhibits relating specifically to the grant project, its accomplishments, or results **may be** allowable, but written permission from the DHPA must be received before such costs are incurred. Permission of the National Park Service may be required. (Note that permanent exhibits normally cannot be funded).

**General Conditions for Construction Contracts:** This term, used in construction cost estimates, bids, and construction cost documents, refers to the general contractor's provisions and miscellaneous requirements for other contractors and subcontractors, which eliminate the duplication and expense of each trade providing its own temporary facilities. General conditions including, but not limited to, temporary heat, power, lighting, water, sanitary facilities, scaffolding, elevators, walkways and railings, construction office space and storage, as well as daily cleanup, security, and required insurance, permits, and surety bonds, are allowable when identified as a line item in the project application. (See also "Contingencies," which are unallowable).

**Insurance:** The costs of hazard and liability insurance to cover personnel or property directly related to the grant project and during the grant period.

**Interpretive Signs:** The costs of purchasing and installing (but not maintaining) a minimum number of interpretive or informational markers or signs at grant-assisted historic buildings and structures and archaeological sites **may be** allowable, but only with written permission from the DHPA. (See also "Project Signs")

**Landscaping:** For development projects, the costs of landscaping are allowable **only** if they fall under one of the following categories:

- The historically documented restoration or reconstruction of gardens, grounds, and grading in order to attain an historic appearance and a compatible setting for an historic property;
- Grading for purposes of drainage, building safety, and protection; or
- Improvements necessary to facilitate access for the disabled.

(Note that the costs of seeding, sodding, and installing decorative plantings are unallowable).

**Legal Expenses:** The cost of legal expenses required in the administration of a subgrant.

**Materials and Supplies:** The cost of materials and supplies necessary to carry out the subgrant project. Purchases made specifically for the grant project should be charged at their actual prices after deducting all case discounts, trade discounts, rebates, and allowances received by the subgrantee. Withdrawals from general stores or stockrooms should be charged at cost under any recognized method of pricing consistently applied. Incoming transportation charges are a proper part of material cost. Materials and supplies charged as a direct cost must include only the materials and supplies actually used for the performance of the contract or grant, and due credit should be given for any excess materials or supplies retained or returned to vendors.

**Payroll Preparation:** The cost of preparing payrolls and maintaining necessary wage records, as long as appropriate cost documentation is supplied.

**Personnel Administration:** The costs of recruitment, examination, certification, classification, training, establishment of pay standards, and related activities for the Historic Preservation Fund grant program.

**Plans and Specifications:** For development projects, the costs of producing architectural plans and specifications, shop drawings, and/or other materials required to document development project work according to the *Secretary of the Interior's Standards* are allowable. However, these should be identified as a discrete line item in the project budget and must be executed during the grant period.

**Procurement Services:** The costs of all procurement services, including the solicitation of bids, the preparation and award of contracts, and all phases of contract administration in providing goods, facilities and services for the subgrant are allowable.

**Project Signs:** The cost of making project signs that acknowledge state and federal grant assistance, and the cost of installing these signs at project sites, are allowable. (Note, however, that a project sign is normally provided to the subgrantee by the DHPA during the initial inspection and start-up meeting).

**Religious Institutions and Properties:** Religious institutions may participate in the Historic Preservation Fund Grant Program consistent with the National Historic Preservation Act (NHPA) Section 101(e)(4) (54 U.S.C. 302905), which authorizes certain grants for religious properties listed in the National Register of Historic Places. Religious properties listed in the National Register are eligible to participate in this grant assistance program because the federal government has a strong interest in preserving all sites of historic significance regardless of their religious or secular character; because eligibility for this program extends to a broad class of beneficiaries defined without reference to religion; and because the criteria for funding must be applied neutrally. These elements show that this grant program is aimed solely at preserving historic structures and does not constitute an endorsement of religion by the government.

**Rent:** Rental costs for space used to complete the project are allowable during the grant period **only** with prior approval from the DHPA and NPS. When only a portion of the rented space is used for grant activities, the allowable costs must be computed on a pro rata basis.

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

**Travel:** In-state travel costs are allowable when the travel involved is directly related to the accomplishments of the project, when the subgrantee's budget includes a line-item for this cost category, and when the costs involved are incurred and documented according to standards and practices acceptable to the State Board of Accounts. Subgrantees that are already audited by the State Board of Accounts on a regular basis (local governments and state universities) may use their established in-state travel regulations, except that mileage charges cannot exceed the Indiana State Auditor's rate of \$0.36/mile. Subgrantees not currently being audited by the State Board of Accounts may either adopt those regulations used by the DHPA, submit a set of proposed travel regulations for DHPA approval, or bill for mileage charges only at the rate of \$0.36/mile. Out-of-state travel costs of any kind are unallowable unless prior written approval is received from the DHPA. (See also "Conferences").

**PROCEDURES FOR THE GRANT SELECTION PROCESS**

**I. State Review Board determines funding criteria.**

- A. DHPA Staff provides recommendations to the Board, indicating:
  - 1. Suggested priority statements and corresponding point values for Administrative qualifications, and Architectural and Historical, Archaeological, and Acquisition and Development projects.
  - 2. Minimum and maximum level of funding for grants within the three (3) categories.
  - 3. Minimum point score required to qualify for grant funding.
  - 4. Amount of funding targeted for Certified Local Government applicants.
  - 5. Amount of funding targeted for each of the three (3) project categories.
- B. Board reviews Staff's recommendations, makes any appropriate revisions, and adopts the funding criteria.

**II. DHPA Staff solicits and accepts grant applications.**

- A. Staff prepares a grant application packet based on the criteria adopted by the Board.
- B. Staff advertises the availability of grant funds at least sixty (60) days prior to the application closing date and supplies application packets to interested parties.
- C. Staff receives and logs completed grant applications.

**III. Applications are evaluated, scored, and ranked.**

- A. Grants management staff reviews each application to determine the category and program area(s) involved.
- B. Grant management staff establishes committees to review each application.
  - 1. Each committee will include at least two (2) grants management staff members.
  - 2. Each committee will include at least three (3) program area staff members, two (2) of whom must meet 36 CFR 61 requirements in disciplines relevant to the work proposed in the application.
- C. Committee members score each application independently, and then meet to discuss each project and the corresponding scores.
- D. Committee chairman records the five (5) scores for each project.
- E. Committee chairman discards the highest and lowest scores, computes the average of the other three (3), and reports that figure as the committee point score for each criteria. The average scores for each criteria in both sets of priorities are totaled to arrive at the total scores for each project.

**IV. DHPA staff prepares and presents staff comments to the State Review Board.**

- A. Grants management staff organizes the grant applications by category (Architectural and Historical, Archaeological, and Acquisition and Development).
- B. Within each category, applications are arranged by point score, from highest to lowest.
- C. Grants management staff prepares written comments for the Review Board for each category of application. Comments include the name of the applicant, budget information, a brief description of the proposed project, the staff's opinions as expressed in the committee meetings, the committee point score, and a sheet detailing, priority by priority, how the committee score was computed.
- D. The staff comments are provided to the board members for their study at least ten (10) days before the next Review Board meeting.

**V. The State Review Board determines funding allocations.**

- A. Grant management staff presents the staff's grant comments at the next meeting of the Review Board.
- B. The Board determines which of its members, if any, has a conflict of interest (or the appearance of conflict of interest) in any grant applications and arranges to have such members abstain from voting on such applications.
- C. The Board discusses the applications and staff comments and invites public comment from those in attendance.
- D. The Board reviews the point scores awarded by the committee.
- E. The Review Board determines funding allocations.
  - 1. The Board allocates funding to applicants who are Certified Local Governments based on point score until the minimum amount targeted for CLGs is reached.

2. The Board allocates funding for Architectural and Historical projects to all eligible applicants based on point score until the amount targeted for this category is exhausted.
  3. The Board allocates funding for Archaeological projects to all eligible applicants until the amount targeted for this category is exhausted.
  4. The Board allocates funding for Acquisition and Development projects based on point score to all eligible applicants until the amount targeted for this category is exhausted.
- F. The Board determines how to dispose of any excess funds.
1. The Board may elect to shift funds targeted for one category to a different category in order to allocate excess funds, or
  2. The Board may direct the staff to conduct a second grant round in order to allocate the excess funds.

**PROTECTIVE COVENANT REQUIRED FOR PROPERTIES  
REHABILITATED USING FEDERAL FUNDS**

The terms under which all Acquisition and Development grants are made requires the State to hold a protective covenant on any property purchased or rehabilitated using federal money, as a means of protecting the public's interest in that property. These covenants require the grant recipient/property owner to maintain their property so as to preserve the historical and architectural integrity of the features, materials, appearance, workmanship, and environment that made the property eligible for listing in the National Register of Historic Places, and to prevent inappropriate, incompatible, and/or irreversible changes to the property in the future. The following is the template used to create the protective covenant and is prepared by the DHPA after a grant is awarded and initiated.

**Covenant**

This covenant is made **DATE**, by the **SUBGRANTEE**, hereafter referred to as the "Subgrantee" and in favor of the State of Indiana acting through the State Historic Preservation Officer, hereafter referred to as the "Grantee" for the purpose of the **rehabilitation** of a certain Property known as the **PROPERTY NAME** located at **ADDRESS, CITY, COUNTY, Indiana**, which is owned in fee simple by the Subgrantee and is listed in the National Register of Historic Places.

The Property is comprised essentially of grounds, collateral, appurtenances, and improvements and is known as the **PROPERTY NAME**. The property is more particularly described as follows:

**< LEGAL DESCRIPTION OF PROPERTY >**

In consideration of the sum of **\$00,000** and other valuable consideration in grant-in-aid assistance through the Grantee from the National Park Service, United States Department of the Interior, the receipt of which is hereby acknowledged, the Subgrantee hereby agrees to the following for a period of **five (5) or ten (10) years, expiring on DATE**:

1. The Subgrantee agrees to assume the cost of the continued maintenance and repair of said Property so as to preserve the architectural, historical, or archaeological integrity of the same in order to protect and enhance those qualities that made the Property eligible for listing in the National Register of Historic Places.
2. The Subgrantee agrees that no visual or structural alterations will be made to the property without prior written permission of the Grantee.
3. The Subgrantee agrees that the Grantee, its agents and designees, shall have the right to inspect the property at all reasonable times in order to ascertain whether or not the conditions of this covenant are being observed.
4. The Subgrantee agrees that when the property is not clearly visible from a public right-of-way, or includes interior work assisted from Historic Preservation Fund grants, the property will be open to the public for the purpose of viewing the grant-assisted work not less than twelve (12) days per year on an equitably spaced basis, and at other times by appointment. Nothing in this covenant will prohibit the Subgrantee from charging a reasonable, non-discriminatory admission fee, comparable to fees charged at similar facilities in the area.
5. The Subgrantee agrees to comply with Title VI of the Civil rights Act of 1964 [42 USC 2000 (d)], the Americans with Disabilities Act, and with Section 504 of the Rehabilitation Act of 1973 [29 USC Section 794]. These laws prohibit discrimination on the basis of race, religion, national origin, or handicap. In implementing public access, reasonable accommodation to qualified handicapped persons shall be made in consultation with the State Historic Preservation Office.

To comply with the Americans with Disabilities Act and with Section 504 of the Rehabilitation Act, when interior public access is required at least twelve (12) days per year and at other times by appointment, it is not required that a recipient make every part of the property accessible to and usable by disabled persons by means of physical



alterations. That is, for public access periods, videos, slide presentations, and/or other audio-visual materials and devices should be used to depict otherwise inaccessible areas or features.

6. The Subgrantee further agrees that when the Property is not open to the public on a continuing basis, and when the improvements assisted with Historic Preservation Fund grants are not visible from the public right-of-way, notification will be published in newspapers of general circulation in the community area in which the Property is located giving dates and times when the Property will be open. Documentation of such notice will be furnished annually to the State Historic Preservation Officer during the term of the covenant.
7. This agreement shall be enforceable in specific performance by a court of competent jurisdiction.
8. It is understood and agreed by the parties hereto that if any part, term, or provision of this agreement is held to be illegal by the courts, the validity of the remaining portions or provisions shall not be affected, and the rights and obligations of the parties shall be construed and enforced as if the contract did not contain the particular part, term, or provision held to be invalid.
9. Subgrantee and Property Owner agree to notify the Grantee of a transfer of ownership or sale of the property should such transfer or sale occur within the duration of the covenant.
10. In the event that the Subject Property or any part of it shall be damaged or destroyed by fire, flood, windstorm, earth movement, or other casualty, the Property Owner or Subgrantee shall notify the Grantee in writing within fourteen (14) calendar days of the damage or destruction, such notification including what, if any, emergency work has already been completed for purposes of security and/or public safety. No repairs or reconstruction of any type, other than temporary emergency work to secure the building and prevent further damage to the Subject Property and to protect public safety, shall be undertaken by the Property Owner without the Grantee's prior written approval indicating that the proposed work will meet the Standards. The Grantee shall give its written approval, if any, of any proposed work within sixty (60) days of receiving the request from the Subgrantee. If after reviewing the condition of the Subject Property, the Grantee determines that the features, materials, appearance, workmanship, and environment (or setting) which made the Subject Property eligible for listing in the National Register of Historic Places have been lost or so damaged that its continued National Register listing is in question, the Grantee will notify the Keeper of the National Register in writing of the loss. The Keeper of the National Register will evaluate the findings and notify the Grantee in writing of any decision to remove the Subject Property from the National Register. If the Subject Property is removed, the Grantee will then notify the Subgrantee that the agreement is null and void. If the damage or destruction that warrants the property's removal from the National Register is deliberately caused by the gross negligence or other actions of the Subgrantee or successor owner, then the Grantee will initiate requisite legal action to recover, at a minimum, the Federal grant funds applied to the Subject Property which will then be returned to the U.S. Government.

**<Signature lines for the DHPA, HPF Subgrantee, Building Owner (if applicable), and Notaries Public for each signatory are included in the FINAL covenant document but are not reproduced here.>**

## APPENDIX F

### ARCHAEOLOGY REQUIREMENTS FOR DEVELOPMENT PROJECTS

Any Acquisition and Development grant projects that include any ground disturbing activities that may affect archaeological resources or cemeteries must include plans to include proper monitoring. IDNR, DHPA archaeological staff should be consulted prior to submitting the grant application, and projects will be reviewed on a case by case basis. Projects may require archaeological investigations and will need to be coordinated and planned accordingly. Failure to consult the DHPA archaeology staff and properly consider the archaeological requirements of ground disturbance related to rehabilitation projects will likely affect the evaluation of a grant proposal and likelihood of recommendation for funding.

The following information is necessary for DHPA staff to review the potential for archaeological resources.

1. What ground disturbing activities are proposed or anticipated for the project and to what depth? Ground disturbance includes any turning over or digging of the soil (construction, foundation repair, landscaping, grading, etc.).
2. Describe the current and past land uses within the project area including the depths and time periods of disturbance; in particular, state whether or not the ground is known to have been disturbed by construction, excavation, grading, or filling, and, if so, indicate the part or parts of the project area that have been disturbed and the nature of the disturbance. Please include the time periods of the different past land use denoting the historic use versus any modern disturbances.
3. If any ground disturbing or filling activities are proposed within or adjacent (within 100 feet) to a cemetery or burial ground, please provide specific information regarding the proposed activities, locations, and information regarding the known locations of graves. Provide documentation of whether or not there are any known cemetery plots or designated areas of use.

Activities that would likely prompt an archaeology review would include foundation repair and waterproofing, landscape re-grading, demolition of non-historic additions or other demolition work that exposes or disturbs the ground, etc.

Should archaeology review be necessary for a project, a qualified professional archaeologist would be required to be engaged in the project to supervise the ground disturbing activities and insure that archaeology laws are followed. A list of qualified professional archaeologists can be found at the DHPA website link <http://www.in.gov/dnr/historic>. Project planning should include the potential archaeology activity in the timetable and the budget.

Please be advised that no Phase III data recovery (excavation) or mitigation may be funded using HPF funds.

If the project is on state property or using state funds, additional review under Indiana Code 14-21-1 may be necessary.

If any prehistoric or historic archaeological artifacts or human remains are uncovered during construction, demolition, or earthmoving activities, state law (IC 14-21-1-27 and 29) requires that the discovery must be reported to the Department of Natural Resources (Division of Historic Preservation and Archaeology) within two (2) business days. In that event, please call (317) 232-1646. Be advised that adherence to IC 14-21-1-27 and 29 does not obviate the need to adhere to applicable federal statutes and regulations.

To consult with a DHPA archaeologist, call (317) 232-1646, or send an email to an archaeology staffperson listed at: <http://www.in.gov/dnr/historic/2780.htm>. You may also contact the DHPA grant staff.

## **FREE ADVICE FOR COMPLETING HPF GRANT PROPOSALS**

The following advice for HPF applicants has been prepared by the DHPA Grants Staff. These points cover the areas or parts of the HPF grant proposal format that are most often found to be weak, incomplete, or inadequate. By following the advice spelled out below, it is likely that your proposal will be better prepared and will score more points as a result. Remember, the HPF matching grants program is very competitive!

### **SOME BASIC “DOs AND DON’Ts” IN PREPARING THE PROPOSAL:**

- Do** Read the instructions carefully and follow them!
- Do** Consult the Grants Staff ANY TIME you have questions about preparing the proposal, particularly when there are questions involving the priorities, the project budget, or the matching funds.
- Do** Assemble the five (5) copies of the proposal carefully following the order given in the Grant Application Checklist. Many times, proposals are assembled incorrectly or out of order. It is much easier for the DHPA Staff to review proposals when they are all assembled in the same manner.
- Do** Give your proposal to someone else to read/proofread before submitting it. It is often advisable to have someone NOT connected with the project read over the proposal. If they are left with questions about the project, then the project description or the responses to the priorities may be too brief or too vague. You can then revise the parts of the proposal as necessary.
- Do** Submit your proposal early, if possible. This allows the Grants Staff to check your proposal and make sure that everything is in order. If parts are missing or incomplete, the Grants Staff will notify you immediately. If your proposal is submitted early, you will have extra time to make the necessary changes or additions; otherwise, you will have only seven (7) days after the grant deadline to put everything in order.
- Do** Ask for letters of support from local people and organizations that endorse your project. Try to solicit from a wide variety of community supporters and encourage them to write unique and original letters instead of form letters. Remember, letters must be submitted with the proposal. Letters received separately WILL NOT be considered.

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- Don’t** Wait until the last minute to begin preparing your proposal. Supporting documentation is extremely important and may take several weeks to collect or put together, especially budget information, matching share documentation, written estimates for proposed work, and letters of support. Proposals prepared at the last minute often lack the necessary details and documentation, and generally do not score very well because of it. Remember, this is an extremely competitive program -- take the time necessary to put together a quality proposal!
- Don’t** Submit your proposal in a three-ring binder or a plastic folder cover, spiral bound with a wire or plastic comb, with section dividers between parts, or with the pages inserted in plastic sleeves. If the Grants Staff needs to reorganize the proposal, these covers, bindings, or dividers often make it difficult to take apart and reassemble the proposal. Divider pages between sections actually make it MORE difficult for the DHPA Staff to quickly find a certain page, while three-ring binders take up too much filing space, and pages inserted in plastic sleeves prevent the Staff from making notes directly on the proposal. The Grants Staff prefers that all proposals look the same, as they are much easier to handle and review. The score given to each project application is directly derived from the CONTENT, not the appearance, of the grant proposal.

## FIVE EASY WAYS TO MAKE YOUR PROPOSAL SCORE MORE POINTS:

By carefully following the advice given above, a grant applicant should be able to avoid the most common pitfalls of preparing a grant proposal. A quality grant proposal is the sum of many quality parts. One or two weak parts of the proposal may mean the difference of several points, which in turn may mean the difference between the proposal being funded and not being funded. **If you have questions, don't be afraid to ask for advice or guidance!**

- 1. Include a thorough and detailed project description.** This project description should cover every item or task to be completed under the grant-assisted project. If the proposed grant project is a part, component, or phase of a much larger or comprehensive project, briefly describe the overall project and how the proposed grant project fits into the big picture. Then describe the proposed grant project in detail. List and describe every product that will result from the grant project, and discuss any potential spin-off benefits of the project. A thorough and detailed project description generally should not exceed three type-written pages.
- 2. Include a detailed timetable for the proposed grant project.** This timetable should allow time for the project initiation by DHPA Staff, procurement of goods and services (bidding), and should address every task, aspect, or component of the project. Break down the timetable by the number of days, weeks, or months necessary to complete each task or phase of the project. The timetable should set forth a clear, realistic, and reasonable schedule for the completion of the grant project. Simply providing begin and end dates for the project does not constitute an acceptable timetable. Proposals with vague, poorly detailed, or unrealistic timetables often score fewer than half of the points possible for this evaluation criteria. Projects must be able to meet the June 30 deadline.
- 3. Include a detailed and documented project budget.** The budget should be broken down in detail on a separate page after the budget form. This breakdown should follow the budget categories or line-items on the budget form, and should show how the total amount for each line-item was calculated. Be certain to include all project costs in the appropriate budget line-items. If grant funding is offered, reimbursements will only be made for those items included in the original project budget. Whenever possible, include written estimates from consultants or contractors for the goods and services to be used in the proposed project -- this is especially critical for Acquisition and Development proposals. This kind of documentation proves that the budget is reasonable and accurate. While submitting a budget breakdown page and other project cost documentation is not strictly required, including these items greatly improves the quality of the project budget and guarantees a higher score for the budget criteria.
- 4. Include documentation to support the applicant's matching share.** Obtaining copies of bank statements, or other financial documentation may take several days or even weeks, so be sure to allow enough time to accomplish this task prior to the project deadline. Submitting this documentation proves that the required funds are on-hand and available and that the project may begin immediately. Because HPF grants are "reimbursement grants" where the subgrantee is reimbursed for project costs (grant money is NOT distributed up-front), without the required matching share in place to leverage the grant funds, the project cannot move forward.
- 5. Include detailed and accurate responses to the priorities.** There are two (2) sets of priorities: Administrative and Categorical. The applicant's responses to these priorities are what the DHPA Staff uses to evaluate and score the proposal, so you should pay particular attention to this part of the proposal. In general, more clear and detailed responses will score better than vague or unclear responses. Please provide clear, thorough, and detailed responses whenever required by the wording of the priority statements. However, take note that many priorities require only simple and concise answers. Whenever a proposed project will not meet a specific priority, mark "NA" as the response and move on to the next item. No project will meet every single priority statement; however, providing adequate detail where necessary will give the DHPA Staff the best possible understanding of your particular project, which should result in the best possible score for your proposal.

## What to Expect if You Receive an HPF Grant

- 1. Tentative Notification:** You should receive a tentative notification of the award by the end of February. This means only that the DHPA expects to offer funding; however, it is not an official award. The DHPA must complete its annual application to the National Park Service before formal grant awards are mailed to applicants. DO NOT enter into any verbal or written arrangements for work that is to be paid as part of the grant project. Procurement and bidding must be overseen by the DHPA.
- 2. Formal Grant Award Packet:** You will receive a formal grant award packet, usually by the end of April. This packet will include your Award Letter, Project Notification, HPF Grants Manual, and other required forms. These materials are the basis of your project, which must be completed according to state and federal requirements and procedures. Instructions for accepting the grant are included in this packet.
- 3. Grant Acceptance:** You will provide formal acceptance of the grant to the DHPA, as explained in the grant award packet. This includes a letter specifically stating acceptance of the grant and its terms and conditions, as well as completed and signed forms that are included in the award packet. Again, instructions are provided.
- 4. Project Publicity:** The Department of Natural Resources and the DHPA will release a statewide press statement announcing all of the HPF projects that were awarded for the fiscal year. The DNR and DHPA respectfully request that grant recipients refrain from providing press releases until the State has had the opportunity to make a press announcement. In addition, there is specific information that must be included in a press release and the DHPA must review all publicity before it is released. If you receive unsolicited inquiries about your project, be aware that grant recipients are required to provide proper acknowledgment of the U.S. Department of the Interior, National Park Service, Historic Preservation Fund program, and the Indiana Department of Natural Resources and Division of Historic Preservation and Archaeology. This requirement is explained in the HPF Grants Manual.
- 5. Start-Up Meeting:** The DHPA will schedule a start-up meeting with the Project Coordinator and the Principal Investigator (if applicable). Start-up meetings are generally scheduled throughout May and June, depending on your project's begin date. You should allow at least two (2) hours for a start-up meeting. Project Coordinators are expected to have reviewed their project paperwork and the HPF Grants Manual prior to the meeting. All start-up meetings, except for rehabilitation projects, are conducted at the DHPA office in Indianapolis. The Project Coordinator should be prepared to travel to Indianapolis to attend this meeting. For rehabilitation projects, the DHPA grant staff and historical architect will travel to the project site.
- 6. Project Initiation:** After the start-up meeting and your project's begin date, you may begin to work on your project. Depending on the type of grant activity, projects often begin with procuring, or hiring, consultants or contractors for the project. The DHPA staff will review procurement requirements with the Project Coordinator at the start-up meeting. Procurement must be accomplished through open and fair selection involving competitive bidding. The DHPA must review all bidding documents before they are released to potential contractors. Procurement is covered in detail in the HPF Grants Manual, and a brief overview is provided at the end of this packet. Failure to follow procurement requirements can result in significant issues with your project and potentially the reduction in grant funds or cancellation of the project.
- 7. Project Progress Reports:** Progress Reports are due throughout the project on a quarterly basis in July, October, April, and January. The Project Coordinator is responsible for completing progress reports, keeping the project on track, reporting any problems or delays, and overseeing reimbursement.
- 8. Project Reimbursement:** The HPF program is a reimbursement grant, and grant funds are paid out according to the funding ratio of the project (50% or 70%) based on reporting 100% of the project's costs on the HPF Reimbursement Request Form. Reimbursement requires documentation of proof of costs incurred (such as timesheets, contractor invoices, receipts, etc.) and proof of cost paid (pay stubs, copies of checks, payment vouchers, bank/credit card statements, etc.). Reimbursement can be submitted at any time during the grant, provided you are claiming a minimum of \$500.00. Reimbursement Requests are not tied to the quarterly reports and are at the discretion of the grant recipient and its financial situation. Reimbursement takes approximately thirty

(30) days. A current Vendor Information Form is required by the State Auditor's office (this form is provided with the Grant Award Packet).

- 9. Project Schedule, Activity, and Budget:** The timetable, scope of work and budget you provide in your grant application are the basis for the DHPA's expectations of your project. It is essential that these components are realistic and feasible in your project proposal so that you can carry out the project as planned if it is awarded!

However, it is not unusual for projects to encounter unforeseen problems, delays or unexpected activities and expenses. To the extent possible, the Project Coordinator should keep the project on schedule. If it becomes apparent that the scope of work, timetable, or budget need to be adjusted, the Project Coordinator should contact the DHPA immediately to discuss the changes. The DHPA has some flexibility to adjust the grant activities; however, significant changes to what was originally proposed may require presentation to the State Review Board and/or the National Park Service.

Issues related to timetable must take into consideration the fact that HPF funding is a "use it or lose it" program and projects must be complete by the end of the federal fiscal year. This is a federal requirement and the DHPA has no recourse beyond the federal cycle.

Grant recipients can only be guaranteed the amount of money that they were originally awarded. If the project will cost more than the anticipated project cost it is the responsibility of the grant recipient to pay the difference. In the event that a project goes over budget and the DHPA has additional funds at the end of the grant cycle, we will do our best to allocate additional funds to projects that need them.

The DHPA will be happy to work with grant recipients to resolve these issues as they arise. However, grant recipients should be aware that issues resulting from failure on the part of the project personnel to follow grant guidelines and requirements, to initiate the project in a timely manner, or to communicate problems to the DHPA, are the responsibility of the grant recipient and project personnel and may jeopardize grant funding or result in termination of the project.

- 10. Project Review and June 30 Final Deadline:** All projects must be complete and finished by the June 30 deadline. This means that all technical reports, nominations, publications, and other products have been reviewed and approved by the appropriate DHPA staff and final copies of products are complete. Most Architectural & Historical and Archaeology category products require a minimum review period of sixty (60) days, thereby allowing the DHPA thirty (30) days to review and comment and providing thirty (30) days for the subgrantee to make revisions and resubmit products. Grant products should be submitted no later than April 30 to accommodate the sixty (60) day review period. National Register nomination projects which must pass technical and substantive review should anticipate an earlier submission. For Acquisition & Development rehabilitation projects, all grant-assisted construction activity must be finished by June 30, and ready for a close-out site inspection (although due to scheduling, the final site visit may occur after June 30). The DHPA is not likely to consider extensions to the project end date beyond June 30, grant proposals and funded projects must plan activities that can be completed within the HPF timeframe.

## Overview of the Procurement Process

Procurement is required for any personal or contractual services (i.e. architects, consultants, contractors) and for supplies and equipment that will be purchased using HPF grant or match dollars. If the cost is included in the HPF grant budget submitted with this application (known as being “on budget”), then procurement applies, even if the local sponsor identifies the cost as part of their match (HPF grants are considered “one pot of money” consisting of the federal funds and match dollars, which are then split based on the project ratio).

The basic steps and timetable for procurement are outlined below and should be considered for the planning of the proposed project.

- Recipient prepares bid documents based on guidelines provided in the HPF Grants Manual (this manual is provided with formal grant award paperwork, but is available for viewing on-line). Bid documents must include a description of the scope of work, requirements for bidders to meet, payment schedule, deadline for submission of bids, deadline for project completion, federal boilerplate language, termination for breach of contract clause, and any other information necessary for the project.
- Recipient submits bid documents to DHPA for review and approval (generally, allow two (2) weeks).
- DHPA staff provides any revisions or suggestions. Note that bid documents must not be released until approved by the DHPA Grant and Program Area Staff. DHPA staff will advise as to whether resubmission is necessary, based on the nature of the revisions required.
- Procurement for contracts anticipated to be less than \$100,000 do not require newspaper advertisement; but recipients must solicit bids from a minimum of five (5) qualified bidders. Certified mail with return/receipt cards are recommended.
- Procurement for contracts anticipated to be \$100,000 or more must be formally advertised in newspapers, notices must be published three times (in any combination). Details are provided in the HPF Grants Manual.
- Bidding period consists of a minimum of fourteen (14) calendar days. Some projects should provide additional time in order to allow for potential bidders to respond.
- Recipient may select a contractor internally, but should not notify or hire any contractor or sign any contract without DHPA approval. A request to hire packet and a draft of the contract must be submitted to the DHPA for review. Details are provided in the HPF Grants Manual.
- Once the DHPA has reviewed and approved the request to hire and the contract, the recipient may execute the contract and the selected bidder may begin work.
- Any change orders during the course of the contract must also be reviewed and approved by the DHPA prior to being accepted, to confirm that the change order is eligible for reimbursement.

Depending on the type of project and complexity, procurement can take from four-to-six (4-6) weeks from start to finish; although certainly some projects are able to complete it in less time. Either way, applicants should take this into account for their project timetables and budgets (procurement costs are eligible for reimbursement).

**Note** that written estimates obtained for the purposes of the grant application are not considered bids, and in the event that a grant is awarded, the applicant/recipient must follow required procurement procedures to obtain proper bids.

If you have any questions on procurement related to completing your proposal, contact the DHPA Grant Staff.