

Certified Local Government Grant Manual

DHR | Virginia Department of Historic Resources



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FY 2018-2019 CLG Grant Project, Survey and National Register Update

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Virginia Department of Historic Resources
2021-2022 Certified Local Grant Manual



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INTRODUCTION

The Virginia Department of Historic Resources, the State Historic Preservation Office (SHPO) administers the U.S. Department of Interior's Historic Preservation Fund (HPF) Program in cooperation with the National Park Service (NPS). The National Historic Preservation Act, as amended (16 USC 470 et seq.) contains the legal basis for this federal–state-local partnership. Under this program the Department of Interior specifies that at least ten (10) percent of Virginia's annual HPF Program award be designated as pass-through funding to Certified Local Governments (CLGs) each year. Subject to the final allocation of funding from the NPS, approximately \$101,004 will be available for CLG grant awards for Fiscal Year 2021.

To become a CLG, a local government must have enacted a preservation ordinance establishing a Heritage Preservation Commission program for local designation of historic properties and review of proposed changes to those properties.

CLGs interested in applying for a federal grant will find the procedures explained on the following pages. Because federal funds are utilized for the CLG grant, numerous federal regulations will apply. This manual describes the minimum requirements as specified by the NPS. Federal regulations will be enforced, and failure on the part of a CLG to meet them will result in the cancellation of a grant project.

Please contact Aubrey Von Lindern, CLG Coordinator to discuss project ideas if you have questions or concerns. You can also reach out to one of DHR's Regional Architectural Historians.

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ELIGIBLE APPLICANTS AND ELIGIBLE PROJECTS

ELIGIBILITY

All Certified Local Governments within the State of Virginia are eligible to compete for CLG funds if they have continued to comply with the conditions of their Certification Agreement and State Performance Standards measured annually by Annual Reports and every four years by a more substantive review. **CLG grants are reimbursement grants ; see Funding Requirements in this manual for more details.**

There are 8 areas of eligible program activity (1) Public Education/Information (2) Local Review Board Training and Education (3) Design Review Guidelines (4) Heritage Stewardship Planning (5)Cultural Resource Survey (6) National Register of Historic Places (7) Pre-Development (8)Development Projects

Eligible Activities include, but are not limited to:

- Identifying and documenting historic resources for survey and planning purposes;
- Preparing nominations to the National Register of Historic Places;
- Developing local preservation plans or preservation elements in local comprehensive plans;
- Developing or updating design guidelines for local historic districts;
- Producing heritage education materials including publications, pamphlets, video or lesson plans.
- Development project – City, County owned Buildings, Stabilization projects.
- Historic Structure reports and Conditions assessments
- Provide training or training materials for officials, staff, commission members and/or local citizens

Ineligible Activities include, but are not limited to:

- Archival research
- Curation of objects or
- Collections
- Operating or overhead support

ELIGIBLE ACTIVITIES EXPLAINED

PUBLIC EDUCATION/INFORMATION PROGRAMS

Public informational materials are those that are related to local history and cultural resources, to heritage stewardship programs and activities at the local level or to the promotion of the broad benefits of heritage stewardship. Those broad benefits include community revitalization, economic development, heritage tourism, education, and community and citizenship building. Specific materials may include publications or other printed information (i.e., brochures) or presentations or exhibitions about such topics as the local historic district and the requirements for property owners within that district, the history of the city and the district, the architectural and archaeological resources found in the district, and the appropriate treatment of those resources, as well as other more general heritage stewardship topics. Local governments may apply for grants to assist with the development, publication, and distribution of public informational materials or the development and presentation of informational programs.

Any programs or materials developed under this category must be accessible to persons with disabilities. In addition, grant sub-recipients must insure that any publications (print, video, or audio) produced with CLG funds include the language concerning federal funding and unlawful discrimination as specified in this Request for Applications, Section III J.

Specific Application Instructions

Project Description

Briefly describe the proposed project, program or publication to be produced with grant assistance.

State the type and number of copies of products or describe other outcomes that will result from the grant project. Include funds in the budget for all needed production and/or distribution costs.

Project Design

Describe the format for the program or publication to be produced with grant assistance. Explain how this project follows logically upon previous preservation efforts. Describe how the local preservation program will be upgraded by the completion of the project.

Define the need for the project. Cite facts and figures to document that need. Indicate how this project will address the local stresses, threats, and needs of the area's resources.

Briefly describe the type of public participation/support you expect from property owners, review board members, and preservationists.

Describe the group targeted with the project (i.e. property owners, review board members, local officials, etc.), and discuss how the project is appropriate for the targeted group.

Administrative Capacity. Please include the resumes of the grant administrator and program principals, if different. If a consultant is to be used, include the criteria by which consultants will be evaluated.

LOCAL REVIEW BOARD TRAINING AND EDUCATION

CLGs may apply for grants to hire a preservation consultant to provide training or educational programs for the members of its local review board and/or other government officials. Such programs might deal with topics such as: interpreting the *Secretary of the Interior's Standards for Rehabilitation*; archaeological resource protection; or any of the board's administrative or review responsibilities, such as factors to consider when reviewing various types of applications for certificates of appropriateness, interpreting the hardship provisions in the ordinance, working effectively with historic property owners and local elected officials or dealing with other difficult issues. Communities also may apply for CLG funds to develop training programs for other local government employees. Training and education within the local government can be used to help ensure that preservation planning goals are understood and implemented at all levels.

CLGs can also apply for funds to plan and host a statewide or regional CLG workshop or other training for CLGs, preservation commissions, architectural review boards, and local officials charged with stewardship responsibility for historic resources and historic preservation. **As a conference sponsor and funder, DHR strongly encourages Virginia CLGs to send commissioners and architectural review board members to attend the yearly Preservation Virginia Conference.**

Specific Application Instructions

Project Description

Briefly describe the proposed project, its goals and products. Describe the format for the training program or educational materials to be produced with grant assistance. Include a possible agenda for training session or workshop.

Describe the type and number of products (if any) that will result from the grant project and include funds in the budget for their production and/or distribution.

Project Design

Define the need for the project. Cites facts and figures to document need. Indicate how this project will address the local stresses, threats, and needs of the area's resources. Explain how this project follows logically upon previous preservation efforts.

Describe how the local preservation program will be improved by the completion of the project and describe how any related programs or activities will be affected.

Briefly describe the group targeted with this project and discuss how the project is appropriate for the targeted group.

Briefly describe the type of participation/support you expect from review board members, local government staff, local preservation groups, etc. and identify any other resources required.

Administrative Capacity

Please include the resumes of the grant administrator and program principals, if different. If hired, a consultant must meet the Secretary of the Interior's Professional Qualifications Standards (Appendix D). Please list the other criteria that will be used to evaluate consultants.

PREPARATION AND PUBLICATION OF DESIGN REVIEW GUIDELINES

Local governments may apply for grants to develop and publish design review guidelines for use by review board members and property owners. These guidelines should expand and refine the general guidelines for review of proposed actions in the historic district that are usually found in the locality's ordinance. The guidelines should be tailored to the specific resources, building types and architectural styles found within the locality's historic district(s). Design review guidelines must substantially conform to the *Secretary of the Interior's Standards for Rehabilitation* and should be prepared by a preservation consultant who meets the Secretary of the Interior's Professional Qualifications Standards (see Attachment D).

DHR has available for inspection copies of design review guidelines that meet the *Secretary's Standards* and that were prepared and published by local governments with CLG grants.

CLGs should plan for and include in the project's scope of work, time schedule and budget the time and costs necessary to hold public meetings for discussion and presentations on the design review guidelines project to insure public understanding of and support for them.

Specific Application Instructions

Project Description

Briefly describe the proposed project and describe the format for the publication to be produced with grant assistance.

State the type and number of copies of the product that will result from the grant project and include funds in the budget for their production and/or distribution.

Project Design

Define the need for the project. Indicate how this project will address the local stresses, threats, and needs of the area's resources. Describe how the local preservation program will be upgraded by the completion of the project.

Explain how this project follows logically upon previous preservation efforts.

Briefly describe the type of public participation/support you expect from property owners, review board members, and preservationists; identify resources required from these participants.

Briefly describe the group(s) targeted by the project (i.e., property owners, review board members, local officials), and discuss how the project is appropriate for the targeted group(s).

Administrative Capacity. Please include the resumes of the grant administrator and program principals, if different. If a consultant is to be used, the consultant must meet the Secretary of the Interior's

Professional Qualifications Standards (see Attachment I). Please list the other criteria that will be used to evaluate consultants.

HERITAGE STEWARDSHIP PLANNING

The Department of Historic Resources (DHR) strongly encourages the efforts of Certified Local Governments (CLGs) as well as other Virginia counties, towns, and cities to develop a local comprehensive planning process that closely integrates heritage stewardship initiatives with the community's broader comprehensive planning efforts.

CLGs are familiar with the basic tool of the historic preservation ordinance; however, **comprehensive historic preservation planning** is another vital tool available to local governments for the purpose of broadening and strengthening the integration of heritage stewardship and community land-use decision making. One recommended approach is to develop a community comprehensive historic preservation plan that establishes local goals and priorities based both on the values of the community's historic resources and the community's own vision of its future. A second more commonly used alternative is for the community to develop a preservation component for its comprehensive plan that will closely integrate heritage stewardship goals and priorities with the larger community comprehensive plan as it is being revised. Either approach should be timed carefully so that the results of preservation planning realistically can be implemented through the broader community planning process. Both approaches may require the employment of a professionally qualified preservation consultant.

Since archaeological resources are less visible, a locality may wish to develop a county-wide or city-wide **archaeological assessment** to serve as a planning document for making land use decisions and guiding future archaeological survey, evaluation, treatment, or National Register activity. The assessment should include: gathering, mapping, and assessing information on archaeological sites which are already recorded; reviewing and assessing all known historic maps to determine the probable locations of historic sites; using environmental, topographic, and known site distribution data to develop a predictive model of areas with high, medium, and low probability for as yet unrecorded prehistoric and historic sites; and plans and recommendations for survey and planning strategies for each of these areas. If possible such a project should include a second step to test the predictive models based on historic maps and environmental data in limited areas to help support survey and management recommendations. It should also be remembered in developing these assessments and plans that archaeologically significant deposits lie under and around virtually all above ground historic properties.

To be eligible for CLG funding the preservation plan, preservation component, or archaeological assessment should include broad public participation in its development and implementation and should meet the *Secretary of the Interior's Standards for Preservation Planning*.

As a guideline for meeting those standards, DHR has identified five essential steps that communities should follow in developing a preservation plan: identification of local historic properties; evaluation of current trends and influences on historic properties; community consensus on goals and priorities related to historic properties; identification of appropriate tools, strategies and action needed to achieve those community goals; and an action plan for implementation. These five steps are presented in outline form in Attachment D, "Model Community Preservation Plan." Eligible planning activities for CLG funding might also include efforts to revise or strengthen local ordinances covering historic properties.

DHR can provide copies of local comprehensive preservation plans that meet the *Secretary of the Interior's Standards*, copies of current preservation ordinances, as well as further information on the state's comprehensive preservation planning process.

Specific Application Instructions

Project Description

Briefly describe the proposed project and explain how it will advance historic resource-based planning goals and priorities. Identify the boundaries to be covered by the plan/ordinance/assessment (include a map); and the number and range of resources known to be contained within those boundaries. Describe how the project tasks are related to the five preservation planning steps outlined in Appendix C, “Model Community Preservation Plan.”

Explain why the project is needed and cite facts and figures to document the need. Explain why the project is timely both in terms of local heritage stewardship and the broader community comprehensive planning process.

Divide the project into phases and tasks and complete the project schedule included in this package.

State the type and number of copies of products that will result from the grant project and include funds in the budget for their production and/or distribution.

Project Design

Describe how the project will address the stresses, threats, and preservation needs of the CLG and how the project will be accomplished within the time available.

Explain how the project will broaden and strengthen the integration of preservation values with community land use decision making.

Describe the type of participation/support you expect from elected officials, historic property owners, preservation groups, and other interested parties. How will a consensus be reached on community heritage stewardship goals and priorities? Who will monitor and maintain the plan/ordinance?

Administrative Capacity

Please include the resumes of the grant administrator and program principals, if different. Any consultant used must meet the Secretary of the Interior's Professional Qualifications Standards (see Appendix D). Please list the other criteria which will be used to evaluate consultants.

CULTURAL RESOURCE SURVEYS

For the purposes of the 2021-2022 CLG grant competition, DHR will fund survey projects that involve the updating of existing survey information, and will also consider applications for funding new survey work. Applications for new survey work should be mindful of the project period.

Applications should describe in detail how the proposed survey will be accomplished within the allotted time, and in adherence with DHR standards.

Requirements for survey grants include the development of appropriate historic contexts if not previously defined, definition of the study area, establishment of a formal research design for the field study (archaeological surveys) which is to be completed with qualified personnel, and submission of an acceptable final report with supporting documentation such as completed DHR inventory forms, both hard copy and entered into the V-CRIS database, maps, photographs, etc. More detailed descriptions of those requirements as they relate to different survey types are available from DHR in “Guidelines for Conducting Historic Resources Survey in Virginia” (October 2011). Prior surveys and supporting documentation that meet the *Secretary of the Interior's Standards and Guidelines* related to survey are available for inspection at DHR.

The following discussion of cultural resource surveys is included as background and as an explanation of the importance of survey to other aspects of the local preservation program.

Cultural resource surveys involve the identification of archaeological, architectural, historic properties, and cultural landscapes (typically cultural landscape identification is conducted as part of an architectural, historical, and/or archaeological resources investigation). Such surveys may be structured in one of three ways: (1) county-wide/city-wide surveys or smaller surveys covering all resource types (archaeological, architectural/historical, or combined) within precisely designated geographic boundaries; (2) thematic surveys focusing on a particular resource type (for example, surveys associated with the history of cultural minorities such as an African American Thematic Survey, or for historic events, for example, properties associated with the Civil War); and (3) inventories of all buildings in historic districts if such inventories do not currently exist. For the first two, either a reconnaissance or intensive survey strategy may be used, depending upon specific local needs; generally, for historic districts, all properties within the district boundaries are surveyed at the reconnaissance level. DHR encourages cultural resource surveys since identification is an essential step in the long-term protection and preservation of the significant archaeological, architectural, and historic resources within a community. Though combined surveys are encouraged, specific surveys for which funding is being requested may be structured so as to focus only on one type of resource (archaeological, architectural, or historical).

A reconnaissance level survey is an archival and field research project designed to provide a general overview of an area's archaeological, architectural, and/or historic resources and their general importance, but it is **not** structured to produce a level of documentation sufficient to determine a property's National Register eligibility or to nominate a property to the National Register. Key to a reconnaissance level survey is examining all or part of an area in sufficient detail to make generalizations about the types and distribution of archaeological, architectural, and/or historic resources that may be present. Generally, a reconnaissance survey is the first step a community takes in identifying important local cultural resources. This may be contrasted with an intensive level survey, which is often done following the recommendation for more in-depth work based on review of reconnaissance-level survey findings, and which includes major archival research and field inspection of an area. The research is designed to identify fully the project area's archaeological, architectural, and/or historic resources. The survey is structured to produce a level of documentation sufficient, without further data, to evaluate National Register eligibility of all

identified properties and to nominate those where appropriate. Whatever the level of the survey, the survey results must be presented in a form that can be used for further preservation planning efforts.

All grants for surveys must be consistent with the *Secretary of the Interior's Standards and Guidelines for Identification and for Documentation* and with the Professional Qualifications Standards (see Appendix D). Since survey results will be used in local, regional, and state preservation plans, one also should be familiar with additional *Standards and Guidelines for Preservation Planning, Evaluation, and Registration*.

Project Description

Describe the type of survey to be undertaken and the physical area to be surveyed. Include a map showing the area proposed for survey. A locality map with parcels, labeled streets, building footprints, and similar detail and/or a USGS topographic map showing the project area correspond well with DHR's mapping procedures, but other map types may be acceptable depending on the project.

Divide the project into phases and tasks and complete the project schedule included in this package. Explain how the project will benefit the local preservation program.

Explain why the project is needed and cite facts and figures to document that need. Explain why the project is timely in terms of heritage stewardship and the broader community comprehensive planning process.

State the type and number of copies of products that will result from the grant project and include funds in the budget for their production and/or distribution.

Project Design

Describe how the project will address the stresses, threats, and preservation needs of the CLG. Will the project complete reconnaissance level survey of the project area?

How will the survey results be useful in subsequent preservation planning efforts? How will the project increase local knowledge of the area?

Describe how the project will be accomplished within the time available. This is particularly important for proposed new surveys, as procurement of consultant services and completion of the survey to DHR standards usually requires a lengthy project period. Describe the type of public participation/support expected from elected officials, property owners, preservation groups and other interested parties.

Administrative Capacity

Please include resumes for grant administrator and program principals, if different. A consultant, if used, must meet Secretary of the Interior's Professional Qualifications Standards (See Appendix D). DHR requires architectural surveys to be conducted by a person qualified in architectural history. List other criteria used to evaluate consultants.

NATIONAL REGISTER NOMINATIONS

The preparation of National Register nominations ideally follows survey and evaluation activities. Prior to undertaking the preparation of a nomination, a historic property or neighborhood must have been recommended eligible for listing in the National Register of Historic Places by DHR staff and/or the State Review Board in an evaluation process that occurred within the context of one of DHR's programs. Properties eligible for registration include buildings, archaeological and historic sites, districts, structures, and objects that are at least fifty years of age, retain sufficient integrity to reflect their significance, and meet one or more of the National Register criteria (see Attachment C, "What Are the National Register Criteria?").

In the annual workplan, the Department of Historic Resources has identified a number of property types that are a priority for listing in the National Register of Historic Places and the Virginia Landmarks Register and that are deserving of this honor. That list is included as Attachment B. We encourage CLGs to apply for funds to prepare a nomination (or nominations) for one or more of the property types in their local jurisdiction. CLGs are reminded that property owner support for a nomination and for listing in the state and national registers should be received prior to submission of an application for funds to prepare a nomination.

An official evaluation of a property's or a district's eligibility should precede the submission of a grant proposal for the preparation of a nomination form. The eligibility of properties or districts can be assessed through the **completion of a Preliminary Information Form (PIF)** and review of it by DHR. This form includes a general description of the property or district and an overview of its history and significance. This information is reviewed by the Department's Register Evaluation Team and the State Review Board. The PIF should be submitted in advance of the grant application submittal so that the evaluation process can be completed before grant applications are ranked, taking into account that the evaluation committee may request additional information. DHR recommends localities submit the PIF 6 weeks in advance. Additionally, before a historic district nomination form can be completed, a complete reconnaissance level survey of all properties in the district must be completed and accepted by DHR staff.

Register nominations must be prepared following National Park Service (NPS) and DHR guidelines and must meet the *Secretary of the Interior's Standards for Archeology and Historic Preservation* and the *Standards and Guidelines for Registration*. Each nomination must include a complete nomination form, photographs, maps, electronic files, and ownership information. Nomination forms consist of a detailed architectural/physical description, a statement of significance that includes a historical analysis and development of applicable historic contexts, and geographic information. Written guidelines, such as "How to Complete the National Register Registration Form" (NPS Bulletin 16a, available online at <https://www.nps.gov/nr/publications/bulletins/nrb16a/>) and the National Register Nomination Checklist promulgated by DHR (available online at http://dhr.virginia.gov/registers/GuidanceMaterials/NRCheckList_2014_FINAL.pdf) are available. Additional technical guidance materials are available at DHR's webpage, <http://dhr.virginia.gov/registers/trainingGuidance.htm>.

In addition to nominations for individual resources and historic districts, DHR encourages preparation of Multiple Property Documents (MPD)--context documents for a group of properties linked by theme, location, or period. The MPD form generally discusses the relevant historic contexts, property types, and registration requirements for the specific property type. After approval of an MPD, individual properties are evaluated against the MPD at the PIF level and an abbreviated individual nomination form prepared for each eligible resource.

Previous CLG-funded register projects have included individual, district, and Multiple Property Submissions. Examples of the latter type include "The Civil War Sites of Prince William County," which consists of a group of nine nominations for sites, buildings, and structures and the MPD form, and "Rosenwald Schools in Virginia," which consists of the MPD form and has had approximately one or two new nominations annually since the MPD was completed in 2004.

Detailed information concerning the evaluation and register process and the preparation of register nominations is available from DHR as are samples of all types of nominations for a variety of property types.

NOTE: CLGs applying for funds to prepare National Register nominations should provide in their scope of work, time schedule, and/or budget for the necessary time and funds to provide on-going communication with property owners and for public meetings at several points in the register process, both to keep local officials and all other interested parties up to date and to provide for a means of collecting comments and information. Time and funds should be allotted for the required process of property owner notification. DHR will provide guidance on the above.

General Requirements

Local governments may apply for grants to assist with the preparation of National Register nominations for properties that meet the National Register Criteria for Eligibility or for those properties already designated as eligible by DHR or shown in Attachment B. Nominations may be prepared for individual buildings, sites, structures, historic districts, or a collection of properties nominated as a Multiple Property Submission.

Specific Application Instructions

Project Description

Briefly describe the proposed project, including the type of nomination(s) and number of resource(s) to be nominated. Generally describe the boundaries of the area to be nominated and the number and range of resources contained within those boundaries (include a map of the survey area.) Please reference any prior evaluation of the resource's eligibility and/or survey conducted by DHR.

For proposed nominations for historic districts, the applicant should document that the local government has assessed the neighborhood's interest in and support of being nominated.

Describe the quantity and quality of existing documentation and the need for any additional survey and research. Reference any previous surveys or studies.

State the type and number of copies of products that will result from the grant project and include funds in the budget for their production and/or distribution.

Project Design

Define the need for the project. Indicate how this project will address the local stresses, threats, and needs of the area's resources. Explain how this project will contribute to the understanding of the area's historic contexts and themes and how this project follows logically upon previous preservation efforts.

Explain how the project will benefit the local preservation program. Explain how the registration of the property/properties/district will lead to protection and/or sensitive treatment for these resources.

Briefly describe the type of participation/support you expect from local government officials, property owners, local historical groups, etc.

Administrative Capacity

Please include the resumes of the grant administrator and program principals, if different. If a consultant is to be used, the consultant must meet the Secretary of the Interior's Professional Qualifications Standards (see Appendix D). Please list the other criteria that will be used to evaluate consultants.

- **SEE ADDITIONAL INFORMATION REGARDING THE NATIONAL REGISTER PROGRAM REQUIREMENTS IN APPENDIX A.**

HISTORIC STRUCTURE REPORTS, ARCHITECTURAL PLANS, AND SPECIFICATIONS

A **Historic Structure Report** is a tool used to analyze a historic structure and establish preservation objectives for the property. The report also provides a schedule for accomplishing these objectives. For purposes of this grant program, a Historic Structure Report can be prepared **only** for buildings that are **listed in the National Register of Historic Places**, either individually or as a contributing element in a historic district. A Historic Structure Report should be prepared prior to certain kinds of development. When rehabilitation, restoration, or reconstruction work is proposed to return a structure to a specific appearance, either by replacing missing features or removing later additions, a Historic Structure Report may be appropriate. Reports developed with CLG funds must be done in conformance with this NPS guidance.

Architects selected for preparation of a **Historic Structure Report** or for preparation of architectural **plans and specifications** for preservation work must be able to demonstrate familiarity with the *Secretary of the Interior's Standards for Rehabilitation*. DHR's Historic Preservation Consultants List and the *Secretary of the Interior's Standards and Guidelines for Rehabilitation* are available upon request.

Any CLG requesting funds for the revision or updating of an **existing** Historic Structure Report must include with the grant request a copy of the existing Historic Structure Report, which would be revised or updated. The need for a revised Historic Structure Report should be clearly indicated in the narrative portion of the application.

Specific Application Instructions

Project Description

Identify the purpose of grant funding (preparation of architectural plans, development of specifications or preparation of a Historic Structure Report).

State the name, title and location of the structure. A VCRIS-generated map should be included to identify the exact location of the structure and/or property. Present ownership of the property should be identified. **Please identify the property by the name under which it is listed in the National Register of Historic Places.** State how the structure or property relates to national, regional, or local history.

State the type and number of copies of products that will result from the grant project and include funds in the budget for their production and/or distribution.

Project Design

Describe the current condition of the property. State the present use of the structure or property and describe the proposed use for it. Explain why the project is timely.

Include schematic drawings representing the proposal. Describe the proposed treatment of the structure or property. If restoration or reconstruction is the objective, give justification for the proposed treatment. State how the treatment appropriately meets the threat identified in this application and how the proposed work will meet the *Secretary of the Interior's Standards and Guidelines for Historic Preservation Projects*.

What evidence can be given to show that following the completion of this project, the structure or property will be preserved? How will this project benefit the local preservation program?

Briefly describe how the proposed project will benefit the existing preservation goals and priorities for the community and how completion will ensure or contribute to the property's preservation.

Give a description of the present condition of the structure or property. Include photographs (not photocopies). Describe the nature of the threat, its severity and immediacy, and the effect of not meeting the threat, e.g. complete loss of property, compromise of its physical fabric, compromise of its setting, etc.

If this request is for funds to revise or update an existing Historic Structure Report, please explain the need for the revised report and **include a copy of the existing report.**

Administrative Capacity

Please give a general estimate of how long it will take to complete the historic structure report, or architectural plans and specifications, for which funds are requested.

Please include the resumes of the grant administrator and program principals, if different. If a consultant is to be used, the consultant must meet the Secretary of the Interior's Professional Qualifications Standards (see Appendix D). Please list the other criteria that will be used to evaluate consultants.

DEVELOPMENT PROJECTS

Grant assistance is available for protection, stabilization, preservation, restoration and rehabilitation work on the full range of cultural resources—buildings, historic landscapes, archaeological resources, etc.—that are **listed in the National Register of Historic Places**. Development activity at historic properties follows logically upon completion of other preservation planning activities such as development of historic resource protection plans, preparation of National Register nominations, and—for buildings in locally designated historic districts—adoption of local design guidelines for those districts. Because of the pressing need to assist extant resources, major **reconstruction** projects will **not** be eligible. Also ineligible are projects that involve solely routine or cyclical maintenance.

Properties eligible for development assistance are **those listed individually on the National Register of Historic Places**, as well as **those properties certified as contributing properties in National Register historic districts**. For a building not individually registered, but included in a National Register historic district, Part 1 of the federal Historic Preservation Certification Application must be completed. The Part 1 form documents the building's inclusion in a National Register historic district and requests designation of it as a Certified Historic Structure. Part 1 of the Historic Preservation Certification Application is available from DHR upon request. **A completed Part 1 form should be submitted with an application for development funds.**

In past years, development funds from the Virginia CLG program have been awarded to projects at buildings owned by a local government. However, privately owned buildings could also qualify for grant funds, provided that the local government applies for the funds. When grant funds are requested by a CLG on behalf of a specific private property, the local government must be able to document that a local grants competition and an open selection process was conducted that resulted in the selection of the specific private property as the most qualified and eligible for development funds. An open selection process must include, at least, a general notice to the public concerning the availability of funds and announcing the availability of applications, a written ranking system and evidence that the locality objectively rated and ranked proposals received, and—if considered necessary—held a public meeting to discuss the offering. In addition, the local government must provide evidence that it has maintained files and kept records related to this offering and responses to it.

A CLG could also request development grant funds to conduct a local preservation grant competition and an open selection process that would result in an award for restoration, rehabilitation, etc., work at one or more specific private properties. **Please note that in both of the alternatives described above the Certified Local Government—not an individual property owner—must request the development grant funds.**

Development project grants ideally will be matched dollar for dollar. Applications must document the availability of the matching share and must identify the sources for such match.

The proposed scope of work for a development project will be reviewed and evaluated by DHR to ensure compliance with the *Secretary of the Interior's Standards* for, respectively, Protection, Stabilization, Preservation, Rehabilitation, and Restoration. Proposals that are not consistent with the *Standards* cannot be funded. Copies of the *Secretary of the Interior's Standards* are available from DHR. The *Standards* will also be used in DHR's review of all plans and specifications for the project work prior to commencement of that work. Project work not

carried out in conformance with the *Standards* may be disallowed for purposes of grant reimbursement.

Covenants or Preservation Letters of Agreement, as appropriate, must be executed by the owner prior to the release of funds for any development project. The covenant commits the owner to continued maintenance of the building assisted with grant funds for at least five years. In addition, the property must be opened to the public on a limited basis, if the property or the work is not visible from a public right of way. The covenant also requires that reasonable accommodations be made to qualified disabled persons to implement the public access requirement.

Development projects must propose achievable and tangible results for the preservation of a property. Documentation of the property's existing condition and a description of all proposed work must be submitted for evaluation.

Grant sub-recipients must agree to erect a sign at the project site acknowledging NPS assistance during the term of the project. If erection of such a sign is not practicable, grant sub-recipients must request a waiver of this requirement from DHR.

NOTE: DHR will not consider an application for development funds unless the locality applying for such funding has published design guidelines in place or is in the process of developing such guidelines. Information on the status of design guidelines in the community must be included with the application for funds.

Specific Application Instructions

Project Description

List the name, and location of the structure. Include a USGS 7.5' quadrangle map showing the exact location. **Please identify the property by the name under which it is listed in the National Register of Historic Places.** If the property is included within a historic district, give the name of the historic district and provide a sketch map of the district. Describe how the structure or property relates to national, regional, or local history.

Identify the owner of the property. If other than publicly owned, evidence must be submitted to document an open and competitive selection process (see General Instructions for this grant category).

Identify the purpose of grant funding - protection, stabilization, preservation, restoration, or rehabilitation.

Describe the present use of the structure and give the proposed use for it following protection, stabilization, preservation, restoration or rehabilitation. Please explain how the project is timely.

Project Design

Describe the existing condition of the property. Describe the nature of the threat, its severity and immediacy, and the effect of not meeting the threat, i.e. complete loss of the property, compromise of its physical fabric, compromise of its setting, etc. Include

photographs, schematic drawings, architectural drawings, and/or sketches showing the existing condition of the property and the proposed alterations.

Identify the proposed scope of work for the protection, stabilization, preservation, restoration, or rehabilitation of the property. Explain how the treatment appropriately meets the needs and stresses which the property exhibits.

Describe how the proposed project will benefit the existing preservation plan or goals for the community. What evidence can be given to show that following the completion of this project, the structure or property will be preserved?

Photographic Documentation

For all Development proposals, please submit photographs that document the existing condition - both exterior and interior - of the structure for which grant funds are requested. These photographs should be original (not photocopies), 5 x 7, black and white glossies.

Administrative Capacity

Please include the resumes of the grant administrator and program principals, if different. If a consultant or outside contractor is to be used, the consultant must meet the Secretary of the Interior's Professional Qualifications Standards (see Appendix D). Please list the other criteria that will be used to evaluate consultants.

Explain the administrative arrangements for carrying out this proposed protection, stabilization, preservation, restoration, or rehabilitation work.

Has the locality carried out a similar project within the last two years? Please explain and indicate whether or not the project was successfully completed.

Please provide documentation that the required published design review guidelines are in place within the locality.

FUNDING PRIORITIES FOR FY 2021-2022

1. HISTORIC RESOURCE COMMISSION TRAINING AND EDUCATION

Over the past two years VDHR, in partnership with Preservation Virginia, hosted a series of Certified Local Government Training Workshops and while we plan to keep scheduling these we recognize that a locality may wish to seek additional training, whether in the form of speakers, materials, conference attendance and VDHR recognizes the additional and sometimes specialized training needs of a local Historic Resources Commission and CLG grants can be used for such activities.

2. NATIONAL REGISTER NOMINATIONS

Properties that are a priority for listing are those that have been determined eligible through the preliminary information form process within the past five years and meet one or more of the following criteria:

- *Associated with Virginia's diverse ethnic and cultural history*
- *Associated with groups who are under-represented in the Registers*
- *Properties threatened by development pressures, neglect, severe weather, natural disasters, and/or effects of climate change and/or other serious threats.*
- *Locality-owned properties – newly identified, or updating older nominations (such as for county courthouses, city halls, parks, schools, armories, etc.)*
- *Historic Districts – newly identified, or updating older historic district surveys and nominations.*

Properties that were recommended eligible by DHR staff and/or the State Review Board more than five years ago but never listed, must be re-evaluated before proceeding to a nomination. To determine the status of a property, contact the appropriate regional DHR office.

3. CULTURAL RESOURCE SURVEYS THAT WILL

- *Provide broad-based survey coverage to areas that have never been adequately surveyed, or for which data is out of date (typically at least 10 years of age or older);*
- *Result in the nomination of historic districts to the Virginia Landmarks Register and the National Register of Historic Places or updates documentation of historic districts listed in the Virginia Landmarks Register and National Register of Historic Places that lack detailed inventories or that need significant amendment;*
- *Include an area or resource type that is under documented and/or relates to a historic context that is not well understood; and*

- *Identify and document resources associated with Virginia's culturally, diverse history such as places associated with the Reconstruction Era (1861-1898), the Civil Rights Movement, LGBTQ, African-American, Asian –American, Latino, Native American, and women's history.*

GENERAL GRANT CONDITIONS

OMB Circulars and Other Federal Regulations are incorporated by reference into this **Certified Local Government Grant Manual**, the **Certified Local Government Sub Grant Application** and subsequently into the awarded **CLG Grant Agreements**. Full text of Codes of Federal Regulations can be found at <https://www.ecfr.gov> and/or other websites. See 2CFR Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. For additional reference, the National Park Service’s Historic Preservation Fund (HPF) Grants Manual can be found at <https://www.nps.gov/preservation-grants/>

A. Project Schedule

All work on projects funded in this grant cycle must be completed between July 1, 2021 and August 31, 2022. Most projects should begin between July 1, 2021 and October 1, 2021. Costs incurred prior to the grant starting date or after the grant expenditure deadline will not be reimbursed.

Federal Funds are disbursed on a **reimbursement basis** after appropriate financial and progress documentation has been submitted to, and approved by the VDHR. All applicants are encouraged to contact Aubrey Von Lindern, CLG Coordinator or Sharon Erdt, Grants Manager at VDHR to discuss scheduling needs of their projects during the pre-application period.

Grant sub-recipients shall inform DHR’s CLG Coordinator of any significant problems, delays, or adverse conditions, actual or anticipated, **as soon as they become known** if they might materially affect the products or cause the project to fall behind schedule. This update should be highlighted on the next progress report. Any proposed changes to the grant agreement required because of delays must be submitted to DHR **in writing** and must be **approved in advance** by DHR to be considered valid.

In accordance with the HPF Manual's approval (Chapter 9, Section K.7) " **SHPO's may reprogram pass-through subgrant funds to the CLG's within the term of the appropriation and in accordance with NPS's Use or Lose Policy**".

“The ‘**Use or Lose**’ policy means that a grantee that does not ‘use’ its grant award funds in a timely fashion will ‘lose’ a portion of those funds as described in HPF Manual Chapter 3 K.1. The purpose of this adjustment action is to direct monies to those grantees most capable of making immediate productive use of available monies, and to demonstrate that funds appropriated by Congress for the HPF, in fact, are needed and being used promptly.”

B. Project Match

All project budgets must reflect a 30% applicant match. Applicants are encouraged to provide a match that exceeds the minimum requirement. Matching funds contributed to the project may be any combination of cash, in-kind contributions, and/or donated services or materials. Cash match is strongly encouraged.

Review board and committee contributions are allowable as match BUT contributions by these members can also be viewed as a Conflict of Interest (See Conflict of Interest Section in this manual.) Per the HPF

Manual's Chapter 14 on Matching Share: "Time spent by review or any other advisory board members which is directly related to the development, conduct, or administration of the grantee's HPF grant program is allowable as matching share contribution to the extent that **the contributed time is spent solely in the members' capacity as a board member...**" Time contributed in any other fashion could be perceived as an 'apparent conflict of interest'.

Additionally, Federal funds may not be used to match a CLG grant; however, see exception for the Community Development Block Grant in the NPS HPF Grants Manual Chapter 14 Section L-Use of Federal Funds. Non-federal funds used to meet cost sharing or matching requirements of any other Federal Award also may not be used to match a CLG grant; this is found in Chapter 14 Section M of the HPF Manual. Match must meet the same requirements as the federal share. See 2CFR200.306 Cost Sharing or Matching. Also see Chapter 14 – Matching Share of the NPS HPF Grants Manual in its entirety.

C. Budget Guidelines

Personnel

For local government staff participating in the grant project, list position by title or function. Show the amount of salary or wages for position and the period of time covered and include fringe benefit costs. **NOTE:** employment activities (i.e., employment, solicitation, hiring, wage and salary rates, etc.) must be in conformance with State and Federal guidelines.

Example: (1) Project Coordinator	
\$9.50 x 4 hrs. x 52 weeks	\$1,976
Fringe Benefits (16%)	316

Travel

Travel costs should include mileage or pool car charges, tolls, meals, lodging, and parking. Meals and lodging may be included only for employees of the applicant when the applicant has a policy for reimbursement of such expenses and when such expenses are necessary and reasonable to the grant. No rate of vehicle mileage reimbursement above the IRS's standard mileage will be accepted. The current IRS privately owned vehicle (POV) mileage reimbursement rate can be found at <http://www.gsa.gov>. Travel costs must be supported by information on a projected number of trips, the planned mode of travel, the purpose of the trip, etc.

Example: Purpose: Conference in Richmond
Mode: Personal car
Calculation: 75 miles x 2 x 0.58 cents = \$87

Contractual - List all contracts for professional and nonprofessional services. NOTE: Consultants cannot be pre-selected.

Example: Historian to write nomination - 10 months - \$12,000

Equipment

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one (1) year and an acquisition cost of more than \$5,000. However, please note the actual purchase of equipment is unallowable until specifically given prior approval by NPS as a direct cost. Property

management standards set forth in 2CFR200.310 through 2CFR200.316 apply.

Other - List any other direct, allowable costs necessary to complete the project.

Example: Copying (4,000 pages x 10 cents/page) \$400
Advertisements for consultant (2 @ \$250) \$500

Volunteers - Volunteer hours may constitute no more than 12.5% of the total project budget. Volunteer hours must be necessary and reasonable to the project and must be provided by qualified individuals who are supervised by professionals. Such donated hours must be documented with a timesheet that is signed by the volunteer and authorized by the Local Project Coordinator. Volunteer hours must be valued at minimum wage rate only. Volunteer hours may be valued above minimum wage **only** if those hours are clearly defined in the application with the suggested alternate rate and if adequate documentation is provided to support the higher rate. That higher rate may be claimed only if it is accepted by DHR.

Example: Field surveyor 200 hours x \$7.25 \$1,450

Indirect

Whether applied directly or by indirect cost rate, indirect costs will not be allowable charges against the award unless specifically included as a line item(s) in the approved budget incorporated into this subgrant agreement. A proposed Indirect Cost Rate (IDCR) must meet the requirements of 2CFR Part 200 including its Appendixes as applicable. If the subgrantee has never had a Federally-Approved, Negotiated Indirect Cost Rate Agreement it may request approval to charge a 10% de minimis rate as defined in 2 CFR 200.414 paragraph (f). If chosen, this methodology once elected must be used consistently for all Federal awards until the subgrantee chooses to negotiate for an approved federally recognized indirect cost rate with the Federal Government. A Federally Negotiated IDCR Agreement or De Minimis IDCR Certification must be submitted to DHR if a rate is applied to this subgrant; otherwise, indirect costs applied by a IDCR will be disallowed. If the subgrantee so chooses, it may voluntarily waive federal indirect cost recovery to allow a greater share of the HPF CLG Subaward funds to be used for direct program costs.

Determination of Allowable Costs – *See 2CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subpart E. Also see Chapter 12 - Cost Principles and Indirect Costs of the National Park Service’s HPF Grants Manual.*

D. Project Requirements

All CLG grants must produce a completed final product or measurable result. All projects must be carried out in accordance with the applicable Secretary of Interior Standards for Archaeology and Historic Preservation.

SELECTION PROCESS AND CRITERIA

Complete grant applications are reviewed and evaluated by a Grant Selection Committee according to the criteria outlined in **the Eligible Applicants and Eligible Projects Section** of this manual. Each of the Evaluation Criteria will be evaluated on a scale between 0-5. (0- Not Acceptable, 1-Poor, 2-Marginal, 3-Satisfactory, 4-Good, 5-Superior). Recommendations from the Grant Selection Committee are forwarded to VDHR's Director, State Historic Preservation Officer, for approval and signature.

EVALUATION CRITERIA

PROJECT NEED

How does the project support local and/or VDHR goals, or explains a specific threat that the project will address? Does the application adequately explain why this project is a priority?

PROJECT BENEFIT

Does the application clearly describe the project impact in the community? How will it promote Preservation ethic, activities and programs? What will be the long term benefits to community and what lasting impact will it have on historic resources?

PROJECT METHODOLOGY

Are the activities associated with this project adequately described? Is a manageable work schedule proposed? The project scope complies of the SOI's Standards for Historic Preservation. Is the budget realistic? Educating the public, working with the local commission, and/or plans to publicize the projects are included.

PROJECT MANAGEMENT

The applicant will be scored on how well they demonstrate their ability to manage the grant in a timely manner. Past performance in managing CLG grants will be considered.

PROJECT SUPPORT

Local support for the project has been expressed? Does the local government support the project?

BUDGET

Has the applicant demonstrated the anticipated costs to complete the proposed scope of work are reasonable? Has the applicant demonstrated they have the funding source for the required match? Is the match 30% or more?

FUNDING REQUIREMENTS

UNIQUE IDENTIFIER AND SYSTEM FOR AWARD MANAGEMENT

Pursuant to 2CFR Part 25, Universal Identifier (DUNS) and System for Award Management (www.SAM.gov), unless the applicant is exempt under 2CFR 25.110 no applicant may receive a subaward unless it has provided its unique entity identifier (DUNS) to the Federal Award Recipient that is passing thru the funds (in this case, VDHR). **A DUNS data field is provided in the CLG Sub Grant Application for this purpose.** Also, please note the applicant must be registered in SAM prior to submitting an application. In order to receive federal financial assistance it is required that the sub-recipient maintain their registration in SAM; failure to maintain registration may impact federal reimbursement requests.

MATCH

Virginia's CLG grants are awarded on a 70%/30% matching basis; this is referred to as the base Grant/Match Ratio. Meaning .The Certified Local Government is required to provide a minimum 30% match toward total project costs. The actual budgeted Grant/Match Ratio can differ from the base requirement provided the CLG match is at least 30%. The CLG's match can be made through any combination of cash, in-kind and donated services and materials. Refer back to General Grant Conditions in this CLG Grant Manual for more guidance on Match.

REIMBURSEMENT GUIDELINES

All grants awards are funded quarterly on a reimbursement basis only if reimbursement is requested when submitting quarterly progress reports. The grantee must both incur and pay project costs prior to requesting reimbursement from DHR.

Applicants will be required to provide DHR with documentation to support all expenditures, including the matching share, made as part of the grant. Approved financial documentation may include copies of purchase orders, paid invoices indicating approval for payment, cancelled checks or financial reports with check date, check number and amount paid also supplier statements indicating account paid in full can be used for documentation, etc. In short, financial documentation clearly indicates that generally accepted accounting principles plus state and federal procurement requirements were followed. Plus, as indicated above, the current quarterly progress report is to accompany each reimbursement request, along with the financial documentation, for review and approval prior to DHR processing payment. Note the Federal and Match Share funds are to be spent concurrently, meaning each time the grantee requests reimbursement from DHR the financial documentation submitted reflects both federal and matching share. The federal share of the CLG's Budgeted Grant/Match Ratio will be applied to the total actual documented project expenditures submitted that quarter to calculate the federal funds disbursed to the grantee. Quarterly reimbursement requests are encouraged and accepted, but note until the final product(s) are received and approved by DHR, no final grant reimbursement will be issued.

AVAILABILITY OF FUNDS

Disbursement of federal funds for reimbursement of approved CLG Sub Grant expenditures is subject to availability of the funds from the National Park Service and DHR's access to their federal drawdown system during the Period of Performance of the federal award between NPS and DHR. DHR will follow

Federal and NPS regulations in securing these funds. DHR shall have no liability to the CLG sub-recipient for any refusal by NPS to release such funds. Nothing herein shall be construed as obligating any funds of the Commonwealth of Virginia or as a pledge of commitment of the full faith and credit of the Commonwealth.

REPORTING SUB-AWARDS AND EXECUTIVE COMPENSATION

DHR must report all Sub-Award and executive compensation data pursuant to the Federal Funding Accountability and Transparency Act (FFATA) of 2006 and associated amendments (P.L. 109-282, as amended by section 6202(a) of P.L. 100-252 (see 31 U.S.C. 6101 note)).

For Executive Compensation Reporting, DHR must report the names and total compensation of each of the Sub-Recipient's five most highly compensated executives for the Sub-Recipient's preceding completed fiscal year, if certain requirements are met. The sub-recipient must report to DHR via the *DHR Sub-grant Application Financial Certifications and Questionnaire Form*; and such submission will be part of the CLG sub-grant agreement when awarded. (See also Risk Assessment below).

GRANT AWARD REQUIREMENTS

GRANT AGREEMENT

It is very important that you read and understand your CLG Grant Agreement, as it is the legal document defining what is expected of your project and your final product. You will receive your agreement upon notification that you have been awarded the grant. By signing the grant agreement you are agreeing to utilize the grant monies for purposes outlined in your grant application and those outlined in the Agreement.

Items in the Grant Agreement may include the following:

1. An approved project budget with line items specifying project expenses.
2. Anticipated Project Start Date, Anticipated Project End Date and the date final reports are due.
3. Any special conditions for the project.
4. Requirements for quarterly report submissions, billings and reimbursement.
5. This Certified Local Government Grant Manual and applicant's Certified Local Government Sub Grant Application by reference.

AMENDMENTS TO THE GRANT AGREEMENT

Without prior written approval you may not make changes to the scope of work as stipulated in the Agreement. If an issue arises that you think may require amendment please contact DHR's CLG Coordinator as soon as possible.

Additionally, DHR's Grants Manager or the DHR's CLG Coordinator should be notified as soon as possible if any grant monies will not be spent. Any unspent funds must be re-obligated to other projects or it will have to be returned to the National Park Service.

PROCUREMENT ACTIVITIES

The grantee is responsible for all **contractor and consultant** oversight. They will be required to meet the Secretary of Interior's Historic Preservation Professional Qualification Standards. (See Appendix E) Procurement of services and materials must be done through an open bid process.

Grantees shall maintain documentation on file to support all hiring and contracting procurements involving Federal and matching funds, including evidence that the services of the consultant are needed and cannot be met by current staff whose salaries are paid in part under the grant.

All financial and programmatic records, supporting documents, statistical records, and other grants-related records shall be maintained and available for access in accordance with 2CFR Part 200.333-200.337 and the Historic Preservation Fund Grants Manual.

ACKNOWLEDGMENT OF SUPPORT

An acknowledgment of NPS support must be made in connection with the publication of any printed, audio-visual, or electronic material based on, or developed under, any activity supported by HPF grant funds. The following statement must be included on the final product.

The activity that is subject of this {publication} has been financed in part with Federal funds from the National Park Service, U.S. Department of the Interior. However, the contents and opinions do not necessarily reflect the views or policies of the Department of Interior, nor does it mention of trade names or commercial products constitute endorsement or recommendation by the Department of the Interior.

MINORITY BUSINESS ENTERPRISE DEVELOPMENT - Pursuant to Executive Order 12432 it is national policy to award a fair share of contracts to small and minority firms. NPS is strongly committed to the objectives of this policy and encourages all recipients and sub-recipients of its Grant Agreements to take affirmative steps to ensure such fairness by ensuring procurement procedures are carried out in accordance with the Executive Order.

AUDIT REQUIREMENTS

Non-Federal entities that expend \$750,000 or more during a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and 2CFR Part 200, Subpart F – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Non-federal entities that expend less than \$750,000 for a fiscal year in Federal awards are exempt from Federal audit requirements for that year, but records must be available for review or audit by appropriate officials of NPS, DHR and the General Accounting Office (GAO).

The applicant must certify whether or not it is subject to the Single Audit requirement by completing the *DHR Sub-grant Application Financial Certifications and Questionnaire Form*; and such submission will be part of the CLG Sub-grant agreement when awarded. (See also Risk Assessment below).

NONDISCRIMINATION STATEMENT

All final products in the form of publications, whether in paper form or audio visual must include the following nondiscrimination statement:

This program receives Federal financial assistance for identification and protection of historic properties. Under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, as amended, the U.S. Department of the Interior prohibits discrimination on the basis of race, color, national origin, disability or age in its federally assisted programs. If you believe you have been discriminated against in any program, activity, or facility as described above, or if you desire further information, please write to: Office for Equal Opportunity, National Park Service, 1849 C Street NW, Washington, D.C. 20240.

CONFLICT OF INTEREST

VDHR must establish safeguards to prohibit its employees and grantees from using their positions for purposes that constitute or present the appearance of a personal or organizational conflict of interest. DHR is responsible for notifying NPS in writing of any actual or potential conflicts of interest that may arise during the life of this award. Conflicts of interest include any relationship or matter which might place DHR or its employees in a position of conflict, real or apparent, between their responsibilities under the agreement and any other outside interests. Conflicts may also include, but are not limited to, decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of DHR, its employees and grantees in the matter.

Per the HPF Manual an “apparent conflict of interest exists whenever circumstances are such that a person may appear to be in a position to benefit from the position he/she holds with respect to the HPF-

assisted program or may be unable to make impartial decisions or render impartial advice..... This applies to those person who participate in or influence the grant award decision-making process, gain information not available to the general public, or provide oversight or administration of any aspect of the HPF grant program whether or not such a conflict actually exists.” **In other words, for CLG subawards it could be an ‘apparent conflict of interest’ for board/review committee members to assist hands-on with the project and then provide oversight/review of the final product thereafter.** See Chapter 3 Section C – Conflict of Interest of the NPS HPF Grants Manual.

MINIMUM WAGES UNDER EXECUTIVE ORDER 13658

Sub-recipient shall ensure that new contracts, contract-like instruments, and solicitations include a clause which the contractor and any subcontractors shall incorporate into lower-tier subcontracts specifying, as a condition of payment, that the minimum wage to be paid to workers complies with rates established under Executive Order 13658 for sub awards subject to the Service Contract Labor Standards statute or the Wage Rate Requirements (Construction) statute.

BUY AMERICAN ACT

Sub-recipient warrants that the purchase of supplies, equipment, and construction materials for the Project with the Grant shall comply, to the greatest extent practicable, with the Buy American Act requirements of 43 CFR 12, Subpart E., unless DHR allows an exception specified in 43 CFR 12.710(d) and (e), and 43 CFR 12.715.

RISK ASSESSMENT

In accordance with 2 CFR 200.331 (b), DHR must evaluate each sub-recipient’s risk of non-compliance with Federal statutes, regulations, and the terms and conditions of the sub-grant for purposes of determining the appropriate level of sub-recipient monitoring and specific sub-grant conditions, if any, to be incorporated into this agreement at either original execution or by modification. To assist with the risk assessment process the sub-recipient must report to DHR via the *DHR Sub-grant Application Financial Certifications and Questionnaire Form*; and such submission will be part of the CLG sub-grant agreement when awarded.

INSURANCE RESPONSIBILITIES

Sub-recipient shall purchase, maintain and confirm to DHR that it has liability insurance or demonstrate present financial resources in an amount sufficient by the Government to cover claims brought by third parties for death, bodily injury, property damage, or other loss resulting from one or more identified activities carried out in connection with this grant agreement.

FINAL PRODUCT SUBMISSION

Upon publication, a minimum of one electronic copy and three hard copies must be submitted to VDHR. A copy of the publication will be submitted to the NPS electronically. The copies that remain at VDHR, one will be retained with the grant file and the other will be forwarded to VDHR’s Archivist.

Final Product Submissions are deliverables/publications that include, but are not limited to grant projects reports; books, pamphlets and magazines; event documentation including programs and photos, websites, exhibits, interpretive signs, etc. New NPS deliverables submission guidelines require an index for DHR's Product Submission. Please provide the following in a Word Document or email for each electronic deliverable submitted:

Sample Index for a Document

-Title: Intensive Survey of East Walters Street, Lafayette, Colorado
-Filename: SHPO_16_WI_CityofLafayette_IntensiveSurveyofEastWaltersStreet.pdf
-Creator: Clyde Banks(historian), William Laurence(historian), Laurence/Banks Architectonics(organizations).
- Date Completed: July 18, 2017
- Extent: 96 pages
- Description: Report on an intensive architectural survey of 31 properties along East Walters Street is divided into four sections: an introductory historic context; a chapter on methodology; a summary of the survey's findings; and an appendix of detailed information for each property found eligible for designation. The survey found that 65 were eligible for local designation, 14 eligible for state designation, and 12 eligible for national designation.

RIGHTS IN DATA

The grantee must grant the United States of American a royalty-free, non-exclusive and irrevocable license to publish, reproduce and use, and dispose of in any manner and for any purpose without limitation, and to authorize or ratify publication, reproduction or use by others, of all copyrightable material first produced or composed under this Agreement by the grantee, its employees or any individual or concern specifically employed or assigned to originate and prepare such material.

APPENDIX

Appendix A: National Register of Historic Places Process and Requirements

What Are the National Register Criteria?

The National Register's standards for evaluating the significance of properties were developed to recognize the accomplishments of all peoples who have made a significant contribution to our country's history and heritage. The criteria are designed to guide State and local governments, Federal agencies, and others in evaluating potential entries in the National Register.

Criteria for Evaluation

The quality of significance in American history, architecture, archeology, engineering, and culture is present in districts, sites, buildings, structures, and objects that possess integrity of location, design, setting, materials, workmanship, feeling, and association, and:

- A.** That are associated with events that have made a significant contribution to the broad patterns of our history; or
- B.** That are associated with the lives of persons significant in our past; or
- C.** That embody the distinctive characteristics of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic values, or that represent a significant and distinguishable entity whose components may lack individual distinction; or
- D.** That have yielded or may be likely to yield, information important in prehistory or history.

Criteria Considerations

Ordinarily cemeteries, birthplaces, graves of historical figures, properties owned by religious institutions or used for religious purposes, structures that have been moved from their original locations, reconstructed historic buildings, properties primarily commemorative in nature, and properties that have achieved significance within the past 50 years shall not be considered eligible for the National Register. However, such properties will qualify if they are integral parts of districts that do meet the criteria or if they fall within the following categories:

- a.** A religious property deriving primary significance from architectural or artistic distinction or historical importance; or
- b.** A building or structure removed from its original location but which is primarily significant for architectural value, or which is the surviving structure most importantly associated with a historic person or event; or
- c.** A birthplace or grave of a historical figure of outstanding importance if there is no appropriate site or building directly associated with his or her productive life; or
- d.** A cemetery which derives its primary importance from graves of persons of transcendent importance, from age, from distinctive design features, or from association with historic events; or

- e. A reconstructed building when accurately executed in a suitable environment and presented in a dignified manner as part of a restoration master plan, and when no other building or structure with the same association has survived; or
- f. A property primarily commemorative in intent if design, age, tradition, or symbolic value has invested it with its own exceptional significance; or
- g. A property achieving significance within the past 50 years if it is of exceptional importance.

How Old Does a Property Have to Be?

Generally, properties eligible for listing in the National Register are at least 50 years old. Properties less than 50 years of age must be exceptionally important to be considered eligible for listing.

What is the Process for Listing a Property on the National Register?

Properties are nominated to the National Register by the State Historic Preservation Officer (SHPO) of the state in which the property is located, by the Federal Preservation Officer (FPO) for properties under federal ownership or control, or by the Tribal Preservation Officer (TPO) if the property is on tribal lands. These nomination forms are then submitted to a State Review Board, composed of professionals in the fields of American history, architectural history, architecture, prehistoric and historic archeology, and other related disciplines. The State Review Board makes a recommendation to the SHPO either to approve the nomination if, in the board's opinion, it meets the National Register criteria, or to disapprove the nomination if it does not.

During the time the proposed nomination is reviewed by the SHPO, property owners, adjacent property owners, and local officials are notified of the intent to nominate. Local officials and property owners are given the opportunity to comment on the nomination and owners of private property are given an opportunity to object to or concur with the nomination. If the owner of a private property, or the majority (50% plus 1) of private property owners for a property or district with multiple owners, objects to the nomination, the SHPO may forward the nomination to the National Park Service for a determination of eligibility. Without formally listing the property in the National Register, the National Park Service then determines whether the property is eligible for listing. If the property is eligible, the Advisory Council on Historic Preservation must be afforded the opportunity to comment on any federal project that may affect it.

If the review board and the SHPO agree on the eligibility of the property (and the owner has not objected to the nomination), then the nomination is forwarded to the National Park Service to be considered for listing.

How Long Does the Process Take?

The process varies depending on workload, planning, and registration priorities, and the schedule of Virginia's State Review Board. The process takes a minimum of 120 days to fulfill all of the review and notification requirements provided that a complete and fully documented nomination form has been completed for the property. Upon submission to the National Park Service it may take up to 45 day or longer for them to complete their review.

Appendix D: Historic Structure and Historic Landscape Report Format

Certified Local Governments can request funds to prepare a Historic Structure Report* to guide future phases of rehabilitation work at publicly owned properties that are listed in the National Register of Historic Places. The following is the format recommended by the National Park Service for a Historic Structure Report (or a Historic Landscape Report). Sub-Recipients of CLG funds to prepare a Historic Structure Report should use this format to present their findings.

Table of Contents

Foreword or Introduction

- Purpose of the Report
- Preservation Objectives (proposed preservation treatment)

History of the Property

- Significance of the property's structure - or landscape and setting (historic events, persons associated, ownership history, etc.)
- The appearance, occupation, and use of the property and its setting from original construction to the present time (including a chronology)
- Historical documentation (letters, builder records, photographs, etc.)

Architectural Description and Assessment

- A description and record of the existing condition (narrative and illustrations)
- Identification of the important structural (or landscape) features and distinctive qualities of the property
- Assessment of archaeological resources
- An evaluation of the impact of the proposed use of the property
- Identification and analysis of the significant factors affecting the preservation of the property
- Recommended steps for preservation treatment, the basis for such recommendations, and, where applicable, preliminary design drawings
- Steps to minimize the potential impact of the proposed work on the property's historic character

Supplemental Material (when appropriate)

- Estimates of the cost to carry out the recommendations
- Cyclical maintenance plans
- Recommendations for further study
- Materials analysis (e. g., paint, mortar, plaster, or other significant historical materials)
- Bibliography

* A Historic Structure Report is *required* when a grant-assisted rehabilitation, restoration, or reconstruction project involves fabrication of significant missing architectural features, recapturing the appearance of a property at one particular period of its history, or removing later additions. The completion of such a report is required prior to use of CLG grant funds to accomplish the aforementioned kinds of development work.

Appendix C: Model Community Preservation Plan

Identification of Local Historic Resources

Preliminary area analysis

Outline of local developmental history

Statement of unique or distinctive aspects of local prehistory, history, and historic resources

Field survey of historic resources (optional)

Evaluation of Current Trends and Influences on Historic Resources

Analysis of population, economic conditions, land use, housing, transportation, and other changes in the community

Analysis of opportunities for preservation

Analysis of threats to preserving local historic resources

Community Consensus on Goals and Priorities for Preservation of Historic Resources

Identification of Tools, Strategies, and Action Needed to Achieve Community Goals

Field survey of historic properties, if needed

Evaluation and designation

Legal and regulatory protection

Financial incentives

Public awareness

Community development, downtown, or neighborhood revitalization programs

Other tools

Action Plan and Implementation

These five steps outline the process any community should follow in developing a comprehensive historic preservation plan. The process incorporates the three federal standards for preservation planning.

Appendix D: Professional Qualifications (36 CFR 51)

Professional Qualifications Standards

The following requirements are those used by the National Park Service, and have been previously published in the Code of Federal Regulations, 36 CFR Part 61. The qualifications define minimum education and experience required to perform identification, evaluation, registration, and treatment activities. In some cases, additional areas or levels of expertise may be needed, depending on the complexity of the task and the nature of the historic properties involved. 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.

History. The minimum professional qualifications in history are a graduate degree in history or closely related field; or a bachelor's degree in history or 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, historic organization or agency, museum, or other professional institution; or
2. Substantial contribution through research and publication to the body of scholarly knowledge in the field of history.

Archeology. The minimum professional qualifications in archeology are a graduate degree in archeology, anthropology, or closely related field plus:

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

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

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 coursework in American architectural history, or a bachelor's degree in architectural history, art history, historic preservation or 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 through research and publication to the body of scholarly knowledge in the field of American architectural history.

Architecture. The minimum professional qualifications in architecture are a professional degree in architecture plus at least two years of full-time experience in architecture; or a state license to practice architecture.

Historic Architecture. The minimum professional qualifications in historic 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 closely related field; or
2. At least one year of full-time professional experience on historic preservation projects. Such graduate study or experience shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

Appendix H: Sample Quarterly Progress Report

CERTIFIED LOCAL GOVERNMENT GRANT PROGRESS REPORT

CLG:

REPORT PERIOD:

PROJECT TITLE:

Reports are due: 10/15/20, 1/15/21, 4/15/21, 7/15/21

FINAL PRODUCT DUE: 8/31/2021

GRANT ENDING DATE: 8/31/2021

1. Describe the progress made on the project during this period.

2. Compare actual vs. projected progress as shown on approved project time schedule. Please explain any differences between actual and projected progress.

3. Compare actual vs. projected expenditures as shown on approved project time schedule. Please explain any differences between actual and project expenditures.

CERTIFIED LOCAL GOVERNMENT GRANT PROGRESS REPORT

4. Final product results for National Park Service submission and reporting. (Final Progress Report Only)

5. Additional Comments:

PROJECT MANAGER'S SIGNATURE:

DATE:

Appendix I: Sample Reimbursement Form

HISTORIC PRESERVATION FUND GRANT - CERTIFIED LOCAL GOVERNMENT PROJECT INVOICE FORM

TO: Aubrey Von Lindern Northern Regional Preservation Office Department of Historic Resources P.O. Box 519, Stephens City, VA 22655 Telephone: 540-868-7029	FROM: Name Address City State Zip Telephone Email
CLG PROJECT NAME:	PROJECT NUMBER:
REPORTING PERIOD: From: _____ To: _____	INVOICE #:

DOCUMENTED EXPENSES FOR APPROVED PROJECT - FEDERAL AND NONFEDERAL MATCH:	TOTAL THIS SUBMITTAL	SUBMITTED PREVIOUSLY	TOTAL PROJECT TO-DATE
Personnel	\$ -	\$ -	\$ -
Travel	\$ -	\$ -	\$ -
Contracts	\$ -	\$ -	\$ -
Other	\$ -	\$ -	\$ -
Other	\$ -	\$ -	\$ -
ACTUAL PROJECT TOTALS 100.000%	\$ -	\$ -	\$ -
PROJECT NONFEDERAL MATCH 100.000%	\$ -	\$ -	\$ -
PROJECT FEDERAL SHARE % 0.000%	\$ -	\$ -	\$ -
CLG SUBGRANT TOTAL (MAX FEDERAL FUNDED)			\$ -
SUBGRANT FUNDS REMAINING			\$ -

I certify that the costs detailed on this invoice have been paid by Subgrantee above; that these costs were for work that was approved for funding under the Historic Preservation Grant Program; that the work was carried out within the approved term of the Federal Grant.

I request payment of \$ - from the total of the expenses documented in this invoice in accordance with the terms of the Grant Agreement.

Name and Title

Date

DHR CLG Program Approval

Date

END OF DOCUMENT

