State Form 50552 (R14 / 5-15)

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

ARCHITECTURAL AND HISTORICAL

GRANT APPLICATION PACKET

For Federal Fiscal Year 2016

**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**

FY 2016 HISTORIC PRESERVATION FUND
ARCHITECTURAL & HISTORICAL 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 FY2016 will be accepted by the Division of Historic Preservation and Archaeology until **5:00 p.m. Friday, October 2, 2015.** 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 2016, 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, 2016.** 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, 2017.**

PLEASE NOTE THIS PACKET IS *NOT* FOR REHABILITATION ACTIVITIES;
YOU MUST SUBMIT AN "ACQUISITION & DEVELOPMENT" GRANT APPLICATION FOR REHABILITATION ("Bricks and Mortar") PROJECTS.

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 **Architectural and Historical** projects, which include the following:

Requirements for specific types of projects are listed in Appendix D: Project Requirements. Review these requirements carefully, so that the proposal accounts for them in the scope of work, timetable and budget.

1. Preparation of National Register nominations for historic districts that the DHPA agrees are potentially eligible for listing in the National Register. Nominations must be for eligible historic districts, either from the "Historic Districts Targeted for National Register Nomination" list, or previously identified within the last five (5) years in either a county survey or as a result of a Section 106 project. **NOTE**: Historic districts that have not been previously identified or were identified more than five (5) years ago must be reviewed by the DHPA National Register staff to verify eligibility. Please refer to instructions in Appendix E: Requirements for Determination of Eligibility for Historic District National Register Nominations. Submissions for determination of eligibility should be received by the DHPA prior to August 28, 2015. Applicants for these projects are also strongly encouraged to communicate with property owners in the district prior to preparing the grant application to confirm that there is public support for the project. Please note that individual property nominations are generally not funded, unless part of a Multiple Property Documentation Form project (see #6).

2. Public information programs (including publications, workshops, training sessions, etc.) that directly relate to or help explain federal or state preservation programs.

3. Preparation of architectural and/or engineering plans and specifications for the preservation, rehabilitation, or restoration of an historic site or structure that is currently listed in the National Register of Historic Places, OR which has been nominated and will be listed before the proposed project begins. The resulting plans and specifications must be prepared in accordance with the Secretary of the Interior's Standards for the Treatment of Historic Properties. Please contact the DHPA if you have any questions about this type of project, or if you need more detailed information concerning the Secretary of the Interior's Standards. (Please submit a CD of images of the property.)

4. Preparation of an Historic Structure Report (HSR) for a structure that is currently listed in the National Register of Historic Places, OR which has been nominated and will be listed before the proposed project begins. Applicants should contact the DHPA for more information and the proper HSR format before applying for funds for a project of this type.

5. Preparation of a feasibility study for a structure that is currently listed in the National Register of Historic Places, OR which has been nominated and will be listed before the proposed project begins. Such a project must be designed to help determine a new adaptive use for an historic structure. A feasibility study could include an Historic Structure Report (See #5 above), along with an investigation of the current structural condition of the building, a list of suggested uses for the building (with an assessment of the positive and negative aspects of each suggested use), an explanation of any special problems impeding the reuse of the building, and a detailed estimate and breakdown of the rehabilitation and conversion costs involved. (Please submit a CD of images of the property.)

6. Preparation of a Multiple Property Documentation Form (MPDF) for a specific class of resources in Indiana, and that will also nominate a minimum of one (1) historic district or two (2) individual properties to the National Register under the MPDF. Certain classes of resources have been identified as high priority by the DHPA and are listed in the "Multiple Property Documentation Form Priority List."

If a proposed activity is not covered by one of the categories listed above, please contact the DHPA Grants Staff to discuss the potential project before completing this application.

NOTE: Activities directly related to rehabilitation or construction (including bidding, review of bids, procurement, and construction supervision) are NOT covered in this category.

B. <u>Eligibility Requirements</u>

1. **Applicant Eligibility:** Eligible applicants include (a) private, non-profit organizations with 501(c)(3) tax exempt status (such as local historical societies and preservation organizations), (b) educational institutions (such as public and private schools, colleges, and universities), and (c) local governmental units (including city and county agencies and commissions funded by a consortium of local governments). Individuals and private, for-profit entities are not eligible to receive grant funds because federal regulations prohibit grant recipients from making a financial profit as a direct result of the grant-assisted project. Note also that state and federal auditing and income tax regulations prevent the DHPA from making a grant award to an organization which is not incorporated, or which does not otherwise exist as a legal entity.

2. **Property Eligibility:** Properties to be assisted with grant funds (as the focus of an Historic Structure Report, feasibility study, or other planning documents) MUST be listed in the National Register of Historic Places at the time of application, OR they must be in the nomination process and have passed both technical and substantive review at the time of application. The DHPA is forbidden from investing grant funds into properties that are not listed in the National Register; therefore, applicants should not submit grant applications for properties that are not currently listed without the approval of the DHPA Staff. Properties may be listed individually, or they may be listed as contributing resources within listed historic districts. Note that properties within the boundaries of historic districts which are designated as "non-contributing" (NC) are not eligible to receive grant funding. Properties listed in the State Register of Historic Sites and Structures which are not also listed in the National Register of

Historic Places are not eligible to receive grant funding. Please note that a County Interim Report listing or an IHSSI entry in the SHAARD database does not imply a National Register listing. To find out the National Register status of a property, contact the DHPA National Register Staff at 317-232-1646.

3. **Eligibility of Proposed Work Items:** Strict federal guidelines govern the activities that are allowable under this grants program. Proposed projects MUST fall into one of the project categories list in section A above. All proposed rehabilitation work in completed feasibility studies, Historic Structure Reports, or other planning documents prepared with grant funds MUST conform to the "Secretary of the Interior's Standards for the Treatment of Historic Properties." Planning documents that do not conform to these Standards are not eligible for reimbursement under this program. The Secretary of the Interior's Standards provide common sense guidelines for rehabilitation efforts that will respect historic fabric and the patina of age while returning the building or structure to a state of utility.

C. Project Personnel

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

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

The **Principal Investigator** is the person who conducts or supervises the professional aspects of the grant project. It is the Principal Investigator that is held responsible for the quality of the final product, 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 in 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" and this should be noted as such on the Proposal Cover Sheet.

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.

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. Architectural & Historical projects are eligible for grant funding in the amount of **50%** of the total project costs; the grant recipient must pay the remaining 50% of the total project cost. Questions regarding funding levels should be directed to the DHPA's Grants Staff. The federal grant amount requested for an Architectural and Historical project must be at least **$2,000**, but cannot exceed **$35,000**.

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

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

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

E. Matching Share

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

F. Procurement

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

G. Submitting Reimbursement Requests

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

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

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

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

H. The Application Process

In order to apply for an Historic Preservation Fund (HPF) grant, carefully complete this application in accordance with the instructions set forth in Part II of this document. Applications must be received in the Division of Historic Preservation and Archaeology **no later than 5:00 p.m. Friday, October 2, 2015 – 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 (5) copies (one (1) original and four (4) photocopies) of the complete proposal. Specific instructions for each of these items are contained in items A through I below. Assemble five (5) application packets (one (1) with all of the original documents and four (4) 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 Priorities **and**
   - Architectural and Historical Priorities
E. Project Budget
F. Matching Share and Letters of Commitment
G. Signed Statement of Understanding
H. Letters of Support *(20 maximum)*
I. Resume(s)
J. CD of jpg or tif images of the subject property, 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 "Huntington Downtown National Register Historic District Nomination"). 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, if a current resume is not on file with the DHPA's Qualified Professional List.)

7. The name of the Principal Investigator as the professional responsible for ensuring that the final product meets all applicable state and federal standards. (See Part I, Section C.) In some cases, the P.I. will be a member of the project sponsor organization and can be named in the application. If a member of the Project Sponsor's staff is to be the Principal Investigator, please verify that a current resume is on file with the DHPA's Qualified Professional list. 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, 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, 2016**; 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, 2017**. Please note that a COMPLETE DRAFT of the grant product such as a feasibility study, brochure, etc. will be at least due 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 due to the two-tiered review (technical and substantive) of National Register nominations, the submittal schedule is different to accommodate both reviews. See C. Project Description and Timetable below for specifics.

10. Supply the information specifically requested in lines A through C. 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 narrative statement that is as clear and comprehensive 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. This narrative is an executive summary of your project. In most cases, this narrative should be one to two pages in length.

- Provides a detailed description of the project, including the reasons for undertaking the project.

- States the project goals and methodology, and indicates how the project would benefit the State and/or the local community and why it is important.

- Lists and describes the products that will result from the project (e.g., National Register historic district nomination including X number of properties, Feasibility Study for X Property, etc.). If the application is to prepare National Register nomination(s) for historic district(s), the project description should include a narrative statement to verify the eligibility of the district(s). See Appendix E.

- Outlines a proposed time frame for the project that includes both starting and ending dates, as well as a breakdown of any phases, tasks, or major parts of the project. 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, 2017** to accommodate the sixty (60) day review and revision period and be **completed** and **approved** by **June 30, 2017**.

    - **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, 2017** and must pass

technical review by **April 30, 2017**, in order to allow sufficient time for both technical and substantive review and any revisions required for DHPA approval by **June 30, 2017**.

D. Statements on Meeting State Priorities: Administrative AND Architectural and Historical

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 Architectural and Historical 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 of the Budget.

2. Fringe Benefits. Fringe benefits for paid personnel are an allowable cost. To facilitate the budget process, fringe benefit expenses are often expressed as a percentage of the "Personnel" cost.

3. Volunteer Personnel. This category refers to persons who donate their time towards the completion of the grant-assisted project. Volunteer time is valued at minimum wage ($7.25/hour) unless other arrangements are made in advance with the Division of Historic Preservation and Archaeology. Note that, in general, the State prefers to fund projects that include little or no Volunteer Personnel time, since it is often difficult for the Project Sponsor to keep volunteers working on a set schedule.

4. Travel. Travel expenses may not exceed the Indiana State Auditor's rate of $0.44 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 the grant recipient may hire them. 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 which 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. Please indicate the source of the matching share. If elements of the matching share are being provided by entities other than the sponsoring organization, attach copies of letters from those entities showing a firm and binding commitment to provide the promised donation. The "Certification of Matching Share" must be signed by the person legally authorized to commit the sponsoring organization and its funds. Documentation of the availability of matching funds must also be provided in order to receive the maximum score, such as: copies of bank statements, university department budgets, government department budgets, letters of commitment for in-kind services, etc.

There are three categories of Matching Share:

1. Cash. When grant recipients use their own funds to purchase goods or services specifically for the grant project (i.e., goods or services that recipients would not otherwise be purchasing as part of their own on-going programs), or when a third party donates cash to the grant recipient for the same purpose, it is considered to be a cash donation to the grant project. This would include situations where grant recipients are using their own personnel or funds to perform some or all of the grant work, by drawing supplies from their own supply room, or to hire a temporary employee or a consultant solely and specifically to work on the grant project; where they use their own funds to purchase supplies for use on the project that are not ordinarily stocked in their own supply room; or where they receive cash from a third party to help them do any of the preceding activities.

2. In-Kind Services and Goods. When a third party provides professional services or supplies to assist the project, it is considered to be an in-kind donation to the grant project. **See** Volunteer Services to differentiate In-Kind Professional Services from general volunteers. Keep in mind that in-kind goods and services must still be documented for reimbursement. Some goods or supplies are difficult to document specifically (i.e. paper or toner for printing, phone use, computer use, etc.) and may not lend themselves to being included as match. Contact the DHPA with any questions.

3. Volunteer Services. When the grant recipient arranges to have individuals perform work on the project without any remuneration, it is considered to be a volunteer services donation to the grant project. Establishing the value of volunteer services can be difficult. If the volunteer is normally a paid professional in a given field of endeavor, and is providing free services in that same field, then it is usually possible to value the volunteer's time using their regular hourly rate of pay. In that case, the services are considered a Professional In-Kind donation and should be listed under "In-Kind." However, such an arrangement must be approved in advance by the Division of Historic Preservation and Archaeology. Ordinarily however, volunteer services are valued at minimum wage ($7.25/hour). Accurate time sheets must be kept to document the amount of volunteer services performed.

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

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

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

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

G. Signed Statement of Understanding

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

H. Letters of Support

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

number of current support letters accompanying the proposal earns points in the grant evaluation process. A maximum of twenty (20) support letters will be counted for evaluation points; do not submit more than twenty (20) support letters.

I. Resumes

If current resumes are on file with the DHPA's Qualified Professional List, you do not need to submit copies of resumes or curriculum vitae. However, if the Project Coordinator and/or Principal Investigator are not listed in the Qualified Professional List or if their resumes are not current, please submit updated resumes or curriculum vitae for the project personnel.

J. CD of Property Images

For Architectural and Historical projects that propose a feasibility study, condition assessment, and/or construction drawings, plans and specifications for a specific property, the applicant should supply **current** images of the resource. Historic images may be submitted to illustrate previous conditions or features that are relevant to the proposed activity. The DHPA will accept 35mm color slides or a CD with digital images to meet this requirement. Only **ONE (1)** CD is necessary. **Digital images should be separate files in JPG or TIF format**, please do not put images in Microsoft Word, Microsoft Publisher, PowerPoint, or other presentation software.

The **minimum** number of images typically ranges from eight (8) to twenty (20), depending on the complexity of the project; more than this number may be beneficial for very large properties. Applicants are requested to include at least two (2) images that show the principle facade(s) of the building or structure. Additional exterior photographs of each elevation or side of the building or structure help to provide orientation. All other photographs should be of the areas of the building or structure that are of particular interest or concern. Be sure to include detail shots of structural damage, deterioration, and areas in need of special attention. Good visual evidence of subject property helps the DHPA Staff to properly evaluate and score a grant proposal. Please do not put notes or annotations directly on the images. If explanatory information is necessary, provide a separate sheet of photo captions at the end of the application packet.

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

Submitting the Application

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

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

Warning: Hand-delivering the application to the DHPA

Please be aware that the Indiana Government Center South Building and the Department of Natural Resources close at 5:00 p.m., however, you should keep in mind the following: downtown traffic, parking, security screening to enter the building, and signing in at the DNR Executive Office, and plan your arrival appropriately. We recommend that you aim for 4:00 or 4:30 arrival to insure you are able to enter the building and deliver your application.

HISTORIC PRESERVATION FUND

ARCHITECTURAL AND HISTORICAL PROJECT PROPOSAL

Application for Federal Historic Preservation Funds
Federal Fiscal Year FY2016

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

1. Project Title: _____

   _____

2. Project Sponsor: _____

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

   _____

   Daytime Telephone number: _____ Fax number : _____

   E-mail address: _____

3. Federal Identification Number of Project Sponsor: _____

4. U.S. Congressional District Number: _____

5. County (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: (not to exceed $35,000) $ _____

   c. Amount of Non-Federal Match: $ _____

9. Proposed Project Schedule:

   Beginning Date (**must** be later than 4/30/16): _____

   Ending Date (**cannot** be later than 6/30/17): _____

10. Supply the information requested below (as appropriate) regarding the products to be created by this project.

a. For National Register Historic District Nominations or Multiple Property Documentation Form Projects:

Estimated number of properties to be listed in the National Register: _____

Count each contributing building within a district counts as one. Please be sure to include a sketch map showing the proposed district boundaries as part of the Project Description.

Was the historic district identified by county survey or a Section 106 project within the last five (5) years? ☐ Yes ☐ No

If NO, has a written verification of the district's eligibility been obtained and included with the grant application?
If NO, please contact the DHPA grant staff before proceeding with the grant application.

b. For projects resulting in the preparation of Historic Structure Reports, Feasibility Studies, or Architectural or Engineering Plans and Specifications:

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

What is the name of the National Register district or property?

_____

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

Is the property a National Historic Landmark (1 of 38 in Indiana)? ☐ Yes ☐ No

Name of Property owner: _____

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

_____

Daytime Telephone number: _____ Fax number: _____

E-mail address: _____

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

_____

Is the project within a federally-designated flood area? ☐ Yes ☐ No
If yes, attach a copy of the flood insurance policy or other proof of insurance.

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 proposal.

Please assemble the grant proposal **in the order of the list below**. You do not need to insert separating sheets for each section. Please do not staple sections within the application. For proper staff consideration, the grant proposal MUST include ALL of 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
- ► Architectural & Historical Priorities

_____ Project Budget:
- ► Project Budget Form
- ► Project Budget Breakdown
- ► Estimates

_____ Matching Share:
- ► Signed Matching Share Form
- ► Signed Letters of Commitment *(from ANY outside sources of funds, in-kind services, or labor)*
- ► Proof of Matching Share *(bank statements, municipal budgets, university research budgets, etc.)*

_____ Signed Statement of Understanding

_____ Letters of Support *(20 maximum)*
- ► ALL letters must be signed and submitted **IN** the application.

_____ Resumes of Key Project Personnel (unless on file for DHPA QP list)
- ► Project Coordinator
- ► Principal Investigator *(if determined at the time of application)*

_____ Written Determination of Eligibility for Proposed Historic District(s): If Applicable, See Appendix E

_____ CD of Property Images, If Applicable

_____ Attachments *(Optional)*

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 (4) additional application packets that are assembled following the order of the checklist above.

D. **Secure the packets** with a staple or a binder clip in the top-left corner. Please do not submit applications in folders, plastic report covers, 3-ring binders, or spiral-bound.

E. **Submit the five (5) sets** of the grant application (one (1) original and four (4) copies, **only one (1) CD** of images is necessary, if applicable) to the DHPA prior to **5:00 p.m. on Friday, October 2, 2015.** 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.

FY2016 ADMINISTRATIVE PRIORITIES

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

Max. Score: Priority will be given to:

16 pts 1. Projects that have a clearly defined and carefully explained project activity/activities and will result in a valuable outcome or products for the State. *Describe the project activity/activities, goals, and methodology: how is the project going to be accomplished and what is the project going to produce? If applicable, list each product individually and include quantities. Note that the scope of work must be realistic and commensurate with the amount of grant funding requested.*

16 pts 2. Projects for which applicants have an individual capable of grant administration to act as Project Coordinator. *Provide the name of this person, list their qualifications and grant-administration experience (if any). Note that the past performance of Project Coordinators on DHPA-funded grant projects is documented and will be considered. Project Coordinators with past DHPA-funded grant experience are evaluated on all aspects of grant administration, including Progress Reporting, Procurement, Reimbursement, timeliness, and their overall performance of supervising and coordinating the project on behalf of the sponsoring organization. If a current resume or c.v. for the Project Coordinator is NOT on file at the DHPA (as part of the Qualified Professional list), please submit one with the proposal.*

16 pts 3. Projects for which applicants have an individual capable to act as Principal Investigator (P.I.). *There are five possibilities for selecting a P.I. for the project. Respond according to the instructions following the underlined statement below that best describes your situation. Also, provide the appropriate underlined statement as the first sentence of your narrative response to this criterion. If a current resume or c.v. for the P.I. is NOT on file at the DHPA (as part of the Qualified Professional list), please submit one with the proposal.*

- *<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 and it must be submitted with this proposal.*
- *<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; otherwise, indicate "To Be Determined" in the appropriate space on the cover sheet.

- *<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, 2017 -- 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 2013-2015). *Indicate whether or not the project sponsor has ever received funding in the past from the DHPA, and list the years in which any grant assistance was received.*

12 pts 7. Projects that will be sponsored or co-sponsored by a governmental agency that has been designated by the National Park Service as a Certified Local Government (CLG) for the purpose of carrying out historic preservation activities. *Currently there are nineteen (19) CLGs in Indiana: Bloomington, Crown Point, Elkhart, Evansville, Fort Wayne, Huntington, Lafayette, LaPorte, Logansport, Madison, Mishawaka, unincorporated Monroe County, Muncie, Nappanee, New Albany, Newburgh, Richmond, South Bend, and unincorporated St. Joseph County. Indicate whether or not the project sponsor or co-sponsor is a Certified Local Government. Note the entire project must be within a CLG jurisdiction in order to receive full credit and for the DHPA to apply the project to its CLG pass through formula. Projects that are only partially within a CLG will be given half-credit for purposes of the evaluation criteria.*

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:

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

10 pts 9. Projects for which applicants have 100% of the matching share on-hand AND documented. *In addition to the signed Matching Share Form, provide copies of bank statements, university research program budgets, local government departmental budgets, or other documentation to demonstrate that the applicant has all of the matching share funds available in its own accounts. Applicants that claim to have 100% of the matching share but do not document it will NOT receive full credit. Applicants that can document only 75% to 99% of the matching share WILL NOT receive full credit. Applicants that have less than 75% of the required matching share, documented or not, will not receive any points. Documentation of cash donations pledged, but not yet collected, will NOT be counted as match on-hand. All matching funds MUST be from non-federal sources.*

6 pts 10. Projects for which applicants will use a matching share consisting of any combination of cash and in-kind services, with volunteer services not to exceed 10% of the total amount of the matching share. *Describe the match to be used and provide a breakdown if two or more match types are to be included. Maximum points will be given for a match consisting totally of cash, or a combination match that includes less than 10% volunteer services. Project matching shares that include 10% to 25% volunteer services will receive only partial credit. In-kind donations (for goods or professional services) as well as any pledges of volunteer labor MUST be documented in writing by the donors and be submitted with the proposal, along with the Matching Share Form.*

6 pts 11. Projects for which applicants are minority or disadvantaged organizations. *Explain how the project sponsor (the applicant organization) qualifies as a minority or disadvantaged organization or directly serves a minority or disadvantaged group (in terms of ethnic background, language, culture, religion, socio-economic conditions, gender).*

6 pts 12. Projects for which applicants have properly followed the proposal instructions and have also submitted a complete application. *The application must contain all of the completed forms and required information, and must be received by the DHPA prior to the published grant deadline. Applicants are strongly encouraged to submit their applications early so that the DHPA Staff can verify that they are complete. Applications missing any parts after the application deadline or that did not follow instructions provided in the application packet will not receive full credit, and may receive reduced scores for other priorities as well.*

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142 Points Possible

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

FY2016 ARCHITECTURAL AND HISTORICAL PRIORITIES

Note: Due to the transition of the Indiana Historic Sites and Structures Inventory (IHSSI) to electronic survey utilizing proprietary software, survey activities were removed from the competitive Architectural and Historical category in 2011, and are now funded through competitive cooperative agreements. Such cooperative agreements are funded through the HPF program and continue to be based on HPF funding ratios for survey (70/30) and the existing requirements for budgets, timetables, products, and data. Applicants seeking funding for survey activities should contact the DHPA Grants Staff.

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.

If you are combining several products into one application (more than one National Register nomination, a nomination and a publication, or some combination of other products, etc.), the DHPA recommends that you contact the Grants Staff to determine if the products bundled together in your proposal are an appropriate combination or should be separated into different proposals. Note that combining unrelated products into one application can adversely affect a proposal's score and likelihood for funding.

NOTE: Rehabilitation and construction-related activities are NOT eligible under this category. Projects proposing rehabilitation must be submitted as an Acquisition and Development Proposal.

Max.
Score: Priority will be given to:

20 pts 1. Projects that will assist the DHPA in carrying out its responsibilities regarding National Register and Section 106 and state statute issues, or promoting public awareness and understanding of preservation through educational programs. *Examples of projects that meet this priority include National Register historic district nominations, or public education programs that reach a widespread or critical audience. This priority is for the DHPA to evaluate and does not require an answer.*

20 pts 2. Projects that will produce National Register nominations for commercial or residential historic <u>districts</u> that have been recently identified in DHPA-sponsored or reviewed surveys. *Please note that nominations for <u>individual</u> properties ordinarily are NOT considered for funding. Describe the geographic boundaries and temporal limits of the historic district, and provide a justification for the delineation of its boundaries. Cite the city or county survey in which the historic district was identified (if any), and offer some justification for why the district is to be nominated to the National Register. The DHPA has identified districts in counties that are under-represented in the National Register in order to encourage nominations in these areas. These identified districts are listed in "Historic Districts Targeted for National Register Nomination" and applications that propose to nominate new districts on the target list will receive twenty (20) points. Applications that propose to nominate identified districts that are NOT on this list will receive a maximum of sixteen (16) points.*

If a proposed district:

- *Has NEVER been previously identified, either by a county survey, a Section 106 project, or by DHPA staff; <u>OR</u>*
- *Was identified more than five (5) years ago (such as in a county survey completed prior to 2010);*

The applicant MUST provide written verification of the district's National Register eligibility from the DHPA National Register staff. See page 37, Appendix E in the application instructions packet.

20 pts 3. Projects that have as their primary purpose efforts to promote financial reinvestment in National Register-listed properties through the preparation of feasibility studies, historic structure reports, or plans and specifications for future rehabilitation projects, or that will provide some form of needed

technical assistance. *Describe how and when the products created under this project will be utilized at a later date, such as in a planned rehabilitation project.*

18 pts 4. Projects that will result in preparation of a Multiple Property Documentation Form (MPDF) for the National Register of Historic Places for a class of cultural resources in Indiana. *Describe the topic and its geographic boundaries and temporal limits. Projects that will prepare a MPDF for a class of resources MUST also nominate to the National Register a minimum of one (1) historic district or two (2) individual resources under the MPDF. In addition, the project should include creation of an illustrated two-page summary written for the general public and suitable for web posting. Please visit the National Park Service's website for guidance on the structure, scope, and requirements of a successful Multiple Property Documentation Form:* **http://www.nps.gov/history/nr/publications/bulletins/nrb16b/**.

- *If a historic district or two or more individual resources that will be nominated to the National Register have been chosen, list them and provide a description of each. If any are determined ineligible in the course of the project, alternate resources must be chosen in consultation with DHPA staff.*
- *If a historic district or two or more individual resources that will be nominated to the National Register have NOT been identified at the time of the grant application, they must be chosen in consultation with the DHPA staff very early in the project timetable.*
- *Individual resources must still meet the National Register listing criteria.*

Topics from the "Multiple Property Documentation Form Priority List" will be given priority. Extra points will be given to projects that have large geographic limits and/or that include more than one (1) historic district or more than two (2) individual nominations.

16 pts 5. Projects that have as their primary purpose efforts to promote public awareness and knowledge of historic places and preservation. *Explain how the project will promote historic places and preservation in Indiana, and identify the audience and geographic areas that will be targeted by such efforts. Products may include but are not limited to educational materials or opportunities, conferences, workshops, or preservation-related training. Projects that are innovative, target a broad-audience AND include and describe planned Preservation Month activities will receive higher scores, while projects with limited audiences and/or NO planned Preservation Month activities will receive lower scores. Please describe the products and/or events, and target audience in detail.*

12 pts 6. Projects that will make a significant contribution toward meeting the State's preservation goals and objectives. *Refer to the goal, objective, and strategy statements listed in the Indiana's Cultural Resources Management Plan for 2013 to 2019, which is available on-line at:* **http://www.in.gov/dnr/historic/7290.htm**. *Describe how the proposed project will help meet the State's identified goals, objectives, and strategies for preservation of cultural resources.*

8 pts 7. Projects that involve documented historic cultural landscapes, such as through the preparation of a nomination to the National Register of Historic Places, preparation of a cultural landscape report, or creation of planning documents for future rehabilitation efforts. *Name the designer (if known) and describe: the various elements of the historic cultural landscape, the landscape's significance, its historical background, and the design principles that it illustrates. Explain how the project will protect the landscape, raise awareness of a class of landscapes, and/or assist the DHPA in evaluating the significance of a class of landscapes. Examples of the types of projects that would receive consideration under this criterion include but are not limited to: post-World War II suburban neighborhoods, farmstead layout and organization in 19th century Indiana, and cultural landscape reports for formally designed urban parks.*

6 pts 8. Projects that will make a significant effort to include minority or disadvantaged groups (in terms of ethnic background, language, culture, religion, socio-economic conditions, gender). *Describe how the minority or disadvantaged groups will participate or be included in the project as project partners, co-sponsors, or sources of information, and/or how they will benefit from the grant product.*

6 pts 9. Projects whose primary focus is on resources associated with current or historic minority or disadvantaged groups (in terms of ethnic background, language, culture, religion, socio-economic conditions, gender). *Describe how the resource(s) is/are considered minority or disadvantaged (historically or currently), how the project relates to the minority or disadvantaged status of the resource(s), and how the resource(s) will benefit from the project.*

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126 Points Possible

Historic Districts Targeted for National Register Nomination

Many historic districts that have been identified through the Indiana Historic Sites and Structures Inventory program remain unlisted in the National Register. These are districts that have been identified by DHPA staff in counties that are under-represented in the National Register. Many of these are commercial districts, which may have properties that could benefit from federal and state rehabilitation tax credit incentives, if listed. There are a few residential districts where homeowners may take advantage of Indiana's homeowner's tax credit, if listed. **Due to the age of some surveyed districts, please consult DHPA if you require specific boundaries.**

New Historic District Nominations

County	Name of District(s)
Benton	Fowler Downtown Commercial Historic District Fowler Residential/Courthouse Historic District
Boone	East Washington Street Historic District, Lebanon Thorntown Historic District
Cass	Riverside Historic District, Logansport
Dekalb	North Main Street Historic District, Auburn Eckhart Library Historic District, Auburn
Dubois	Huntingburg Residential Historic District
Fayette	Connersville Residential Historic District
Gibson	Princeton Courthouse Square Historic District Oakland City Commercial Historic District
Greene	Bloomfield Courthouse Square Historic District Worthington Commercial Historic District
Hamilton	Atlanta Historic District Arcadia Historic District Cicero Historic District
Henry	Lewisville Commercial District
Jackson	Brownstown Courthouse Square Historic District
Johnson	Franklin Northside Historic District Franklin Southside Historic District Franklin Eastside Historic District Franklin Westside Historic District Greenwood Residential Historic District
Knox	Bicknell Commercial Historic District
LaGrange	LaGrange Courthouse Square Historic District Spring-Michigan Historic District
Martin	Loogootee Commercial Historic District

Miami	Peru Courthouse Square Historic District Peru Eastside Historic District Peru Westside Historic District
Newton	Kentland Downtown Courthouse Historic District
Owen	Spencer Courthouse Square Historic District
Perry	City Hall Historic District, Tell City Tenth Street Historic District, Tell City
Pike	Petersburg Downtown Historic District
Ripley	Versailles Courthouse Square Historic District
Spencer	Rockport Commercial Historic District
Starke	Knox Courthouse Square Historic District
Sullivan	Sullivan Courthouse Square Historic District
Tipton	Tipton Courthouse Square Historic District
Vermillion	Newport Courthouse Square Historic District
Warren	Williamsport Courthouse Square Historic District
Warrick	Newburgh Residential Historic District
Wells	Bluffton Commercial Historic District
White	Broadway Street Historic District, Monticello Southside Historic District, Monticello

Historic District Nominations Needing Update or Revision

The list below includes currently listed historic districts for which the National Register documentation needs to be updated and/or revised. These districts were identified by DHPA staff through interaction with the Division's Structures Review and Technical Assistance program areas; preservation activities in these districts have identified the need to update each entire nomination.

County	Name of District(s)
Franklin	Brookville Historic District
Knox	Vincennes Historic District
Vanderburgh	Downtown Evansville Multiple Resource Area (reconfigure into Multiple Property Documentation Form)

Multiple Property Documentation Form Priority List

The DHPA has identified the following topics as priorities for preparation of Multiple Property Documentation Forms (MPDF) **for the National Register of Historic Places**. Grant applications proposing to prepare **the MPDF for** one of the following should also plan to nominate a minimum of one (1) historic district or two (2) **individual** resources under the MPDF as part of the project. For National Park Service guidance on the structure and requirements of Multiple Property Documentation Forms, go to:
http://www.nps.gov/history/nr/publications/bulletins/nrb16b/.

- An update of the Evansville Multiple Resource Area (MRA) to the current standards of a MPDF, including updating the period of significance.
- An update of the current schools MPDF ("Indiana's Public Common and High Schools, 1816-1945") to 1970;
- Historic theaters, opera houses, and places of entertainment in Indiana (including drive-in theaters), c. 1840-1970;
- Mid-20th Century Commercial Architecture and Developments, 1945-1970;

Other MPDF topics may be considered. Please contact the DHPA staff to discuss potential projects that would benefit your community, county, or region.

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 100% of costs)*
1. Personnel -- Paid: This Category refers only to persons on the direct payroll of the sponsoring organization.	Administrative	
	Professional	
	Clerical	
2. Fringe Benefits: Fringe Benefits for paid personnel are allowable.		
3. Volunteer Personnel -- Unpaid: Volunteer time is valued at minimum wage ($7.25 per hour).		
4. Travel: (@ $0.44 per mile)		
5. Supplies and/or Materials:		
6. Architectural Design Fees:		
7. Advertisement:		
8. Contractual:		
9(a). Other: *(Describe)*		
9(b). Other: *(Describe)*		

10. TOTAL PROJECT COST **$**
(add columns 1 through 9; this should match the amount on line #8a on proposal cover sheet)

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

12. GRANT AMOUNT REQUESTED **$**
(this should match amount on line #8b on proposal cover sheet—Cannot exceed $35,000)

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.

MATCHING SHARE

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

SOURCE #1

Donor: _____

Source: _____

Type *(check one):* ☐ Cash ☐ In-Kind ☐ Volunteer Amount: $_____

SOURCE #2

Donor: _____

Source: _____

Type *(check one):* ☐ Cash ☐ In-Kind ☐ Volunteer Amount: $_____

SOURCE #3

Donor: _____

Source: _____

Type *(check one):* ☐ Cash ☐ In-Kind ☐ Volunteer Amount: $_____

TOTAL MATCHING SHARE: $_____*

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

CERTIFICATION OF MATCHING SHARE

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

_____
Title of Project

_____
Name and Title of Authorized Representative

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

STATEMENT OF UNDERSTANDING
FOR HISTORIC PRESERVATION FUND SUBGRANTS

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

1. This is a request for consideration for a grant, and not a promise for funding, from the National Park Service HPF program administered by the Department of Natural Resources (DNR).

2. The individual submitting this grant request on behalf of the applicant has the necessary authority to request consideration of this project by the Department of Natural Resources.

3. This is a matching grants program in which only a portion of the total project cost can be supplied by the grant funds; the matching share will be supplied by the grant applicant in the form of cash, donated or volunteer labor, and/or donated supplies in accordance with state and federal regulations.

4. No work covered in this application is to begin until the applicant has been notified in writing that funds have been awarded, and has accepted in writing the terms and conditions of the grant.

5. If a grant is received, all obligations for material or work are to be paid by the applicant, who will then receive reimbursement from the National Park Service through the Indiana Department of Natural Resources, based on prior agreement and approval. The applicant will be required to supply all necessary financial documentation which must include copies of accurate personnel time sheets indicating the effort expended on the project, canceled checks, invoices, and other data as required by the DHPA, unless special arrangements are made.

6. Grants will be administered in accordance with all applicable federal and state laws, regulations, policies, requirements and guidelines, including OMB Circular A-102 and A-110 (as applicable), policies and procedures of the Historic Preservation Grant-in-Aid Program, Title VI of the 1964 Civil Rights Act, non-discrimination on the basis of handicap (Sec. 504 of the Rehabilitation Act of 1973), and equal employment opportunity and labor law requirements of federal grants.

7. Procurement actions will be conducted in a manner that provides for maximum open and free competition in compliance with program requirements, including OMB Circular A-102 and A-110 (as applicable).

8. All costs charged to the grant project will be in payment of an approved budget item during the project period and will conform to the cost principles of OMB Circular A-87 and A-21 (as applicable).

9. In accordance with Title VI of the 1964 Civil Rights Act (P.L. 88-325), the Department of Natural Resources requires that grant applicants not discriminate against any employee or applicant for employment on a historic preservation project because of race, color, sex, national origin, or ancestry. All employees must be advised of equal opportunity and benefits. Any complaint of discrimination must be reported to the State Historic Preservation Officer.

10. Adequate financial resources will be available for performance (including necessary experience, organization, technical qualifications, and facilities) to complete the proposed project or a firm commitment, arrangement or ability to obtain such will be made.

11. An adequate financial management system (and audit procedure when deemed applicable) will be maintained which provides efficient and effective accountability and control of all property, funds and assets.

12. The matching share will not consist of funds from the federal government under another assistance agreement unless authorized.

13. The project, if funded, will be carried out in accordance with the guidelines set forth by the Division of Historic Preservation and Archaeology, Department of Natural Resources, and will be completed within the allotted time.

14. The applicant shall participate in the grant project and shall submit copies of archaeological/architectural data and survey, study, and planning materials to the Department of Natural Resources with the condition that specific site data including site addresses be withheld from public access in accordance with federal law and the regulation and access policy adopted by the Natural Resources Commissions. This condition is necessary to protect property owners from unwanted destruction, risk, or disruption of their property and to protect valuable scientific data, cultural materials, and artifacts 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 | Name and Title of Authorized Representative

_____ _____

Signature | Date (*month, day, year*)

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.

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.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

ALLOWABLE COSTS

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

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

Advertising: The advertising costs that are solely for:

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

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

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

Communications: Communication costs incurred for telephone calls, postage, and similar expenses necessary for and directly related to the grant project. However, these costs must be adequately documented with copies of bills, receipts, or other documents that illustrate clearly the connection between the grant project and the charges incurred.

If reimbursement for such charges is anticipated, contact the DHPA for specific instructions; **note** that many subgrantees find that it is not cost-effective to seek reimbursement for any but long-distance telephone expenses.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Travel: In-state travel costs are allowable when the travel involved is directly related to the accomplishments of the project, when the subgrantee's budget includes a line-item for this cost category, and when the costs involved are incurred and documented according to standards and practices acceptable to the State Board of Accounts. Subgrantees that are already audited by the State Board of Accounts on a regular basis (local governments and state universities) may use their established in-state travel regulations, except that mileage charges cannot exceed the Indiana State Auditor's rate of $0.44/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 (3) categories.
   3. Minimum point score required to qualify for grant funding.
   4. Amount of funding targeted for Certified Local Government applicants.
   5. Amount of funding targeted for each of the three (3) project categories.

B. Board reviews Staff's recommendations, makes any appropriate revisions, and adopts the funding criteria.

II. DHPA Staff solicits and accepts grant applications.

A. Staff prepares a grant application packet based on the criteria adopted by the Board.

B. Staff advertises the availability of grant funds at least sixty (60) days prior to the application closing date and supplies application packets to interested parties.

C. Staff receives and logs completed grant applications.

III. Applications are evaluated, scored, and ranked.

A. Grants management staff reviews each application to determine the category and program area(s) involved.

B. Grant management staff establishes committees to review each application.
   1. Each committee will include at least two (2) grants management staff members.
   2. Each committee will include at least three (3) program area staff members, two (2) of whom must meet 36 CFR 61 requirements in disciplines relevant to the work proposed in the application.

C. Committee members score each application independently, and then meet to discuss each project and the corresponding scores.

D. Committee chairman records the five (5) scores for each project.

E. Committee chairman discards the highest and lowest scores, computes the average of the other three (3), and reports that figure as the committee point score for each criteria. The average scores for each criterion in both sets of priorities are totaled to arrive at the total scores for each project.

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

A. Grants management staff organizes the grant applications by category (Architectural and Historical, Archaeological, and Acquisition and Development).

B. Within each category, applications are arranged by point score, from highest to lowest.

C. Grants management staff prepares written comments for the Review Board for each category of application. Comments include the name of the applicant, budget information, a brief description of the proposed project, the staff's opinions as expressed in the committee meetings, the committee point score, and a sheet detailing, priority by priority, how the committee score was computed.

D. The staff comments are provided to the board members for their study at least ten (10) days before the next Review Board meeting.

V. The State Review Board determines funding allocations.

A. Grant management staff presents the staff's grant comments at the next meeting of the Review Board.

B. The Board determines which of its members, if any, has a conflict of interest (or the appearance of conflict of interest) in any grant applications and arranges to have such members abstain from voting on such applications.

C. The Board discusses the applications and staff comments and invites public comment from those in attendance.

D. The Board reviews the point scores awarded by the committee.

E. The Review Board determines funding allocations.

1. The Board allocates funding to applicants who are Certified Local Governments based on point score until the minimum amount targeted for CLGs is reached.
2. The Board allocates funding for Architectural and Historical projects to all eligible applicants based on point score until the amount targeted for this category is exhausted.
3. The Board allocates funding for Archaeological projects to all eligible applicants until the amount targeted for this category is exhausted.
4. The Board allocates funding for Acquisition and Development projects based on point score to all eligible applicants until the amount targeted for this category is exhausted.

F. The Board determines how to dispose of any excess funds.
   1. The Board may elect to shift funds targeted for one category to a different category in order to allocate excess funds, or
   2. The Board may direct the staff to conduct a second grant round in order to allocate the excess funds.

APPENDIX D

PROJECT REQUIREMENTS

All projects are required to meet the requirements set forth in the *HPF Grants Manual*. Applicants are encouraged to review the manual (**www.IN.gov/dnr/historic/forms.html**) for information on HPF Requirements and Procedures including: Procurement, Reimbursement, Acknowledgments.

National Register (Nominations or Multiple Property Documentation Form) Projects Must:

- Grant applications to prepare nominations to the National Register must provide verification of the eligibility of the proposed district(s). See Appendix E for details.
- 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 found at **www.in.gov/dnr/historic/photographyguidelines.html;**
- Hold a public meeting for property owners affected by the nomination to inform them of the project and to explain what National Register listing does and does not mean for their property;
- Be approved by the Certified Local Government (if applicable) through the CLG procedures. Documentation including the staff report and letter of transmittal must be submitted with the final nomination forms;
- Meet all applicable requirements of the *HPF Grants Manual.*

Publication Projects Must:

- Relate information that is consistent with the appropriate *Secretary of the Interior's Standards and Guidelines;*
- Be printed on minimum 30% recycled paper stock;
- Be reviewed for content and approved by the DHPA prior to publication;
- Acknowledge state and federal involvement, and include nondiscrimination statements, in wording approved by the DHPA;
- Provide for the free distribution of all copies printed with federal grant money and matching funds, unless previous arrangements have been made with the DHPA;
- Provide for the distribution of some number of publications to the DHPA at no charge (the precise quantity will be set forth in the Project Notification);
- Meet all applicable requirements of the *HPF Grants Manual.*

Historic Preservation Planning Projects Must:

- Be conducted in accordance with the *Secretary of the Interior's Standards and Guidelines for Historic Preservation Planning;* and applicable *Secretary of the Interior's Standards and Guidelines for the Treatment of Historic Properties*;
- Be conducted in accordance with the State's current Cultural Resources Management Plan;
- Be conducted in accordance with previous state-sponsored historic contexts;
- Meet all applicable requirements of the *HPF Grants Manual.*

(Pre-development projects only) Include a project sign that acknowledges state and federal involvement, and is posted in a conspicuous location on the property for the duration of the grant project period; required wording can be found in Appendix H: Acknowledgment of State and Federal Assistance. (Note, however, that a project sign normally will be provided to the subgrantee by the DHPA during the grant start-up meeting.)

APPENDIX E

REQUIREMENTS FOR DETERMINATION OF ELIGIBILITY FOR HISTORIC DISTRICT NATIONAL REGISTER NOMINATIONS

If the resource or district being proposed for nomination was identified through the *Indiana Historic Sites and Structures Inventory* survey within the last five years, was determined eligible through a DHPA program area within the last five years, or is on the "Historic Districts Targeted for National Register Nomination" list, the applicant need not submit additional information.

For proposed districts that HAVE NOT been previously identified or that were identified more than five (5) years ago, the following should be submitted to DHPA no later than Friday, **August 28, 2015** for an official determination of eligibility:

- A summary description (about a paragraph) of the overall district make-up, including architectural styles and types represented in the district. A brief discussion (a couple of sentences) of each area of significance being proposed.

- A map showing the proposed district boundary and photograph numbers with direction arrows. A map showing building footprints is preferred, but not required.

- <u>For districts of twenty-five (25) resources or less:</u>
    - Please include a proposed resource count;
    - Please include a photograph of each resource. Streetscape views showing several resources are preferred.

- <u>For districts of more than twenty (25) resources:</u>
    - Approximate number of resources;
    - Please include an estimated resource count (e.g., 65% contributing / 35% noncontributing);
    - Please include photographs that accomplish the following: good geographic coverage; good contributing/noncontributing coverage; good style/type and range of integrity coverage; a few photos showing resources immediately outside the district to convey boundary justification.

Once the information is received, staff will review and respond within fourteen (14) days as to the eligibility, whether additional information is needed, or if a site visit by DHPA staff is needed.

Upon review of the proposed district, DHPA staff will provide a written determination of eligibility or ineligibility.

HPF grant proposals to nominate districts that were not previously identified or were identified more than five (5) years ago MUST include a copy of the written determination of eligibility as part of the grant application submittal.

FREE ADVICE
FOR COMPLETING HPF GRANT PROPOSALS

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

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

Do Read the instructions carefully and follow them!

Do Consult the Grants Staff ANY TIME you have questions about preparing the proposal, particularly when there are questions involving the priorities, the project budget, or the matching funds.

Do Assemble the five (5) copies of the proposal carefully following the order given in the Grant Application Checklist. Many times, proposals are assembled incorrectly or out of order. It is much easier for the DHPA Staff to review proposals when they are all assembled in the same manner.

Do Give your proposal to someone else to read/proofread before submitting it. It is often advisable to have someone NOT connected with the project read over the proposal. If they are left with questions about the project, then the project description or the responses to the priorities may be too brief or too vague. You can then revise the parts of the proposal as necessary.

Do Submit your proposal early, if possible. This allows the Grants Staff to check your proposal and make sure that everything is in order. If parts are missing or incomplete, the Grants Staff will notify you immediately. If your proposal is submitted early, you will have extra time to make the necessary changes or additions; otherwise, you will have only seven (7) days after the grant deadline to put everything in order.

Do Ask for letters of support from local people and organizations that endorse your project. Try to solicit from a wide variety of community supporters and encourage them to write unique and original letters instead of form letters. Remember, letters must be submitted with the proposal. Letters received separately WILL NOT be considered.

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Don't Wait until the last minute to begin preparing your proposal. Supporting documentation is extremely important and may take several weeks to collect or put together, especially budget information, matching share documentation, written estimates for proposed work, and letters of support. Proposals prepared at the last minute often lack the necessary details and documentation, and generally do not score very well because of it. Remember, this is an extremely competitive program -- take the time necessary to put together a quality proposal!

Don't Submit your proposal in a three-ring binder or a plastic folder cover, spiral bound with a wire or plastic comb, with section dividers between parts, or with the pages inserted in plastic sleeves. If the Grants Staff needs to reorganize the proposal, these covers, bindings, or dividers often make it difficult to take apart and reassemble the proposal. Divider pages between sections actually make it MORE difficult for the DHPA Staff to quickly find a certain page, while three-ring binders take up too much filing space, and pages inserted in plastic sleeves prevent the Staff from making notes directly on the proposal. The Grants Staff prefers that all proposals look the same, as they are much easier to handle and review. The score given to each project application is directly derived from the CONTENT, not the appearance, of the grant proposal.

FIVE EASY WAYS TO MAKE YOUR PROPOSAL SCORE MORE POINTS:

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

1. **Include a thorough and detailed project description.** This project description should cover every item or task to be completed under the grant-assisted project. If the proposed grant project is a part, component, or phase of a much larger or comprehensive project, briefly describe the overall project and how the proposed grant project fits into the big picture. Then describe the proposed grant project in detail. List and describe every product that will result from the grant project, and discuss any potential spin-off benefits of the project. A thorough and detailed project description generally should not exceed three (3) 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, and a brief overview is provided at the end of this packet. Failure to follow procurement requirements can result in significant issues with your project and potentially the reduction in grant funds or cancellation of the project.

7. **Project Progress Reports**: Progress Reports are due throughout the project on a quarterly basis in July, October, April, and January. The Project Coordinator is responsible for completing progress reports, keeping the project on track, reporting any problems or delays, and overseeing reimbursement.

8. **Project Reimbursement**: The HPF program is a reimbursement grant, and grant funds are paid out according to the funding ratio of the project (50%) 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 are 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 Bidding / Procurement Process

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

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

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

Depending on the type of project and complexity, procurement can take from four (4) to six (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.