State Form 50553 (R12 / 7-13)

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

ARCHAEOLOGICAL

GRANT APPLICATION PACKET

For Federal Fiscal Year 2014

**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**

FY2014 HISTORIC PRESERVATION FUND
ARCHAEOLOGICAL 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 FY2014 will be accepted by the Division of Historic Preservation and Archaeology until **5:00 pm Friday, October 4, 2013.** 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 2014, 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, 2014.** 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, 2015.**

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 **Archaeological** projects, which include the following:

1. Phase I activities for archaeological resources in defined geographical areas or historic contexts/study units.

2. Other projects that relate to the identification, evaluation, and protection of archaeological resources that are eligible for listing in the National Register.

3. The preparation of National Register nominations for archaeological sites or districts that the DHPA agrees are potentially eligible for listing in the National Register.

4. Public information programs (such as publications, workshops, or training sessions) that directly relate to or explain state or federal archaeological preservation programs.

5. Planning projects that are specifically designed to assist the State in developing its Statewide Comprehensive Historic Preservation Plan by identifying and developing historic contexts or study units. **Applicants should contact the DHPA for more information before applying for funds for a project of this nature.**

B. Eligibility and Project Requirements

1. **Applicant Eligibility:** Eligible applicants include (a) private, non-profit organizations with 501(c)(3) tax exempt status (including local historical societies and preservation organizations), (b) educational institutions (including 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. Federal regulations do not allow grant funds to be awarded to active religious organizations, or to be used to assist buildings that are used primarily for religious functions. 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. **Eligibility of Proposed Work Items:** All proposed work must conform to the applicable "Secretary of the Interior's Standards." Work that does not conform to these Standards is not eligible for reimbursement under this program. All archaeological survey and investigation work must be performed in accordance with all state and federal guidelines, standards, and laws. The current draft ***Guidebook for Indiana Historic Sites and Structures Inventory – Archaeological Sites*** is available on the DHPA website at http://www.in.gov/dnr/historic/files/hp-ArchaeologyDraftGuidebook.pdf. Eligible activities under HPF guidelines are listed in the "Archaeological Priorities" on **page 20**.

3. **Project Requirements**
When planning your project's scope of work, timetable, and budget, keep in mind the following requirements for projects:

ALL Archaeological projects must meet the following requirements:

- Be conducted in accordance with the *Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation;*
- Be conducted in accordance with the most current version of the *Guidebook for Indiana Historic Sites and Structures Inventory -- Archaeological Sites*;
- Be conducted in accordance with **Indiana Code 14-21-1** and **312 IAC 21** and **22** concerning state plans for archaeological investigations and accidental discoveries;
- Per 312 IAC 22-2-3 (b) (2), an application to conduct and investigation or scientific investigation must be filed at least thirty (30) days before the proposed commencement of the project.
- Meet all applicable requirements of the *HPF Grants Manual* (available on-line at: www.IN.gov/dnr/historic under Forms and Publications).
- Submit all public materials (including website information, PowerPoint presentations, brochures, etc.) to the DHPA for review and approval;

Archaeological Survey Projects Must:

- Submit an archaeological report of investigations to the DHPA for review, comment, and approval. A draft of the report of the investigations must be submitted at least sixty (60) days before the project end date, to accommodate a 30-day review period by the DHPA and allow a 30-day compliance period by the applicant.
    - The report must include an abstract of no more than one page that provides a complete summary of the project, including: number of sites investigated, number of hectares investigated at the reconnaissance and intensive level, methodology, conclusions and recommendations, and a list of products created under the grant project.
    - The report must include maps indicating all areas and sites investigated or discovered.
    - The report must also include all required state and federal acknowledgement information.
- An archaeological site form entered into SHAARD for each site or cemetery investigated. UTMs must be included in each SHAARD site entry.
- Provide data necessary to incorporate sites investigated or discovered into the GIS component in SHAARD. This data may be provided to the DHPA in an Excel spreadsheet of UTM coordinates or shapefiles that are compatible with ARC GIS 10.1.
- Provide two (2) bound copies of the final report, and at least one copy on CD to the DHPA. The final, approved grant report must also be uploaded directly into SHAARD;
- Produce, in digital format, an article of 10-25 pages in length (single-spaced, not including references) for inclusion in the DHPA's on-line *Indiana Archaeology* journal. The article must summarize the work and results of the HPF funded activity, and be written for a target audience of the general public, as well as archaeology professionals (the focus may depend on the type of project). Articles must be submitted in

Microsoft Word and *American Antiquity* style. Articles with graphics must have the images digitally incorporated into the text prior to submission, and per *American Antiquity* guidelines. Articles must be submitted with the draft report of investigations for review by the DHPA.

- Complete a cemetery registry survey form for each cemetery, graveyard, or burial ground investigated or discovered, and submit completed forms to the DHPA (forms are available from the DHPA office or website);

Archaeological National Register Projects Must:

- Be conducted in accordance with the *Secretary of the Interior's Standards and Guidelines for Planning, Identification, Evaluation, and Registration;*
- Be conducted in accordance with *National Register Bulletins, How to Complete the National Register Registration Form,* and *How to Complete the National Register Multiple Property Documentation Form* (if applicable) issued by the National Park Service explaining the National Register process and requirements;
- Be conducted in accordance with the instructions contained in the DHPA's National Register Application Packet;
- Include, as part of the final product, digital photo documentation done in accordance with the DHPA's photo policy for digital image submission, see: **www.in.gov/dnr/historic/photographyguidelines.html**;
- Nominations require a Technical Review, followed by a Substantive Review. A nomination must pass Technical Review before moving forward. The majority of nominations, even those prepared by Qualified Professionals, do not pass the first Technical Review, and the majority also require more than one Substantive Review. Therefore, National Register nominations must be submitted to the DHPA for technical review by **March 1, 2015** and must pass technical review by **April 30, 2015**, in order to allow sufficient time for both technical and substantive review and any revisions required for DHPA approval by **June 30, 2015**.

IMPORTANT! Regarding Human Remains, Funerary Artifacts and/or Cultural Items: In the event that buried human remains are encountered during the project the Department of Natural Resources Division of Historic Preservation and Archaeology must be notified within two (2) business days of the time of the disturbance, per **Indiana Code 14-21-1-27**. If human remains are discovered on the surface of the ground, stop and notify the DNR/DHPA. The human remains should be left in place until consultation with the DNR/DHPA has occurred. If human remains, funerary objects and/or cultural items are discovered, your organization must comply with the Native American Graves Protection and Repatriation Act ("NAGPRA"), "The Advisory Council on Historic Preservation Policy Statement Regarding Treatment of Burial Sites, Human Remains and Funerary Objects" (February 23, 2007), and relevant state statutes (including IC 23-14, IC 14-21-1, and 312 IAC 22). This includes preparing and publishing inventories, summaries and notices with National NAGPRA.

C. Project Personnel

Project personnel includes a Project Coordinator and an Principal Investigator. The Project Coordinator is the person who will be supervising the grant administration. All proposals require a Project Coordinator, and the majority of projects require a Principal Investigator. **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, and who would be expected to perform any remedial work 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 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. In certain instances, the proposed project may not include professional activities, thus obviating the need for a Principal Investigator (for example, some public information projects fall into this category). Grant applicants should contact the DHPA if they have any questions regarding these two positions.

Additional staff for archaeology projects, such as Field or Lab Supervisors, must meet state professional qualification requirements under 312 IAC 21-3-4. (See Appendix A – 36 CFR 61 Professional Requirements).

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.

70/30: Phase I survey projects are eligible for grant funding in the amount of **70%** of the total project costs; the remaining 30% of the total project costs must be paid for by the grant recipient. Only projects that are solely Phase I survey activities are eligible for a 70/30 match ratio.

50/50: All other types of projects are eligible for grant funding in the amount of **50%** of the total project costs; the remaining 50% of the total project costs must be paid for by the grant recipient.

Combined or mixed ratio projects (those that include activities of both 70/30 and 50/50 levels) are not allowed and will only be funded at a 50/50 ratio.

Questions regarding funding levels should be directed to the DHPA's Grants Staff.

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 grant amount requested for an Archaeological project must be at least **$2,000**, but cannot exceed **$50,000**.

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. 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% or 70%). 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 4, 2013 – 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	mvanaman@dnr.IN.gov
Steve Kennedy	317-232-6981	skennedy@dnr.IN.gov

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 copies (one original and four photocopies) of the complete proposal. Specific instructions for each of these items are contained in items A through J below. Assemble five application packets (one with all of the original documents and four with all photocopies), with the parts put together in the order shown below. 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 **and** Categorical)*
E. Project Budget
F. Matching Share and Letters of Commitment
G. Signed Statement of Understanding
H. Letters of Support *(20 maximum)*
I. Resume(s) *(if not available in QP file)*
J. Written Documentation of Landowner Permission *(if applicable)*

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 "Hancock County Archaeological Investigation"). 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.

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 U.S. Congressional District in which the project is located. This information is required by the National Park Service.

5. List the county or counties 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.)

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 member of the Project Sponsor's staff is to be the Principal Investigator, please submit a current resume. 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. 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 (see p. 4 to determine funding ratios), 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, 2014**; 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, 2015**. Please note that a COMPLETE DRAFT of the grant product (archaeological report, feasibility study, brochure, etc.) will be due at least sixty (60) days in advance of the project end date. This allows the DHPA the required thirty (30) day review period, and provides thirty (30) days for the project personnel to address any revisions necessary for the final product.

    - **NOTE** that **National Register nominations** require a Technical Review, followed by a Substantive Review. A nomination must pass Technical Review before moving forward. The majority of nominations, even those prepared by Qualified Professionals, do not pass the first Technical Review, and the majority also require more than one Substantive Review. Therefore, National Register nominations must be submitted to the DHPA for technical review by **March 1, 2015** and must pass technical review by **April 30, 2015**, in order to allow sufficient time for both technical and substantive review and any revisions required for DHPA approval by **June 30, 2015**.

10. Supply the information specifically requested in lines A and B. All grant projects must produce recognizable (and preferably tangible) products that are commensurate with the funds to be expended. Contact the Division of Historic Preservation and Archaeology if there is any confusion regarding this item.

B. <u>Grant Application Checklist</u>

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. <u>Project Description and Timetable</u>

Please supply a **brief** narrative statement, of approximately **5-7 pages,** that is as clear and concise as possible, but also includes sufficient detail to fully define the proposed scope of work and the time frame in which the project will be completed. The project description should include:

- A description of the research topic or research problem.
- The research objectives, project goals and methodology.
- Identify and quantify the survey area, and provide a general research plan.
- List and describe the products that will result from the project (e.g., county or regional survey, National Register nomination, historic context study, public education program, etc.).
- Data collection, analysis, and curation arrangements. (All archaeology projects must adhere to the standards and requirements contained in the *Secretary of the Interior's Standards and Guidelines for Identification, Evaluation, and Archaeological Documentation*, and the *Draft Guidebook for Indiana Historic Sites and Structures Inventory for Archaeological Sites (http://www.in.gov/dnr/historic/files/hp-ArchaeologyDraftGuidebook.pdf)*.
- Significance of the research and project: how the project would benefit the State and/or the local community.
- Project Schedule: include both starting and ending dates, as well as a breakdown of any "phases" or major parts of the project. Projects with ending dates later than June 30, 2014 cannot be considered for funding. Again, please note that a draft of the grant product will be due at least sixty (60) days in advance of the project end date to allow the DHPA a thirty (30) day review period, and also allow the Project Coordinator/Principal Investigator thirty (30) days to make any necessary changes or revisions. All draft products must be submitted for review by the DHPA by **April 30, 2015** to accommodate the sixty (60) day review and revision period and be **completed** and **approved** by **June 30, 2015**.

    - Note that **National Register nominations** require a Technical Review, followed by a Substantive Review. A nomination must pass Technical Review before moving forward. The majority of nominations, even

those prepared by Qualified Professionals, do not pass the first Technical Review, and the majority also require more than one Substantive Review. Therefore, National Register nominations must be submitted to the DHPA for technical review by **March 1, 2015** and must pass technical review by **April 30, 2015**, in order to allow sufficient time for both technical and substantive review and any revisions required for DHPA approval by **June 30, 2015**.

- References Cited.

D. Statements on Meeting State Priorities

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 Archaeological 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 receive 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 65.0 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 C).**

E. Project Budget

Complete the attached Project Budget form. For information on allowable and unallowable costs, please refer to Appendix B of this application packet. Be sure to account for the total cost of the proposed project, not just the federal share. 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 plus one dollar ($8.25/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 $0.44 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. 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 connected with a federally-funded project.** 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 they may be hired by the grant recipient. 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.

7. 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: 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 (or 30% for Phase I survey projects). 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 an 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 plus one dollar ($8.25/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.**

If an offer of funding is made, the applicant must also be prepared to sign a DI-2010 form. This form provides certification regarding debarment, suspension, ineligibility and voluntary exclusion; certification of a drug-free workplace requirements; certification regarding lobbying; and certification for contracts, grants, loans, and cooperative agreements. This form will provide compliance with certification requirements under 43 CFR Parts 12 and 18, and will be provided with an official grant offer.

H. 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 in 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.

I. Resumes

If project personnel are listed on the DHPA's Qualified Professionals Roster, and current resumes or curriculum vitae are on file, resubmission of these are not necessary. Please note on the checklist that current information is on file at the DHPA. Otherwise, please submit one (1) copy 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 one (1) copy 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. If additional project staff, such as field and lab supervisors, will be participating in the project, copies of their resumes should also be submitted to verify they meet or exceed the State Professional Qualifications requirements (see Appendix A).

J. Written Documentation of Landowner Permission (if applicable)

Archaeological field projects require the consent of the landowner. If the project proposed will require landowner permission, please submit written documentation of permission from all landowners on whose property surveys or investigations will be conducted. This documentation must be provided with the proposal.

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. After submission, 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.

Archaeology Plan Requirements

Per 312 IAC 22-2-3 (b) (2), an application to conduct and investigation or scientific investigation must be filed at least thirty (30) days before the proposed commencement of the project.

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 4:00 or 4:30 arrival to insure you are able to enter the building and deliver your application.

HISTORIC PRESERVATION FUND
ARCHAEOLOGICAL PROJECT PROPOSAL

Application for Federal Historic Preservation Funds
Federal Fiscal Year FY2014

Administered by the Indiana Department of Natural Resources, Division of Historic Preservation and Archaeology: 402 W. Washington St., Room W274, Indianapolis, Indiana 46204-2739. 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 (or Counties) where project 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: $ _____

   c. Amount of Non-Federal Match: $ _____

9. Proposed Project Schedule:

   Beginning Date (**must** be later than 4/30/14): _____

   Ending Date (**cannot** be later than 6/30/15) : _____

10. Supply the information requested below regarding the products to be created by this project.

Has formal written landowner permission been secured? ☐ Yes ☐ No
If yes, please include documentation of written landowner permission. If no, be advised that the DHPA reserves the right to reject grant proposals not accompanied by landowner permission.

Estimated number of square miles in the survey area: _____

Estimated number of hectares surveyed at the reconnaissance level: _____
"Reconnaissance survey" activities include: visual surface survey, auguring, coring, and shovel probing to discover site evidence at or near the ground surface (1 hectare = 2.5 acres = .004 square miles).

Estimated number of hectares surveyed at the intensive level: _____
"Intensive survey" activities include: controlled surface or shallow subsurface investigations on known sites or deeper subsurface investigations in areas where deeply buried sites may occur. This includes methods such as: grid collection or sampling; detailed mapping; piece-plotting; systematic probing, coring, or auguring; use of remote sensing techniques; and deeper subsurface sampling (including use of heavy machinery) to discover buried sites.

Estimated number of hectares in the investigation/excavation area: _____
This includes test excavations and mitigation projects, systematic excavation by hand of portions or all of a site, and machine excavation techniques. (Note: for projects that include both survey and testing, this number should be included in the number of "hectares surveyed at the intensive level" above.)

Estimated **total number** of sites to be documented on state survey forms: _____

Estimated number of these sites that will be **newly added** to the state inventory: _____

Estimated number of properties or sites to be listed in the National Register: _____
Count each contributing building or site within a district as one. Please include a sketch map showing the proposed district boundaries as part of the Project Description.

This application prepared and submitted by:

Name and Title: _____

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

_____

Daytime Telephone number: _____ Fax number: _____

E-mail address: _____

Signature: _____ Date *(month, day, year)*: _____

GRANT APPLICATION CHECKLIST

Please submit this completed checklist with the grant application. For proper staff consideration, the grant application **MUST** include the following parts, forms, and documentation:

- ☐ 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
  - ► Archaeological Priorities
- ☐ Project Budget:
  - ► Project Budget Form
  - ► Project Budget Breakdown
- ☐ Matching Share
  - ► Signed Matching Share Form
  - ► Signed Letters of Commitment *(from ANY outside sources of funds, in-kind services, labor)*
  - ► Proof of Matching Share *(bank accounts, municipal budgets, university research budgets, etc.)*
- ☐ Signed Statement of Understanding
- ☐ Letters of Support *(20 maximum)*
  - ► ALL letters must be submitted **IN** the application.
- ☐ Resumes of Key Project Personnel (unless on file for DHPA QP list)
  - ► Project Coordinator
  - ► Principal Investigator
  - ► Other Project Personnel *(field supervisor, lab supervisor, etc.)*
- ☐ Written Documentation of Landowner Permission

Instructions for assembling the grant application:

A. **Assemble these documents** following the order given on the checklist. Make four (4) photocopies 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 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.

E. **Submit the five (5) sets** of the grant application (one original and four copies) to the DHPA prior to **5:00 p.m. on Friday, October 4, 2013**. 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.

FY2014 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 part 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.*

- *<u>The P.I. is currently a member of the sponsoring organization</u>. 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.*
- *<u>The P.I. is providing their professional services as an "In-Kind Donation" to the project</u>. 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.*
- *<u>The P.I. is to be paid from the grant, but is "To Be Determined" and will be hired during the grant project</u>. 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.*
- *<u>The P.I. is providing services totally "off-budget" from the grant project</u>. 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."

- *<u>The P.I. is already under a pre-existing contract</u>. 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 p. 8 under 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, 2015 -- 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 2011-2013). *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. Note that past performance of sponsoring organizations on DHPA-funded grant projects is documented and will be considered.*

12 pts 7. Projects that will be undertaken 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 is a Certified Local Government. Projects that are "co-sponsored" by a CLG and another entity will only receive half credit (6 points) for this situation.*

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. 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:

- *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, copies of email correspondence, and unsigned.*
- *"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. Any pledges of volunteer labor or in-kind donations of goods or services MUST be documented in writing by the donors and be included 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 (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.

FY2014 ARCHAEOLOGY 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.

FEDERAL REQUIREMENTS FOR ARCHAEOLOGY PROJECTS:

Eligible and Priority Activities:

- Reconnaissance Survey (Phase I-a: "archival research and a field visit to determine the identity and location of resources present in an area. Such surveys should be designed so that a determination can be made from the results as to when it is worthwhile to obtain the additional level of documentation (through an Intensive Level Survey) necessary for a National Register nomination").
- Intensive Survey (Phase I-b and Phase I-c: "the systematic, detailed field (and archival) inspection of an area designed to identify fully architectural, archaeological, and historic properties; and calculated to produce a level of documentation sufficient, without any further data, to evaluate National Register eligibility") Intensive survey also includes "controlled surface or shallow subsurface investigations" and methods such as "grid collection or sampling; detailed mapping; piece-plotting; systematic probing, coring, or auguring; use of remote sensing techniques.")
- Phase I Resurvey Activities ONLY to modify documented boundaries, identify resources not included in the property's previous eligibility determination, establish a property's relationship with other resources as part of historic context development, or upgrade existing inventory data.
- National Register nominations for archaeological sites on the Special Topics List that have already been determined eligible and that do not require further testing.

Limited testing (Phase II investigation) is being temporarily withdrawn as a priority activity in order to emphasize the need for large scale Phase I surveys and to seek clarification from the National Park Service on the allowable extent of ground disturbance using HPF funds.

Ineligible Activities:

- Any archaeological activities that do not meet the eligibility criteria described above;
- Curation of archaeological collections beyond the project end date;
- Exhibition of archaeological collections beyond the project end date;
- Mitigation activities (Phase III).

FUNDING RATIOS

Phase I Survey Activities: 70% federal share / 30% local match

National Register Nomination (with or without Phase I activity) projects: 50% federal share / 50% local match

ARCHAEOLOGY

Max. Score:	Priority will be given to:
20 pts	1. Projects that will involve reconnaissance and/or intensive survey (Phase I) of areas or resources that are threatened or will be impacted by imminent, specific, near-future development, redevelopment, or construction projects, or projects that will survey areas that have already been damaged by development, construction, erosion, flooding, or other forces. *Describe the natural or development threats to the area, or the types of damage that have already occurred, the methodology for proposed*

activities, and how the project goals will assist with identification, documentation, data collection and/or protection. State whether any specific resources in the project area are listed, determined eligible, or potentially eligible for listing in the National Register.

16 pts 2. Projects that will involve reconnaissance and/or intensive survey (Phase I) of areas with data deficiencies specifically targeted by the State (refer to the "Archaeological Goals and Objectives, Part I"). *Describe the area that will be surveyed, the data deficiencies, and the cultural manifestation(s) that will be investigated. Note: Survey areas located totally within any of the regions identified in "Part I: Topical / Geographical Target Areas" will receive up to sixteen (16) points; survey areas located partially within any of these high priority regions will receive a maximum of ten (10) points.*

16 pts 3. Projects that involve reconnaissance or intensive survey (Phase I) activities over a large area. *Provide the number of acres to be surveyed, a description of the area and its topography (for example: farm fields, forests, watercourses, rockshelters, etc.), and an estimate of the number of sites to be recorded. Projects with a survey area of 50 to 99 acres may receive up to four (4) points; projects with a survey area of 100 to 249 acres may receive up to eight (8) points; projects with a survey area of 250-499 may receive up to fourteen (14) points; and projects with a survey area of 500 acres or more may receive up to sixteen (16) points. The DHPA will assess and score projects based on survey area and topography considerations.*

16 pts 4. Projects that will include reconnaissance or intensive survey (Phase I) activities related to cultural periods and topics identified in the "Archaeological Goals and Objectives: Part II." *Describe the cultural period or topic that is the PRIMARY FOCUS of the project and identify the corresponding level of priority based on the Archaeological Goals and Objectives: Part II. Answers that indicate a combination of High-Middle-Low topics will result in a lower overall score. Although it is likely that other cultural periods and topics will be encountered and peripherally explored, this criterion addresses the <u>primary focus</u> of the project. Only list multiple topics if the primary focus of the project truly covers multiple topics.*

30 pts 5. Projects whose primary purpose is to prepare a National Register nomination for one or more of the DHPA-identified "Special Topic Sites" or other site(s) already determined to be eligible for the National Register. Projects may include reconnaissance or intensive survey (Phase I) activities, if necessary as part of the nomination process. *Specify the sites for which a National Register nomination will be prepared and whether they are on the "Special Topic Sites" list. If the sites are not on the Special Topic Sites list, you MUST provide <u>written verification</u> that each site to be nominated has been determined eligible by the DHPA archaeological staff.*

NOTE:

- Phase II and limited testing will not be considered for funding.
- National Register nominations (and related Phase I survey activity) are only eligible for 50/50 grant reimbursement. Combined funding ratios within one project is not allowed.
- Written permission MUST be obtained and submitted as part of the grant proposal for ALL landowners with control over the site(s) to be nominated and/or surveyed.

16 pts 6. Projects that will assist in the resolution of data inconsistencies or discrepancies (such as multiple site numbers and locations for a single site) in current site information in SHAARD, or that will field verify sites in the DHPA's records which were reported by avocational archaeologists, as the primary focus of a project or as a component of a larger project. *Explain the methodology that will be used to identify and address data inconsistencies or discrepancies. Estimate the number of sites or records that will be reviewed and/or corrected as a result of the project.*

12 pts 7. Projects that include a component to promote public awareness and knowledge of archaeology in Indiana through the creation or implementation of specific public education components. *These may include: public education materials such as pamphlets and brochures, videos and slide shows to be deposited at public institutions for public viewing and use, modules and materials for use by educators, a scheduled series of public presentations, projects specifically geared toward work with*

avocational groups and volunteers, and conferences and workshops. Describe the education component in detail, explain how it will promote public awareness and knowledge of archaeology in Indiana, and identify the target audience(s). Public education components that will coincide with Indiana Archaeology Month (September) and will be registered with the DHPA's Archaeology Outreach Coordinator will receive up to twelve (12) points. Public education components that will not coincide with Indiana Archaeology Month will receive a maximum of six (6) points.

8 pts 8. Projects that will study minority-related resources of the historic period (1816 to 1963). *Describe the historic minority- or disadvantaged-related resources that will be included in the project, explain how the resource**s** qualify as minority- or disadvantaged-related (in terms of ethnic background, language, culture, religion, socio-economic conditions, gender) of the period, and justify why they were chosen for inclusion.*

20 pts 9. Projects that will make an original or unique problem-oriented contribution to the body of archaeological knowledge of Indiana. *Describe the problem(s), hypotheses, methodology, and/or theoretical orientation of the project, and explain how the project will contribute to archaeological knowledge in Indiana.*

20 pts 10. Projects that will assist the DHPA in carrying out its responsibilities dealing with Section 106 and state statute issues and other mandated duties. Examples of projects that meet this priority include large-scale surveys and, to a much lesser extent, National Register nominations for Special Topic Sites or other eligible archaeological sites. *This priority is for the DHPA to evaluate and does not require an answer.*

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174 Points Possible

ARCHAEOLOGICAL GOALS AND OBJECTIVES

The items listed below reflect Indiana's topical/geographical, cultural period, and topic needs as identified by the Division of Historic Preservation and Archaeology.

All Archaeology projects should seek to broaden the state's historic and prehistoric archaeological database and assist our understanding of past human behavior and life ways. Consequently, the HPF Archaeology Category is keyed directly to prioritized topical / geographical target areas.

The Topical / Geographical Target Areas, noted below in Part I, indicate those areas within the state for which we (a) have less in the way of either an historic or prehistoric database, and (b) are subject to some form of land-use impact (natural and/or mineral resource extraction, metropolitan and/or industrial development, natural impacts, and detrimental agricultural impacts) that may affect the known cultural resource database and/or remove those resources that are yet to be discovered.

The prioritized Cultural Periods and Topics, noted below in Part II, reflect deficiencies in the state's database that may affect the state's performance in preservation planning, development of the state archaeological inventory, archaeological property evaluations, and the review of state and federal projects. Therefore, such projects are important to the continued development of Indiana's historic preservation and archaeology program.

PART I: Topical / Geographical Target Areas

All of the geographic areas noted below require reconnaissance level surveys to locate, identify, and evaluate sites related to the entire prehistoric cultural sequence and that of the subsequent Euro-American occupations.

Priority Areas:

a. Areas along major water courses that have not been previously surveyed, have a high probability for site locations, and are threatened by development, mining or other mineral extraction, flooding, and erosion.

b. Unsurveyed areas with a high probability for locating archaeological sites in the following counties: Floyd, Scott, Jasper, Benton, Fulton, Pulaski, Newton, Starke, Fountain, Ripley, and Washington.

c. Previously unsurveyed areas or portions of state-owned properties.

d. Areas along major transportation corridors, such as Interstate Highways, with the potential for significant development.

e. Unsurveyed areas in the following rapidly developing counties: Clark, Dearborn, Elkhart, Hancock, Hendricks, Johnson, Lake, LaPorte, Marion, Monroe, Porter, Vanderburgh, and Vigo.

f. Special Topics Section: sand ridges in Northern Indiana, and glacial lakes in Northern Indiana. High priority consideration will also be accorded for the evaluation of specific threatened sites targeted by the DHPA (refer to the attached list of sites entitled "Special Topic Sites").

PART II: Cultural Periods and Topics

1. Higher Priority Topics:

   a. Vincennes Culture, Western Basin Tradition in northeastern Indiana, Huber-Fisher-Langford Tradition in northwestern Indiana, Fort Ancient in southeastern Indiana (particularly early Fort Ancient), Late Archaic in the region north of the Wabash River, Riverton-Maples Mills in southeastern Indiana, Crab Orchard, Havana, Late Prehistoric groups in central and south-central Indiana, Middle Woodland in northern Indiana.

b. Allison-LaMotte culture, Newtown, Intrusive Mound, Walkerton, Early Woodland (non-Adena).

c. Pioneer period and early settlement in Indiana, historic farmsteads and homesteads, early Euro-American settlements and towns, transportation related sites, industrial and urban sites, schools, military-related resources.

2. Middle Priority Topics:

a. Goodall, Adena-Hopewell habitation

b. Mann, Crab Orchard

c. Bluegrass-French Lick

d. Early Archaic, Middle Archaic

e. Historic Native Americans

3. Lower Priority Topics:

a. Middle Mississippian

b. Late Archaic, Terminal Archaic

c. Marine cultural resources

d. Oliver

e. Albee

f. Paleoindian

g. All other cultural traditions

SPECIAL TOPIC SITES

Special Topic Sites have been selected because the DHPA encourages nominating these eligible archaeological sites to the National Register of Historic Places.

Breeden Site (12Hr11)
Harrison County
Shell midden

Site 12Hr12
Harrison County
Shell midden

Bertsch Site (12Wy45/46)
Wayne County
Mound, earthwork

Graves Enclosure Site (12Wy39)
Wayne County
Mound, earthwork

Little Pigeon Creek Site (12W340)
Warrick County
Village

All Seasons Site (12Mi225)
Miami County
Habitation Site

12Ma8 Site
Marion County
Village
Oberting Site

12D25
Multicomponent site with mounds and earthworks
Dearborn Co.

Cedar Bluff Rockshelter Site (12Mn72)
Martin County
Rockshelter

Reid Site (12Fl1)
Floyd County
Shell mound/midden

Cummings Mound Site (12D514)
Dearborn County
Mound

Site 12D486
Dearborn County
Habitation site

Site 12Sp7
Spencer County
Multi-component habitation site

Alton archaeological site (12Pe171)
Perry County
Habitation

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.

COST CATEGORY		**PROJECT COSTS** (reflects ALL 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 plus one dollar ($8.25 per hour).		
4. Travel: (@ $0.44 per mile)		
5. Supplies and/or Materials:		
6. Contractual:		
7. Printing/Publication:		
8. Other: *(Describe)*		

10. TOTAL PROJECT COST $
(add columns 1 through 8; this should match the amount on line #8a on proposal cover sheet))

11. Funding Level (50% or 70%) X _____ % *
(multiply line 10 by 50% or 70%)

12. GRANT AMOUNT REQUESTED $
(this should match amount on line #8b on proposal cover sheet)

*The figure representing the Grant Amount Requested should be **rounded down to the nearest whole dollar**, 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.

**SEE PAGE 5 OF THIS PACKET FOR GUIDELINES ON FUNDING RATIOS. Only Phase I survey projects are eligible for 70/30.

MATCHING SHARE

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*)

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.

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 conformance 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 that 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

APPENDIX A

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.

The State of Indiana also requires the following Professional Qualifications:

The following information is requested to document professional qualifications meeting or exceeding the requirements of the State of Indiana, as stated in Indiana Code (IC) 14-21-1 and 312 IAC 21.

312 IAC 21-3-4 Personnel qualifications
Authority: IC 14-21-1-31; IC 14-34-4-10
Affected: IC 4-21.5-3-8; IC 14

Sec. 4. (a) An individual who wishes to conduct an investigation under this article must submit a curriculum vitae to the division to satisfy the qualification standards of this section.
(b) A principal investigator must have the following:
(1) A graduate degree in anthropology or a closely related field with a specialization in archaeology at the graduate level.

(2) Three (3) years of experience in anthropology or a related field, consisting of at least two (2) years as a supervisor in archaeological survey and excavation and one (1) year of laboratory cataloging and analysis and the preparation of a research-oriented monograph, thesis, or dissertation.
(3) Graduate course work, training, and experience in archaeology, including theory, methods, techniques, cultural areas, and field and laboratory techniques, under the direction of a qualified professional archaeologist.
(4) In addition to the requirements contained in subdivisions (1) through (3), the following requirements apply to a project in the areas specified:

(A) For a prehistory project, two (2) years of supervisory experience and research in Midwestern archaeology.

(B) For a history project, two (2) years of supervisory experience in Midwestern historic archaeology and archival research.

(C) For a marine project, two (2) years of supervisory experience in underwater archaeological techniques and research. Diving certification is also required from a recognized certifying organization (examples: NAUI, PADI, Red Cross, YMCA, and United States Navy).

(c) A field or laboratory supervisor, who is eligible to submit draft and final reports for field projects, must have the following:
(1) A master's degree in anthropology or a related field and one (1) year of supervisory experience in survey, excavation, or laboratory techniques.
(2) Instead of the requirements under subdivision (1), experience and training under a person who would qualify as a principal investigator and satisfaction of the qualifying examinations required toward a doctor of philosophy degree.
(3) Graduate course work, training, and experience in archaeology, including theory, methods, techniques, cultural areas, and field and laboratory techniques, under the direction of a qualified professional archaeologist.
(4) In addition to the requirements contained in subdivisions (1) or (2) and (3), the following requirements apply to a project in the specified areas:

(A) For a prehistory project, one (1) year of experience at the master's degree level in Midwestern prehistoric archaeological research.

(B) For a history project, one (1) year of experience at the master's degree level in Midwestern historic archaeological and archival research.

(C) For a marine project, one (1) year of experience in marine archaeology and underwater archaeological techniques and research. Diving certification is also required from a recognized certification organization (examples: NAUI, PADI, Red Cross, YMCA, and United States Navy).

(D) For a laboratory project, one (1) year of supervisory experience at a master's degree level in collections research, artifact analysis, curation, and artifact cataloging and classification. Depending upon the nature of the project, experience with prehistoric or historic artifacts is required.

(d) A field or laboratory technician is an assistant supervisor or field-crew member with experience in archaeological field techniques and methodologies. A laboratory technician must be experienced in all varieties of laboratory analysis and techniques and must hold a bachelor's degree in anthropology or a closely related field, with a specialization and course work in archaeology, or possess equivalent background, with one (1) year of field survey, excavation, or laboratory techniques experience under the direction of a qualified professional archaeologist. In addition, the following requirements apply to a project in the specified areas:
(1) For a prehistory project, one (1) year of experience in Midwestern prehistoric archaeological fieldwork.
(2) For a history project, one (1) year of experience in historic archaeology fieldwork.
(3) For a marine project, one (1) year of experience in classifying, cataloging, analyzing, data recording, and curation of artifacts.
(e) A fieldworker is a survey or excavation worker who:
(1) has completed one (1) archaeological field school;
(2) has field experience equivalent to one (1) archaeological field school; or
(3) has received or is receiving training in archaeological field, laboratory, or research methods under the direction of a qualified professional archaeologist.

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.

APPENDIX B

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.

Churches or Other Religious Entities: Due to federal "separation of church and state" regulations that govern the Historic Preservation Fund Program, direct grant assistance to active religious organizations, or for rehabilitating properties that are primarily used for religious purposes, is unallowable.

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 $300 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.

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).

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 $0.44/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 $0.44/mile. Out-of-state travel costs of any kind are unallowable unless prior written approval is received from the DHPA. (See also "Conferences").

APPENDIX C

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 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 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 grants management staff members.
   2. Each committee will include at least three program area staff members, two 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 scores for each project.

E. Committee chairman discards the highest and lowest scores, computes the average of the other three, 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 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.

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; in 2005 nearly $1,300,000 was requested where there was only $511,000 available for distribution in the form of subgrants!

SOME BASIC "DOs AND DON'Ts" IN PREPARING THE PROPOSAL:

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, requiring the Grants Staff to take them apart and reassemble them. It is much easier for the DHPA Staff to review proposals when they are all assembled in the same manner; this makes it easy to compare one proposal to another or to find quickly a specific part or page in any individual proposal.

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 may 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 support your project. 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, if not impossible, 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 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.

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.

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 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. 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 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 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.