



## **FFY 2012 Certified Local Government Grant APPLICATION INSTRUCTIONS**

### **Section I. APPLICANT**

Identify the CLG community by name and the county in which it is located.

Provide the names and addresses of the CLG chief administrative officer, chair of your local commission or design review board, CLG program contact, and project coordinator [if different from the CLG program contact]. The project coordinator is responsible for oversight of the project. The signatures of each of these people are required for the application to be considered complete. Applications without all required signatures will be deemed incomplete and will not be considered.

### **Section II. LOCAL GOVERNMENT INFORMATION**

- A. Provide the names and district numbers of your Ohio Senate, Ohio House, and U.S. Congressional representatives.
- B. Indicate whether your community requires (1) council approval to apply for and accept federal funds, (2) council approval to accept federal funds, or (3) no council action required. If an ordinance is required prior to applying for funds, enclose a copy of council approval with application.
- C. If the CLG community is requesting a designated third party to administer the grant, identify the organization and its authorized representative. Signature of the authorized representative is required in Section II. C of the application. Note: if the application is funded, the grant agreement will be between the Ohio Historical Society and the designated third party administrator; however, the CLG community as the applicant must still comply with this section.
- D. Financial Administration
  1. Identify the person who will be responsible for the financial administration of this grant. This includes submitting the federal fiscal year and project completion reports. If a third party is administering the grant, financial administration will be the responsibility of the third party.
  2. Provide grant administrator's federal tax identification number and DUNS number.
  3. Complete and sign the Financial Management Certification.
  4. Audit-related requirements are dependent upon the overall level of federal funding received each year by the grant applicant. The appropriate audit material must be submitted with the application in order for the application to be considered complete and eligible for funding consideration.
    - If a community receives more than \$500,000 in federal funds per fiscal year, it is subject to single audit reporting requirements, and filing the SF-SAC electronic audit report. Enclose a copy of the community's most recent audit report and SF-SAC form with the application and provide the year of the most recent audit.

- If the CLG community does not meet the \$500,000 annual federal dollar threshold, enclose a statement from the community auditor to this effect and provide a copy of the most recent state or private audit report.
- If the grant is to be administered by a designated third party, that organization must submit their most recent audit report from an independent auditor or a *compilation statement*, which is an independent examination of the organization’s financial statements. If the entity has not been audited or does not have a compilation statement, it is not eligible to serve as the third party administrator of the CLG grant.

**Section III. PROJECT SUMMARY**

- A. Summarize project costs, broken down into the amount of CLG funds being requested, the amount of local match to be provided and total project cost. [These figures should match the totals in Section VI. Budget.] The CLG grant cannot exceed 60% of eligible project costs.
- B. Check the appropriate project category indicating the type of project proposed in your application.
- C. In the Project Abstract, briefly summarize the purpose and results or products that are anticipated from the project. [Be clear and concise.]

**Section IV. PROJECT DESCRIPTION**

Use this section to explain what will be done, why, how, when, and by whom . Organize this section in the following manner:

- Introduction -- Provide a brief explanation of the community’s overall historic preservation goals and objectives.
- Statement of Need -- Identify the problem or need that will be addressed by the proposed project. Describe how the project is linked to the community’s overall historic preservation goals and objectives and/or other current historic preservation programs underway.
- Project Components -- Describe the activities necessary to carry out the project. State what will take place, who will do the work, what outcomes or products will result, how the public will be involved, and the expected benefit or effect of the proposed project. For all projects, there must be involvement by individuals meeting professional qualification standards as published in the Secretary of the Interior’s Standards and Guidelines for Archaeology and Historic Preservation (48 FR 44716). In the case of rehabilitation or restoration work to historic properties, qualified personnel, as described above, must be on-site during project work. The application should describe the personnel who meet applicable professional standards or state that such individuals will be hired for the project.
- Project Type-- CLG grants may fund projects in the following seven program areas. Each requires specific information be provided in the application in Section IV. Refer to the appropriate program area for your project and address all items in the project description.

**SURVEY:** *Survey projects are undertaken to identify and record information about properties and sites and must result in the completion of Ohio Historic Inventory (OHI) or Ohio Archaeological Inventory (OAI) forms and a survey report. All survey activities must meet the Secretary of the Interior's Standards for Identification and Evaluation and OHPO reporting requirements and be conducted by individuals meeting appropriate professional qualification standards. All inventory forms are to be completed using the Ohio Historic Preservation Office (OHPO) Internet based I-Form application.*

Include in your project description: the type of survey to be conducted [reconnaissance or intensive level], the geographic area or specific theme targeted by the survey, approximate number of historic properties in the survey area, a map of the area showing the proposed survey area boundaries, a written explanation for boundaries chosen, estimated acreage in area to be surveyed, and the goals of the survey project. Indicate both the number of new and updated inventory forms anticipated.

Include in your project schedule: the submission dates for the research method report (survey methodology); 25% of survey forms completed; 75% of completed forms; 100% of survey forms; draft survey report; all completed forms, final report and electronic submission of data. Survey reports are to be submitted as word documents. Check with OHPO for schedule requirements for archaeology surveys before preparing a project schedule.

Minimum required system configuration needed for completing the OHPO Internet based I-Form version of the OHI and OAI forms is:

- Ghz or better processor
- Personal computer running a Microsoft Windows operating system such as: Windows SP & Windows 7
- 2 BG RAM
- 32-bit color display at 1024 x 768 resolution
- Broadband DSL or Cable Internet access

When planning an archaeological survey, note that archaeological collections and accompanying data and records must be curated in a repository meeting contemporary professional Standards, except where regulations for the Native American Graves Protection and Repatriation Act apply. Address how this requirement will be met. The costs of ongoing curation are not allowable for CLG grant assistance.

**REGISTRATION:** *Registration projects involve documentation and evaluation of historic or prehistoric resources for listing in the National Register of Historic Places or local registers. All activities must meet the Secretary of Interior's Standards for Evaluation and Registration.*

NOTE: Registration projects for National Register nominations are required to submit a completed "Registration Questionnaire" to OHPO by **February 9, 2012**, three weeks prior to the application deadline, for potential National Register review. Include a copy of the OHPO National Register questionnaire response letter with your application. A local designation project does not require the questionnaire to be completed. If local designation is sought, enclose with the grant application a copy of the local designation criteria and explain which criteria the nomination meets.

Include in your project description: type of nomination [individual, district, thematic, or multiple resource], type of registration [National Register or local designation]; estimated number of contributing properties if nominating a district; state whether property(ies) has(have) been identified in a survey, and if so, identify name of survey and location of survey report.

Include in your project schedule: the submission dates for two drafts of the nomination and the final nomination following the required OHPO review periods, OHSPAB meeting dates and time for any

modifications of the nomination required by OHSPAB. The first Ohio Historic Site Preservation Advisory Board meeting scheduled for which a registration project funded with FFY 2012 CLG funds can be presented is the spring, 2013. [When scheduled, exact date will be available on the OHPO web site.] To be on this agenda the first draft must be submitted by September 1, 2012, any revisions requested by OHPO through review, submitted by January 3, 2013 and CLG notification by March 1st. There will be two meetings within the grant period in calendar 2013. Similar schedule for draft submissions are applicable. When the 2012-2013 dates are set, they will be available on the OHPO web site at [www.ohiohistory.org/resource/histpres/toolbox/nr/nr-05.html](http://www.ohiohistory.org/resource/histpres/toolbox/nr/nr-05.html).

**PLANNING:** *Planning projects include developing or updating a community's historic preservation plan, updating a local preservation ordinance, development of a cultural resource management plan at a regional or local level, development of historic contexts to guide future survey and evaluation projects, and advanced mapping and analysis technology such as Geographic Information Systems (GIS). All planning activities must meet the Secretary of the Interior's Standards for Preservation Planning.*

Include in your project description: objective of the planning document, anticipated benefits of the project, state whether this is new or update to an existing document, explanation of how the community will be involved with and participate in the development of the product, description of the format and number of copies of the final product and description of the planned distribution of the product.

Include in your project schedule: the submission dates for the research design or outline, first draft, and final draft with layout and all graphics completed. The historic preservation plan or plan element is to include:

- Public participation in the form of at least two public forums. One to explain project/receive comments, and the second to review results of draft plan/gather additional input. [Documentation for this includes press releases and public notices, as well as information in the minutes of the local board/commission.]
- Historic context for the community
- Map/list of current individual landmarks and historic districts, both on the National Register of Historic Places and those locally designated
- Assessment of current local preservation legislation and policy
- Historic preservation goals for the period covered by the plan
- Action statements/implementation/mechanisms to achieve stated historic preservation goals and strategies
- Integration/interaction with other plan elements [where appropriate]

**PRE-DEVELOPMENT:** *Pre-development projects involve historical, architectural, or archaeological research necessary to document the significance, condition and features of National Register-listed or – eligible properties. Pre-development also includes preparation of a feasibility study, structural assessment, a historic structure report, and/or architectural drawings and specifications for development work. Pre-development projects must meet the Secretary of Interior's Standards for Rehabilitation..*

Include in your project description: identify the property by historic name and address; owner's name and address; state whether the property is open to the public, describe the current and intended status and use, provide National Register listing date or OHPO eligibility determination, state if the property is locally designated, identify how this project contributes effectively to the long term preservation of the historic property, and state how the Americans with Disabilities Act standards have been or will be met. Provide two sets of 4 x 6 photographs [glossy prints] and 1 CD of photos, showing all exterior elevations and interior views of the property, as applicable, as well as close-up views of

problem areas. Prints are to be labeled with property name and address, county, description of view and name of photographer.

Include in your project schedule: submission dates for two drafts of products with all associated graphics.

**DEVELOPMENT:** *Development projects consist of construction-related activities to rehabilitate and restore National Register-listed properties. All work to the property carried out during the grant period, whether paid by the CLG grant, matching funds, or by other sources, must be reviewed by the OHPO and meet the Secretary of Interior's Standards for Rehabilitation. A project sign acknowledging National Park Service and Ohio Historical Society/Ohio Historic Preservation Office funding assistance must be in place throughout project work. A preservation agreement or covenant, depending on the cumulative amount of the grant, must be executed prior to the release of grant funds.*

Include in your application: a statement as to how this project contributes to the long term preservation of the property, identification of property by historic name; name and address of the current owner of property; National Register listing date; state whether the property is locally designated, provide a signed Acquisition/ Development certification form [request from grants manager], statement as to whether the property meets Americans with Disabilities Act standards for accessibility or how the project will provide or enhance accessibility, current status and use of property and intended use, statement as to whether property is currently open to the public or will be as a result of the proposed project, a contractor's cost estimate for the proposed work, a flood plain assurance certification or proof of flood insurance, and two sets of 4 x 6 photographs [glossy prints]and 1 CD, showing all exterior elevations of the property and interior views applicable to the proposed project. Prints are to be labeled with property name and address, county, description of view and name of photographer.

Include in your schedule: submission dates for draft architectural drawings and specifications for OHPO review and approval prior to issuance of bid request, photo documentation of work in progress submitted at regular intervals (including project sign in place), and photo documentation of completed work.

**ACQUISITION:** *Acquisition projects involve acquiring full fee-simple or less-than-fee simple interest (e.g., easement) in a National Register-listed property. Mortgage installments or an option to purchase are not eligible. CLG grant assistance may only be used to acquire a property that is threatened with demolition, impairment, or other such controllable damage from natural or human sources such as erosion, vandalism, or relic collecting and where grant assistance is essential to ensure the preservation of the property for at least the term of the covenant or preservation agreement. The project must be executed in accordance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended by Title IV of the Surface Transportation and Uniform Relocation Assistance Act of 1987 (42 U.S.C. 4601 et. sec). Appraisals required.*

Include in your application: identification of property by historic name; name and address of the current owner of property; National Register listing date; state whether the property is locally designated; explanation of whether the property is open to the public now or will be as the result of the proposed project; identification of the current status and use as well as intended use of the property; statement of the current market value of property and the basis for estimating this value; statement as to whether the property meets Americans with Disabilities Act standards for accessibility and if not, and how the proposed project will provide or enhance this; identification of nature of threat to the property; identification of how project contributes effectively to long term preservation of the property, a signed Acquisition/Development certification form [available from OHPO], explanation

of the nature of the threat to the property; statement as to how the project contributes to the long term preservation of the property, and two sets of 4 x 6 labeled glossy prints and 1 CD of the property. Prints are to be labeled with property name and address, county, description of view and name of photographer.

Include in your project schedule: submission dates for an appraisal that must be performed not more than six months prior to the acquisition. Contact CLG grants manager for other administrative requirements specific to Acquisition projects.

**EDUCATION (AND OTHER):** *These projects instruct and train public and community officials about historic preservation programs and treatment techniques; provide outreach for historic preservation topics or issues, or involve activities that are eligible for Historic Preservation Fund assistance but do not readily fall within one of the other program areas or involves multiple program areas. All work must meet the Secretary of Interior's Standards for Historic Preservation Projects, as applicable.*

Include in your application: identification of a targeted audience for the project; explanation of how the project meets the needs of the widest possible audience; a description of the product or outcome's lasting value; a description of alternatives considered in choosing proposed method and why this approach is appropriate and cost effective.

Include in your schedule for printed or website material: submission dates for an outline, two full drafts with associated graphics, and final document or product.

Contact the OHPO grants manager for what to include in the schedule with regard to draft materials for projects that may involve workshops, training, or other non-printed products. All written/audio/visual products must carry the NPS/OHS/OHPO funding acknowledgement, both in visual and text formats.

## **Section V. SCHEDULE FOR PROJECT COMPLETION**

The project period is May 1, 2012 – September 30, 2013.

List each project activity or task and its associated completion date. Include dates for OHPO review of Requests for Proposals prior to issuance and subcontracts prior to execution. Refer to the "Include in your Schedule" paragraph in the guidance for the specific project type.

Please allow sufficient time for the CLG project coordinator to review draft materials submitted by consultants/contractors prior to sending to OHPO. The CLG community's review comments should be submitted to OHPO along with the draft products. The schedule should allow 2-3 weeks for reviews at OHPO.

For projects that extend beyond September 30, 2012, include in the schedule submission of a federal fiscal year report by November 1, 2012 that will list all expenses incurred and tasks accomplished during federal fiscal year 2012.

## **Section VI. PROJECT BUDGET**

Estimate costs by identifying personnel and the tasks they will perform and other costs associated with producing the products your project will generate. Budget estimates should be realistic and based upon

fair and open competition among suppliers of materials and services. OHPO strongly recommends that applicants obtain estimates of major cost items to use as a basis for preparing budgets and include such estimates as attachments to the application.

The hourly rate and associated benefit rate of CLG staff contributing time to the project should be identified for each person and listed under Personnel--In-kind. Personnel--cash is the category for any consultant or contractor that will be hired for the project. Personnel—volunteer is for the valuation of unpaid time contributed to the project. See information on valuing volunteer time under Section VII, Matching Share.

Any mileage expense can be included in the project budget at a maximum of \$0.40 per mile. All project costs must directly relate to the accomplishment of the project.

The following costs are ineligible:

- ◆ Any cost related to fundraising or membership solicitation
- ◆ Archival research
- ◆ Food and beverage expenses [other than a per diem related to travel or conference attendance]
- ◆ Honoraria when primary intent is to confer distinction
- ◆ Lobbying
- ◆ Mitigation expenses under Section 106 of the National Historic Preservation Act

A construction budget is required for development projects that itemizes construction costs separately from administration costs. Use the applicable expense categories for construction listed in Section VI. Include a copy of a contractor's estimate.

Procurement – The hiring of any contractor/consultant as part of the CLG project must be done in an open, competitive manner. The Requests for Proposal must be reviewed and approved by OHPO prior to issuance to insure that the scope of work meets the Secretary of the Interior's Guidelines for Archaeology and Historic Preservation. Federal regulations prohibit the hiring of any contractor/consultant for a project who were involved in drafting the RFP.

## **VII. MATCHING SHARE**

Matching funds are the CLG's contributing share of the project cost. The CLG grant **for federal fiscal year 2012 is a 60:40 ratio**. That is, up to 60% of the total project costs can be funded by the CLG grant and 40% local match is required. Identify the source of funds and donations that will be used as the matching share. Indicate the donor, source, kind, amount, and status for each source of match.

Cash contributions refer to the actual funds committed to the project by the applicant or third parties. These funds can be state or local, grants, or fund-raising proceeds from private organizations, foundations, or individuals. Federal funds cannot be used as matching share with the exception of Community Development Block Grant (CDBG) funds.

Donated services and materials are allowable matching share when they directly benefit the objectives of the project and are specifically identifiable. Donated services or equipment usage must be documented. Contact the OHPO grants manager for assistance in determining the value of donated services, materials or equipment use.

Personnel expenses of time spent by the grant administrator's employees are considered personnel—in-kind. When an employer other than the grantee furnishes the services of an employee, these services can be valued at the employee's regular rate of pay (exclusive of fringe).

Volunteer services may be counted as matching share if they are an integral and necessary part of the approved work. If a volunteer performs services in his/her area of expertise, the value allowed must be set using a formula established by the National Park Service and must be pre-approved by OHPO. Contact the OHPO grants manager to establish allowable rates. If a volunteer performs services outside his profession or trade, this volunteer time must be valued at the Federal minimum wage rate (\$7.25). Volunteer time must be treated as matching share only.

The following are not allowable as matching share:

- Any cash or in-kind contribution used to match another federal grant
- Volunteer work performed by grant recipient staff within the scope of their normal responsibilities of the position in excess of their paid working hours
- Employees of consultants may not donate services or accept less than their regular rate of donation.
- Federally guaranteed loans
- Time of students in a federally-funded work/study or Federal student loan program
- Prison labor

Project Income: If income is anticipated from the project during the project period, identify the source of funds, estimated amount of income, and how it will be utilized during the project period. Income must be used to reduce overall project costs, to meet the matching share requirements, or for another purpose allowable under Historic Preservation Fund grants. Contact the OHPO grants manager if project income is anticipated.

## **GENERAL CONDITIONS FOR CLG GRANTS**

Application -- **Only complete applications will be reviewed.** Refer to the application checklist to insure all required materials are submitted as part of the application.

Minimum Grant Award -- There is a **\$5,000 minimum** on the level of CLG funding per project, with the exception of training sessions and conference attendance for CLG program staff and commission members. Ohio Historical Society travel reimbursement policy is applicable, contact the grants manager for budget figures.

Although there is no maximum funding level established, any grant in excess of \$25,000 requires National Park Service approval prior to initiation and approval of any revisions in scope, schedule, or budget during the administration of the project. CLG grants usually average between \$7,000 and \$18,000.

Be mindful that there is limited funding and although there is no formally established geographic quota, federal regulations prohibit the award of the entire CLG annual appropriation to one project. Multiple applications may be submitted from one CLG, but the CLG may be asked to prioritize their project submissions.

Reimbursement Grant – The CLG grant is a **reimbursement grant**, meaning that the grant funds are paid at the end of the project after all costs have been incurred. After a CLG has been awarded a grant, the CLG completes the grant project, submits the project completion report with an invoice and associated



financial documentation on paid project expenses, and then OHPO reimburses the CLG for the grant portion of the paid expenses, 60% of allowable expenses up to the grant award amount. This means that the local government, or third party administrator as identified in the project application, may have to carry the cost of the project for the period of time between when it pays the expense and the time it is reimbursed by the Ohio Historical Society. Under very limited circumstances, OHPO may agree to a partial grant payment prior to completion or payment based on costs incurred.

Prior to the release of grant funds for a development grant, the owner of the property must execute a preservation agreement (or covenant) for a specific period of time, dependent upon the cumulative dollar amount of CLG grants to the property.

**Application Assistance** -- **OHPO encourages applicants to call with any questions about the CLG grant process or eligible project activities, and to send in a draft application** prior to the submission deadline for administrative and program staff to review. OHPO comments and suggestions will be provided. Contact Judy Krasniewski, grants manager at (614) 298-2000 or [jkrasniewski@ohiohistory.org](mailto:jkrasniewski@ohiohistory.org) with any questions or draft review requests.