

California Historic Preservation Conference/Workshop
2002 Grant Application Manual

Grant Application Deadline: 16 August

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INTRODUCTION

Available Funding

The Office of Historic Preservation (OHP) plans to allocate approximately \$25,000 in Historic Preservation Fund (HPF) moneys for statewide or regional workshops and conferences that promote historic preservation. Grants will be available for projects ranging in costs from \$500 - \$7,500. The grant period is for projects scheduled between October 1, 2002 and September 30, 2003.

Who May Apply?

The following entities are eligible to apply for a federal Heritage Fund Grant:

- Certified Local Governments (This sub-grant program is separate from the CLG grant program)
- Accredited colleges and universities
- Federally recognized California Indian Tribes
- Any non-profit organization existing under Section 501 (c) (3) of the United States Internal Revenue Code that has among its principal charitable purposes the promotion of historic preservation.

Response Deadline

Applications will be accepted at:

Office of Historic Preservation
Local Government Unit
ATTN: Dennis Weber
1416 9th Street, Room 1442-7
Sacramento CA 95814

Or by mail at:

P.O. Box 942896
Sacramento CA 94296-0001

No later than:

**Close of business (5:00 p.m.)
Friday, August 16, 2002**

PLEASE NOTE: The OHP will not accept facsimile (FAX) or electronic mail applications. Submittals must be **received** by close of business. **Postmarks are not acceptable.**

Successful Applicant Responsibilities

Successful applicants will be selected according to the grant selection criteria and selection review process, and will be expected to adhere to the terms and conditions of the grant contract, including regular billing as specified

and the timely submission of documentation. Failure to adhere to these conditions can jeopardize future federal funding to the OHP for HPF sub-grants.

STAFF CONTACTS

We will be happy to discuss your grant proposals. The following staff names, area of expertise, and their telephone numbers and email addresses are provided for your convenience:

General Administration/Budget	Dennis Weber	(916) 653-5789 dwebe@ohp.parks.ca.gov
Certified Local Government related proposals	Lucinda Woodward	(916) 653-9116 lwood@ohp.parks.ca.gov
Tax incentive related proposals	Tim Brandt	(916) 653-9028 tbran@ohp.parks.ca.gov

WHAT WILL BE FUNDED?

The Office of Historic Preservation values statewide and regional conferences and workshops where preservation professionals, affected government agencies and the public can gather to discuss preservation issues, share knowledge and network to advance the cause of historic and cultural preservation in California.

The activities to be funded must advance the goals and objectives of the California Comprehensive Statewide Historic Preservation Plan including to:

- Promote educational programs and materials to increase the general public's awareness, understanding, and support for historic preservation.
- Promote the preservation and the stewardship of cultural resources among a diversified state population representing all levels of the socioeconomic spectrum.
- Educate Californians on the benefits of preserving the state's unique and diverse cultural heritage, including an understanding of the people associated with that heritage.
- Encourage local communities and organizations to support the preservation of historic resources, including those reflecting their ethnic heritage and culture.
- Promote the incorporation of preservation theory and training in urban planning programs.
- Promote the development of partnerships with key players and organizations affecting public opinion and the planning process.
- Promote existing preservation incentives of historic resources and develop new incentives.
- Identify and support opportunities for historic preservation projects, which promote job development, stabilize established neighborhoods and business districts, and encourage

economic growth and investment in local communities.

- Promote private sector reinvestment through the tax certification program and other incentive programs.
- Develop and promote financial incentives that encourage preservation and rehabilitation.
- Establish alliances with other preservation/environmental organizations and local governments to provide additional training opportunities for land use decision-makers at the local level.

Conformance with National Historic Preservation Act and OMB Circulars

All funded activities must be in conformance with the provisions of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470) as described in the Heritage Preservation Fund Grants Manual, October 1997. Additionally, recipients must adhere to the federal Office of Management and Budget circulars that stipulates principles and standards for determining costs applicable to Federal grants and contracts for the appropriate type of institution receiving grant funds through sub-grant or contract agreements with grantees or through direct grants from NPS.

The circulars are:

- OMB Circular A-21: educational institutions,
- OMB Circular A-87: State and local governments, and Indian tribes.
- OMB Circular A-102. Promulgates the standards for establishing consistency and uniformity among Federal agencies in the administration of grants to State and local governments, and Indian tribes.
- OMB Circular A-110: Promulgates standards for obtaining consistency and uniformity among Federal agencies in the administration of grants to, and other agreements with, public and private institutions of higher education, public and private hospitals, and other quasi-public and private nonprofit organizations.
- OMB Circular A-122. For non-profit organizations.

Bonus Points

Because the OHP prefers that workshops and conferences benefit the entire state, proposals that have a statewide target audience are eligible for bonus points.

Additionally, California is an ethnically and culturally diverse community. In the California Statewide Historic Preservation Plan 2000-2005, OHP identified the preservation and stewardship of cultural resources among a diversified state population representing all levels of the socioeconomic spectrum as a shared goal among Californians. Conferences or workshops that address this goal are eligible for bonus points. For example, a workshop incorporating sessions on preservation of ethnic districts or a conference with a program on the Native American Graves Protection Act would address diversity issues.

With this in mind, **up to ten (10) extra points may be awarded for proposals that carry out one or both of these goals.**

GRANT PROGRAM AREAS

Historic Preservation Conferences

The OHP supports conferences that create a forum to discuss historic preservation issues, provide educational opportunities and promote historic preservation activities. These conferences should help meet the State Historic Preservation plan objectives to:

- Promote education, training, and outreach programs on the values of historic preservation;
- Promote public involvement in all aspects of local and state preservation efforts;
- Promote historic preservation programs and curricula for children and young adults;
- Promote support among community leaders, elected officials, and governmental staff members on the values and worth of historic preservation throughout California.

Programs assisted by HPF sub-grants may charge nominal fees to cover actual costs of planning and staging the conference but may not derive revenues from fees the activity that constitute a profit.

Historic Preservation Workshops

Historic Preservation workshops are events that have a special emphasis. Examples would be workshop focused on tax incentive programs for rural communities or a workshop that addresses the preservation of historic landscapes.

As with conferences, these workshops should help meet the State Historic Preservation plan objectives to:

- Promote education, training, and outreach programs on the values of historic preservation;
- Promote public involvement in all aspects of local and state preservation efforts.
- Promote historic preservation programs and curricula for children and young adults.
- Promote education, training, and outreach programs on the values of historic preservation.
- Promote the incorporation of preservation theory and training in urban planning programs.
- Promote educational programs and materials to increase the general public's awareness understanding, and support for historic preservation.
- Promote support among community leaders, elected officials, and governmental staff members on the values and worth of historic preservation throughout California.
- Promote the development of partnerships with key players and organizations affecting public opinion and the planning process.
- Identify and support opportunities for historic preservation projects, which promote job

development, stabilize established neighborhoods and business districts, and encourage economic growth and investment in local communities.

- Promote private sector reinvestment through the tax certification program and other incentive programs.
- Develop and promote financial incentives that encourage preservation and rehabilitation
- Establish alliances with other preservation/environmental organizations and local governments to provide additional training opportunities for land use decision-makers at the local level.
- Encourage local communities and organizations to support the preservation of historic resources, including those reflecting their ethnic heritage and culture.
- Educate Californian's on the benefits of preserving the state's unique and diverse cultural heritage, including an understanding of the people associated with that heritage.

Programs assisted by HPF sub-grants may charge nominal fees to cover actual costs of planning and staging the conference but may not be derive revenues from fees for the activity that exceed actual costs.

WHAT WILL NOT BE FUNDED?

Under this sub-grant program the OHP will not fund proposals that request:

- Food or social activities
- Permanent interpretive displays
- Purchase of computers or other equipment
- Speaker honorariums or awards.

BUDGET INFORMATION

Matching Share

Grants will be matched on a 60% Federal/40% applicant basis. Other than Community Development Block Grant and revenue sharing funds, no Federal funds may constitute match. The matching share must contribute directly to implementation of the grant proposal once the grant agreement is executed.

A thorough understanding of the matching share process is necessary for the accurate completion of the grant application. All matching share must contribute to the implementation of the undertaking being proposed. Match can either be cash, such as paying services or supplies or salary, or in-kind where volunteers donate services or supplies.

Value of in-kind services provided as match should be based on expertise and the task involved. As an example, a historian meeting the Secretary of Interior's standards who is performing clerical tasks would be valued at an hourly rate compensatory with clerical staff. However if the same historian was a volunteer guest speaker at a conference or otherwise was sharing their professional expertise, their time could be valued at their professional rate. Please call OHP if you have questions as to the value of volunteered services.

The following suggestions represent local activities and donations that can be used to match the grant and meet federal requirements. In-kind services must be documented hour-by-hour on daily time sheets with two signatures -- no exceptions! Volunteer time sheets will be provided to successful grant applicants if needed. Payroll printouts (highlighted for easy OHP interpretation) are acceptable for paid staff time.

Volunteers: Typical volunteer work includes planning, presentations, publicity, and providing arrangements and logistics for the conference or workshop. Compute the service at a market value for the same services in your area provided by entry-level professionals, unless professionals in their particular field are providing such services. Documentation may include previous invoices or federal income tax evaluation.

Agency Staff Work: Compute the value on the basis of usual salary and fringe benefits. The hourly salary may not exceed \$68.82 per hour. Documentation in the form of time sheets or payroll vouchers must be kept for submittal with billings.

Office Space: Project work area, full-time coordinator's office and workshop-meeting rooms. This donation is equivalent to local office rental space. Upon award of the grant, forms for documentation of evaluation, donated space, and material will be provided.

Professional Services: These services include historians, architectural historians, architects, archeologists and other consultants. This is comparable to the market value in your community (see above comments on volunteer time recordation), however the maximum hourly salary may not exceed \$68.82 per hour.

Donated Equipment and Materials: Includes such items as expendable equipment, office supplies, or workshop supplies. Values assessed to donated or contributed equipment and materials included as matching share must be reasonable and must not exceed the fair market value at the time of donation. The basis for determining the value must be documented and available for audit.

Other Donations: Travel costs (see Federal/State rate guide for California below), and printing costs such as duplication, manuals, instructions, maps, conference programs and guides. (This donation does not include elaborate publications.)

Indirect Costs: May be used ONLY if a copy of the rate agreement letter from the cognizant federal agency accompanies the application. Indirect costs are capped at 25 percent by HPF rules.

Be sure to show how you arrived at a budget figure or hours estimates. Show your math and logic in as much detail as possible. This information may be attached on a separate page or as an addendum.

EXAMPLE: Source of Non-Federal Match

1.	Donor:	Non-profit	2.	Donor:	University
	Source:	General Fund		Source:	Student Volunteers
	Kind:	Employee Wages		Kind:	In-Kind
	Amount:	\$2,800.00		Amount:	\$3,550

Salaried Employees

List each staff person by title, donating time and show your method for determining these costs. Briefly describe the work to be accomplished.

Non-profit director 80 hrs @ \$35/hr* = \$2,800

[*For purposes of this example, a typical hourly pay rate for non-profit executive]

Volunteers

History students (3) 24 hrs ea @ \$15/hr** = \$1,080.00

**Three students in a public history graduate program to assist in planning and logistics for a conference.

Examples of volunteer value estimates:

BA in History (1) 40 hrs @ \$30/hr = \$1,200.00

No experience (1) 40 hrs @ \$6.25/hr = \$250.00

2 years college, History major (1) 40 hrs @ \$7.50/hr = \$300.00

Show method of determining pay rate for volunteers. If a volunteer working on a survey project has no professional preservation qualifications, the minimum wage rate per hour must be used.

Budget Example

For personnel, list each person to be paid directly by the grant by title and salary, including fringe benefits. Do not include contractors and sub-grantees here.

NOTE: Salaries may not exceed \$68.82 per hour; mileage may not exceed \$.34 per mile (neither grant nor non-Federal match). Benefits -- Social Security, retirement -- should be separated out .

COMPENSATION FOR CONSULTANTS: No person employed as a consultant, or by a firm providing consultant services, shall receive more than a reasonable rate of salary compensation for personal services paid with HPF funds, or when such services are contributed as non-Federal share. This salary shall not exceed the maximum daily rate of \$68.82 per hour, \$550 per day, or \$143,618 annually. Benefits and overhead are in addition to this amount. Hourly rates that do not define salary, benefits and other costs are considered all salary.

When consultant services rates exceed this rate, only the amount up to that rate can be charged to the HPF grant, or be claimed as non-Federal matching share costs. Where consultants are hired at salaries above that rate, the excess costs must be paid outside the historic preservation grant (and nonfederal share).

OHP recommends a closed-end contract because this will assure a product for the funds available and consultant rates may be higher than the allowable \$68.82 per hour. Consultants must be selected through a competitive Request for Proposal process.

HONORARIUMS: The HPF Grant rules prohibit honorariums. However, a speaker may receive a fee for their services. When a budgeting for a guest speaker, be sure to describe the cost in your budget as a fee for service.

EXAMPLE: Conference expenses

<u>Category</u>	<u>Rate Used to Calculate Cost</u>	<u>Cash from Grant</u>	<u>Cash Match</u>	<u>In-Kind Services</u>
Non-profit Director. Planning	100 hrs @ \$35/hr		\$2,800.00	
Fringe	36.18%		\$1,013.04	
Clerical	30 hrs @ \$15.41/hr	\$462.30		
Fringe	34.98%	\$161.70		
History grad students (3)	12 hrs ea @ \$15/hr**		\$540.00	
AV equipment rental	Mics and sound system for five rooms	\$5,000.00		
Printing Brochure	1,880 @ \$.20 ea	\$376.00		
Total		\$6,000.00	\$4353.04	

Per Diem Rates*

The following is a list of the maximum Federal/State per diem rates for California. You must follow the rate for the location where the per diem is incurred. In some cases where the State's policies are more restrictive, those rates are quoted, including mileage. Actual costs of lodging and meals are reimbursed provided they do not exceed limits listed below and provided copies of receipts are provided. Rental cars and taxis are also allowable but only with receipts. These travel rates must be used in planning grant application budgets and for reimbursement requests. Rates higher than those set forth below cannot be reimbursed.

The maximum mileage rate is \$.34 per mile.

County	Maximum Lodging	Meals and Incidentals	Maximum Per Diem Rate
Alameda	\$118	\$38	\$156
Contra Costa	\$84	\$40	\$124
El Dorado	\$84	\$40	\$124
Edwards AFB, China Lake NWS	\$99	\$40	\$139
Inyo	\$60	\$40	\$100
Kern (except Edwards AFB & China Lake NWS)	\$68	\$38	\$106
Lake (May 5-Sep 30)	\$84	\$30	\$114
(Oct 1-May 4)	\$69	\$30	\$99
Los Angeles (except Santa Monica)	\$99	\$40	\$139
Madera (Oct 1 – Apr 30)	\$55	\$38	\$93
(May 1 – Sep 30)	\$79	\$38	\$117
Marin	\$84	\$40	\$124
Mariposa (Including Yosemite NP)	\$84	\$40	\$124
Mendocino	\$84	\$40	\$124
Merced	\$62	\$30	\$92
Mono	\$70	\$40	\$110
Monterey (Nov 11-May 31)	\$75	\$40	\$115
(Jun 1-Oct 31)	\$84	\$40	\$124
Napa	\$84	\$40	\$124
Nevada (Jun 15- Sep 30)	\$81	\$40	\$121
(Oct 1- Jun 14)	\$63	\$40	\$103
Orange	\$99	\$40	\$139
Placer	\$84	\$40	\$124
Riverside	\$84	\$40	\$124
Sacramento	\$79	\$40	\$119
San Bernardino	\$84	\$38	\$122
San Diego	\$99	\$40	\$139
San Francisco	\$140	\$40	\$180
San Luis Obispo	\$79	\$38	\$117
San Mateo	\$134	\$40	\$174
Santa Barbara	\$84	\$38	\$122

County	Maximum Lodging	Meals and Incidentals	Maximum Per Diem Rate
Santa Clara	\$140	\$40	\$180
Santa Cruz	\$84	\$40	\$124
City limits of Santa Monica	\$110	\$38	\$148
Solano	\$79	\$40	\$119
Sonoma	\$84	\$40	\$124
Stanislaus	\$60	\$34	\$94
Tulare	\$69	\$38	\$107
Ventura	\$84	\$40	\$124
Yolo	\$69	\$30	\$99

*Per diem incurred in counties not listed on this chart must meet the standard federal rate of \$55 maximum lodging, \$30 meals and incidentals, for a maximum per diem rate of \$85.

ADMINISTRATIVE INFORMATION

Administration

Grants will be administered in accordance with the *Historic Preservation Fund Grant Manual, October 1997*, as well as Office of Management and Budget Circulars A-87, A-122, A-102, or A-128.

Grant Period

If selected, your project may not begin until your grant is awarded and a project agreement signed. You cannot incur costs to be reimbursed before that time. Work to be funded must be performed within the grant period, October 1, 2002 to September 30, 2003.

Application Package

The grant application form consists of four pages, which are a part of this booklet. A complete package consists of:

- Grant Application Checklist
- Application Form with an original signature (one original and two copies of the form must be included in the package)
- Pertinent résumés
- Signed certification forms

GRANT SELECTION CRITERIA

Project Scope

1. Project purpose and objectives are clearly described. In describing the project purpose and objectives, please refer to the questions and suggestions in the “What Will Be Funded ?” section of this manual. (20 points)
2. Activities to be carried out under grant are clearly described and linked to purpose and objective of grant. (20 points)
3. Relationship of the proposed project to defined preservation needs or issues in the local community is clearly and adequately described. (20 points)

Administration

4. Personnel and methods to be utilized are clear and appropriate to achieving project objectives. **Past performance will affect applicants’ competitiveness.** Past performance includes ability to meet previous grant contractual deadlines and terms, submittal of annual end-of-year reports by announced deadlines, and adherence to both National Park Service and California Office of Historic Preservation procedures. (15 points)
5. Time schedule is realistic and achievable. (10 points)

Budget

6. Budget is reasonable to accomplish project major tasks and activities. (5 points)
7. Budget items are necessary and allowable under HPF rules to accomplish project activities. (5 points)
8. Budget is sufficiently detailed to show basis for cost items. (5 points)

Bonus Points

As previously noted in the “What Will Be Funded?” section, extra points will be awarded for projects that have a statewide focus and/or address ethnic and cultural diversity in your community (10 points). **Be very clear if you are applying for bonus points.**

PROJECT SELECTION PROCESS

Review Process

The State Historic Preservation Officer will convene an application review committee made up of both fiscal and program staff from the OHP. Each application will be reviewed and scored by two reviewers, one a fiscal reviewer and one a program reviewer. The committee will rank applications in order of their scores. The committee then recommends applications to be awarded grants to the State Historic Preservation Officer. The State Historic Preservation Officer consults with the chair of the State Historic Resources Commission. The chair reports the results at the next Commission meeting. This review process is consistent with Public Resources Code 5020.4(a)(15) that requires the State Historical Resources Commission to "...develop criteria and procedures based upon public hearings and active public participation for the selection of projects to be funded through the National Historic Preservation Fund, the California Heritage Fund, and other federal and state program that have as their primary purpose the preservation and enhancement of historic resources."

Score Sheet (Following is the score sheet used in the project selection process.)



Applicant _____ Type of Project _____ Reviewer _____ Date _____

The project's cost, nonfederal share, and activities are eligible for a HPF grant? Yes _____ No _____

Overall Score _____

Project Scope
(60 points)

1. Project purpose and objectives are clearly described. In describing the project purpose and objectives, applicants were referred to the questions and suggestions in the "What Will Be Funded?" section of the manual. (20 points) _____
2. Activities to be carried out under grant are clearly described and linked to purpose and objective of grant. (20 points) _____
3. Relationship of the proposed project to defined preservation needs or issues in the Statewide Historic Preservation Plan is clearly and adequately described. (20 points) _____

PROJECT SCOPE TOTAL _____

Administration
(25 points)

4. Personnel and methods to be utilized are clear and appropriate to achieving project objectives. Past performance will affect those applicants who have had previous grants. (15 points) _____
5. Time schedule is realistic and achievable. (10 points) _____

ADMINISTRATION TOTAL _____

Budget
(15 points)

- 6. Budget is reasonable to accomplish project major tasks and activities. (5 points) _____
- 7. Budget items are necessary and allowable under HPF rules to accomplish project activities. (5 points) _____
- 8. Budget is sufficiently detailed to show basis for cost items. (5 points) _____

BUDGET TOTAL _____

Bonus Points
(10 points)

TOTAL _____

Score applications based on the following scales:

<u>Scale</u>	<u>Not At All</u>	<u>Not Adequately</u>	<u>Generally True</u>	<u>Mostly True</u>	<u>Absolutely</u>
5 Point	0	1	2-3	4	5
10 Points	0	1-3	4-6	7-9	10
15 Points	0	1-5	6-9	10-14	15
20 Points	0	1-6	7-12	13-19	20

APPLICATION FORM AND CHECKLIST

Please read guidelines carefully before completing. The OHP office must **receive** a complete application package no later than **Friday, August 16, 2002**. A complete package consists of the Checklist, Application Form with an original signature (one original and two copies of the form must be included in the package), certification forms, and any required documentation data.

GRANT APPLICATION CHECKLIST
(Include in application package)

NOTE: Although no points are awarded for completeness, be aware that all elements listed here must be delivered no later than **Friday, August 16, 2002**. If not, the package will be considered incomplete and will not be reviewed.

- _____ Application and budget

- _____ Environmental Certification

- _____ Assurances – Certification Regarding Debarment, Suspension, and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying (DI Form 2010)

- _____ Assurances—Non-Construction Programs (Std. Form 424B)

FISCAL YEAR 2002
GRANT APPLICATION FORM

1. APPLICANT: _____

Contact Person (program): _____
[Name of person responsible for program content]

Address: _____

Phone: () _____ Fax: () _____ E-mail: _____

Contact Person (fiscal): _____
[Name of person responsible for fiscal content]

Address: _____

Phone: () _____ Fax: () _____ E-mail: _____

Congressional Name(s) & District(s) _____

2. PROJECT SUMMARY

Summarize in one or two sentences within the space provided the title, objectives, activities, or desired results of your project. A more detailed description will be completed under Project Scope. Indicate if your project addresses the ethnic and cultural diversity preservation goal.

3. SUMMARY OF PROJECT TYPE AND FUNDS REQUESTED

<u>Type of Project</u>	<u>Federal \$ Requested</u>
____ Conference	\$ _____
____ Workshop	\$ _____

4. PROJECT SCOPE (60 points)

(Please limit to two pages. Use continuation sheet if necessary.)

Be sure to clearly and adequately describe:

- which of the activities from the “What Will Be Funded ?” section you will be pursuing;
- project purpose and objectives;
- activities to be carried out under the grant and how they are linked to the purpose and objectives of the grant; and
- relationship of the proposed project to defined preservation needs or issues in California.

Please be very clear if you are applying for the bonus points.

5. PRODUCTS: What product(s) will be derived from the project? (Conference program, work shop materials, brochures, videos, etc.)

6. ADMINISTRATION (25 points)

Demonstrate that project personnel and methods are clear and appropriate to achieving project objectives. Past performance will affect those applicants who have had previous grants.

a. List names and/or experience of individuals and organizations necessary to implement your project.

b. Create a schedule/calendar for major project activities. It should be realistic and achievable.

7. BUDGET (15 points)

Show that budget is reasonable to accomplish major project tasks and activities and that budget items are necessary to accomplish project activities. Provide a sufficiently detailed budget to show basis for cost items.

A. Amount of Federal funds requested \$ _____

Amount of matching share \$ _____
(Match must directly relate to the implementation of the proposed project.)

In calculating match, use the following formula:

Amount of funds requested ÷ .6 = Total Project Cost

Total Project Cost x .4 = Required Matching Share

FOR EXAMPLE:

If you are requesting \$5,000:

$\$5,000 \div .6 = \$8,333$ (total project cost)

$\$8,333 \times .4 = \$3,333$ (required match)

B. Source of Non-Federal Match

1. Donor _____	2. Donor _____
Source _____	Source _____
Kind _____	Kind _____
Amount _____	Amount _____

C. (Use a separate sheet to show detail if necessary.)

Cost Categories	Rate Used to Calculate Cost (# hrs @ \$ per hr)	Cash From Grant	Other Cash	In-Kind Services
Salaried Employees* (Explain duties to be performed relevant to this grant.)				
Volunteers* (Explain duties to be performed relevant to this grant.)				
Contracted Services*				
Supplies, copying, postage, etc. (be specific)				
Travel Costs **				

* Rate shall not exceed a salary of \$68.82 per hour.

** Maximum allowable car mileage rate is \$.34 per mile. See table in budget section for federal per diem and lodging rates for your area.

Signature
(Original application must be signed and dated in ink)

Title

Date

8. BONUS POINTS (Up to 10 points)

State whether you are applying for bonus points. If so, describe how the grant proposal will carry out the goal of preservation and stewardship of cultural resources among a diversified state population.

CERTIFICATION FORMS
(Include in application package)

ENVIRONMENTAL CERTIFICATION

Based upon a review of the application, proposal narrative, and the supporting documentation contained in the application, it has been determined that the proposed Historic Preservation Fund project meets the criteria for categorical exclusion under 561 DM6.*

Project Name

Applicant's Signature

Title

Date

*NPS Environmental Review Compliance Requirements are included in the appendices for your information.

U.S. Department of the Interior

Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying

Persons signing this form should refer to the regulations referenced below for complete instructions

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions - The prospective primary participant further agrees by submitting this proposal that it will include the clause titled, "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions. See below for language to be used or use this form for certification and sign. (See Appendix A of Subpart D of 43 CFR Part 12.)

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion- Lower Tier Covered Transactions - (See Appendix B of Subpart D of 43 CFR Part 12.)

Certification Regarding Drug-Free Workplace Requirements - Alternate I. (Grantees Other Than Individuals) and Alternate II. (Grantees Who are Individuals) - (See Appendix C of Subpart D of 43 CFR Part 12)

Signature on this form provides for compliance with certification requirements under 43 CFR Parts 12 and 18. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of the Interior determines to award the covered transaction, grant, cooperative agreement or loan.

PART A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

CHECK _____ IF THIS CERTIFICATION IS FOR A PRIMARY COVERED TRANSACTION AND IS APPLICABLE

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by and Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

PART B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

CHECK _____ IF THIS CERTIFICATION IS FOR A LOWER TIER COVERED TRANSACTION AND IS APPLICABLE.

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such

prospective participant shall attach an explanation to this proposal.

DI-2010 June 1995 (This form replaces DI-1953, DI-1954, DI-1955, DI-1956 and DI-1963)

PART C: Certification Regarding Drug-Free Workplace Requirements

CHECK _____ IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS NOT AN INDIVIDUAL.

Alternate I. (Grantees Other Than Individuals)

- A. The grantee certifies that it will or continue to provide a drug-free workplace by:
 - (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
 - (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 - (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(d), with respect to any employee who is so convicted --
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 - (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check _____ if there are workplaces on file that are not identified here.

PART D: Certification Regarding Drug-Free Workplace Requirements

CHECK _____ IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS AN INDIVIDUAL.

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice made to such a central point, it shall include the identification number(s) of each affected grant.

DI-2010
June 1995

**PART E: Certification Regarding Lobbying
Certification for Contracts, Grants, Loans, and Cooperative Agreements**

*CHECK _____ IF CERTIFICATION IS FOR THE AWARD OF ANY OF THE FOLLOWING AND
THE AMOUNT EXCEEDS \$100,000: A FEDERAL GRANT OR COOPERATIVE AGREEMENT;
SUBCONTRACT, OR SUBGRANT UNDER THE GRANT OR COOPERATIVE AGREEMENT.*

*CHECK _____ IF CERTIFICATION IS FOR THE AWARD OF A FEDERAL
LOAN EXCEEDING THE AMOUNT OF \$150,000, OR A SUBGRANT OR
SUBCONTRACT EXCEEDING \$100,000, UNDER THE LOAN.*

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying" in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

As the authorized certifying official, I hereby certify that the above specified certifications are true.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

TYPED NAME AND TITLE

DATE

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General Of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681- 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327- 333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93- 205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

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APPENDICES

Standards for Allowability of Costs

(Excerpts from the Heritage Preservation Fund (HPF) Grants Manual, October 1997, Chapter 13. For purposes of this Certified Local Government Grant Manual, this chapter has been edited to address issues and costs commonly encountered in Certified Local Government sub-grants. The Office of Historic Preservation has the entire HPF Grants Manual stored electronically and can send portions upon request.)

A. Purpose and Applicability.

This chapter provides standards for determining the allowability of selected items of cost in accordance with Office of Management and Budget (OMB) Circular A-87, state and local governments. It also includes additional cost items specific to the Historic Preservation Fund program. Note that certain listed costs are allowable (Section B), other costs are allowable with the prior written approval of NPS (Section C), and other costs are unallowable (Section D). An asterisk precedes the costs not specifically addressed in the Circular.

These standards will apply irrespective of whether a particular item of cost is treated as a direct or an indirect cost, or as part of either the Federal or non-federal matching share of grant assistance. This listing of cost items is not all-inclusive. Failure to mention a particular item of cost in these standards is not intended to imply that it is either allowable or unallowable, rather a determination of allowability in each case will be based on the treatment of standards provided for similar or related items of cost. The allowability of the selected items of cost is subject to the policies and principles stated in Heritage Preservation Fund Grants Manual, October 1997, Chapter 12, "Cost Principles," particularly Section C.

B. Allowable Costs.

1. Accounting Costs. The cost of establishing and maintaining accounting and other fiscal information systems is allowable.
- * 2. Administrative Costs. Under Section 102 (e) of the National Historic Preservation Act (NHPA), the total direct administrative costs charged for carrying out State projects may not exceed 25% of the aggregate costs. See Chapter 7, Exhibit 7-B (Additional instructions for the SF 424-A), and Chapter 12, Section F.4, for guidance.
3. Advertising. Advertising media include newspapers, magazines, radio and television programs, direct mail, exhibits, and the like.

Allowable advertising costs are those which are solely for: recruitment of personnel necessary for the grant program; the procurement of goods and services required for the performance of the HPF grant agreement; and notices required by Federal or State regulations pertaining to the HPF program.

4. Audit Service. The costs of audits necessary for the administration and management of functions related to grant programs are allowable, provided that the audits were performed in accordance with the requirements of the Single Agency Audit Act and of OMB Circular A-133 implementing it (see Chapter 23). Generally, the percentage of costs charged to Federal awards for a single audit shall not exceed the percentage derived by dividing Federal funds expended by total funds expended by the recipient or sub-recipient (including program matching funds) during the fiscal year. The percentage may be exceeded only if appropriate documentation demonstrates higher actual costs. Other audit costs are allowable if specifically approved by the awarding or cognizant agency as a direct cost to an award, or included as an indirect cost in a cost allocation plan or rate.
5. Automatic Electronic Data Processing. The cost of data processing services is allowable.

6. Communications. Communication costs incurred for telephone calls or service, mail, messenger, and similar communication expenses necessary for and directly related to HPF grant program operations are allowable.
7. Compensation for Personal Services (including Fringe Benefits).
 - a. General. For local governments, compensation for personal services includes all remuneration, paid currently or accrued, for services rendered during the period of performance under the grant agreement, including but not necessarily limited to wages, salaries and fringe benefits. Such compensation is allowable to the extent that it satisfies the specific requirements of the OMB Cost Principles and that the total compensation for individual employees:
 - 1) Is reasonable for the services rendered, and conforms to the established policy of the governmental unit consistently applied to both Federal and non-Federal activities.
 - 2) Follows an appointment made in accordance with local government laws and rules and which meets other requirements required by Federal law, where applicable;
 - 3) Is determined and supported as provided in b., below.
 - b. Reasonableness. Compensation for employees engaged in work on HPF grant-assisted activities will be considered reasonable to the extent that it is consistent with that paid for similar work in other activities of the local government. In cases where the kinds of employees required for Federal awards are not found in the other activities of the local government, compensation will be considered reasonable to the extent that it is comparable to that paid for similar work in the labor market in which the employing government competes for the kind of employees involved. Compensation surveys providing data representative of the labor market involved will be an acceptable basis for evaluating reasonableness. This rate, excluding benefits, shall not exceed the maximum daily rate of compensation in the Federal Civil Service equal to 120 percent of a GS-15, step 10 salary (as of January 2002, this limit is \$550 per day, or \$143,481 divided by 2,087 hours (Federal work year)) rounded to the next whole dollar, or \$68.75 per hour.

When consultant services rates exceed this rate, only the amount up to that rate can be charged to the HPF grant, or be claimed as nonfederal matching share costs. Where staff is paid salaries above that rate, the excess costs must be paid outside the historic preservation grant (and nonfederal share)
 - c. Unallowable Costs. Costs that are unallowable under the provisions of this Chapter shall not be allowable solely on the basis that they constitute personal compensation.
 - d. Fringe Benefits. Allowability is subject to the following considerations: (1) Fringe benefits are allowances and services provided by employers to their employees as compensation in addition to regular salaries and wages. Fringe benefits include, but are not limited to, the costs of leave, employee insurance, pensions, and unemployment benefit plans. Except as provided elsewhere in the OMB Cost Principles, the costs of fringe benefits are allowable to the extent that the benefits are

reasonable and are required by law, governmental unit employee agreement, or an established policy of the governmental unit. (2) The cost of fringe benefits in the form of regular compensation paid to employees during periods of authorized absences from the job, such as for annual leave, sick leave, holidays, court leave, military leave, and other similar benefits, are allowable if: (a) they are provided under established written leave policies; (b) the costs are equitably allocated to all related activities, including Federal awards; and, (c) the accounting basis (cash or accrual) selected for costing each type of leave is consistently followed by the governmental unit. (4) The accrual basis may be only used for those types of leave for which a liability as defined by Generally Accepted Accounting Principles (GAAP) exists when the leave is earned. When a governmental unit uses the accrual basis of accounting, in accordance with GAAP, allowable leave costs are the lesser of the amount accrued or funded. (5) The cost of fringe benefits in the form of employer contributions or expenses for social security; employee life, health, unemployment, and worker's compensation insurance (except as indicated in Section B.21); pension plan costs (see subsection e., below); and other similar benefits, whether treated as indirect costs or direct costs, shall be allocated to Federal awards and all other activities in a manner consistent with the pattern of benefits attributable to the individuals or group(s) of employees whose salaries and wages are chargeable to such Federal awards and other activities.

- e. Pension Plan Costs. Pension Plan Costs may be computed using a pay-as-you-go method or an acceptable actuarial cost method in accordance with established written policies of the governmental unit. (1) For pension plans financed on a pay-as-you-go method, allowable costs will be limited to those representing actual payments to retirees or their beneficiaries. (2) Pension Costs calculated using an actuarial cost-based method recognized by GAAP are allowable for a given fiscal year if they are funded for that year within six months after the end of that year. Costs funded after the six-month period (or a later period agreed to by the cognizant agency) are allowable in the year funded. The cognizant agency may agree to an extension of the six-month period if an appropriate adjustment is made to compensate for the timing of the charges to the Federal Government and related Federal reimbursement and the governmental unit's contribution to the pension fund. Adjustments may be made by cash refund or other equitable procedures to compensate the Federal Government for the time value of Federal reimbursements in excess of the contributions to the pension fund. (3) Amounts funded by the governmental unit in excess of the actually determined amount for a fiscal year may be used as the governmental unit's contribution in future periods. (4) When a governmental unit converts to an acceptable actuarial cost method, as defined by GAAP, and funds pension costs in accordance with this method, the unfunded liability at the time of conversion shall be allowable if amortized over a period of years in accordance with GAAP. (5) The Federal Government shall receive an equitable share of any previously allowed pension costs (including earnings thereon) which revert or inure to the governmental unit in the form of a refund, withdrawal, or other credit.
- f. Distribution of Time for Salaries and Wages. Charges to Federal awards for salaries and wages, whether treated as direct or indirect costs, must be based upon payrolls documented in accordance with generally accepted practice of the governmental unit and approved by a responsible official (s) of the grantee. No further documentation is required for the salaries and wages of employees who work in a single indirect cost activity. Where employees are expected to work solely on a single Federal

award or cost objective, charges for their salaries and wages will be supported by periodic certifications that the employees worked solely on that program for the period covered by the certification. These certifications will be prepared at least semi-annually and will be signed by the employee or supervisory official having first-hand knowledge of the work performed by the employee. Where employees work on multiple activities or cost objectives, a distribution of their salaries or wages will be supported by personnel activity reports or equivalent documentation which meets standards for personnel activity records (a) through (e) below, unless a statistical sampling system (see below) or other substitute system has been approved by the cognizant Federal agency.

Documentary support for time distribution will be required where employees work on: (a) more than one Federal award, (b) a Federal award and a nonfederal award, (c) an indirect cost activity and a direct cost activity, (d) two or more indirect cost activities which are allocated using different allocation bases, or (e) an unallowable activity and a direct or indirect cost activity. The time distribution method used must account for the total salaried effort of the persons covered. A system that provides for the reporting only of effort applicable to federally sponsored activities is not acceptable. Time should be accounted for in units no longer than working days, and a brief description linking work performed to a specific approved project or activity should be used. **(For example, "Consulted with sub-grantee's architect on project XX-0001" would be acceptable; "Grant activities" would not.)**

Salaries and wages of employees used in meeting cost sharing or matching requirements of Federal awards must be supported in the same manner as those claimed as allowable costs under Federal awards.

Personnel activity reports or equivalent documentation must meet the following standards: (a) they must reflect an after-the-fact distribution of the actual activity of each employee; (b) they must account for the total activity for which each employee is compensated; (c) they must be prepared at least monthly and must coincide with one or more pay periods; and (d) they must be signed by the employee. Note that budget estimates or other distribution percentages determined before the services are performed do not qualify as support for charges to Federal awards but may be used for interim accounting purposes, provided that: (i) the grantee's system for establishing the estimates produces reasonable approximations of the activity actually performed; (ii) at least quarterly, comparisons of actual costs to budgeted distributions based on the monthly activity reports are made. Costs charged to Federal awards to reflect adjustments made as a result of the activity actually performed may be recorded annually if the quarterly comparisons show the differences between budgeted and actual costs are less than ten percent; and (iii) the budget estimates or other distribution percentages are revised at least quarterly, if necessary, to reflect changed circumstances.

Substitute systems for allocating salaries and wages to Federal awards may be used in place of activity reports. These systems are subject to approval if required by the cognizant agency. [See OMB Circular A-87, Item B.11h.(6).]

- g. Donated Services. Professional and technical personnel, consultants, and other skilled and unskilled labor may furnish donated or volunteer services to a grantee. The value of these services is not reimbursable either as a direct or indirect cost.

However, the value of donated services may be used to meet cost sharing or matching requirements in accordance with the provisions of Chapter 14. The value of donated services used in the performance of a direct cost activity shall, when material in amount, be considered in the determination of the grantee's indirect costs or rate(s) and, accordingly, shall be allocated a proportionate share of applicable indirect costs. To the extent feasible, donated services will be supported by the same methods used by the grantee to support the allowability of regular personnel services.

8. Equipment and Other Capital Expenditures. Any article of non-expendable tangible personal property having a useful life of more than one (1) year and an acquisition cost of \$5,000 or less is defined as supplies, and is allowable as a direct cost, without specific prior NPS approval, if necessary for the performance of the HPF grant. (See Section C.2 of this Chapter for prior approval of items costing more than \$5,000.) When replacing equipment purchased with Federal funds, the grantee may use the equipment to be replaced as a trade-in or sell the property and use the proceeds to offset the cost of the replacement equipment. Capital expenditures that are not charged directly to a Federal award may be recovered through use allowances, or depreciation (see Section B.13).
9. Indirect Costs. Indirect costs are allowable only in accordance with the applicable indirect cost principles and when based on a current approved or provisional rate awarded by the cognizant Federal agency. (See Chapter 12; also see Section D.21.)
10. Insurance and Indemnification. Costs of hazard and liability insurance to cover personnel or property directly connected with the HPF-assisted program or project site required or approved and maintained pursuant to the grant agreement are allowable during the grant period. Costs of other insurance in connection with the general conduct of activities are allowable if maintained in accordance with sound business practice, except that the types and extent and cost of coverage or of contributions to any reserve covering the risk of loss of, or damage to, Federal Government property are unallowable except to the extent that the NPS has specifically required or approved such costs. (See OMB Circular A-87, Item B.25, for the allowability of self-insurance reserves.)
12. Legal Expenses. The cost of legal expenses required in the administration of HPF grant programs is allowable. (Legal expenses for the prosecutions of claims against the Federal Government are unallowable.)
13. Materials and Supplies. The cost of materials and supplies necessary to carry out the HPF grant program is allowable. Purchases made specifically for the grant program should be charged at their actual prices after deducting all cash discounts, trade discounts, rebates, and allowances received. Withdrawals from general stores or stockrooms should be charged at cost under any recognized method of pricing, consistently applied. Incoming transportation charges are a proper part of materials and supplies costs.
- * 14. Professional and Consultant Service Costs.
 - a. Costs of professional and consultant services rendered by persons or organizations that are members of a particular profession or possess a special skill, whether or not officers or employees of the grantee, are allowable, subject to the provisions of Chapter 5 of the Historic Preservation Fund Grants Manual and subject to the sub-sections below, when reasonable in relation to the services rendered, and

when not contingent upon recovery of the costs from the Government (i.e., contingent fees are prohibited).

- b. Factors to be considered in determining the allowability of costs in a particular case include: 1) the nature and scope of the service rendered in relation to the service required; 2) the necessity of contracting for the service, considering the grantee organization's capability in a particular area; 3) the impact of HPF grants on the grantee organization; (4) the qualifications of the individual or concern rendering the service and the customary fees charged, especially on non-government contracts and grants; and 5) the adequacy of the contractual agreement for the service (i.e., description of the service and products to be provided, estimate of time required, rate of compensation, and termination provisions).

Retainer fees supported by evidence of bona fide services available or rendered are allowable.

- c. Costs of legal, accounting, and consulting services, and related costs incurred in the prosecution of claims against the Government are unallowable. (See Section D.33.)
- d. Written agreements shall be executed between the parties that detail the responsibilities, standards, and fees.
- e. Compensation for Consultants. No person employed as a consultant, or by a firm providing consultant services, shall receive more than a reasonable rate of compensation for personal services paid with HPF funds, or when such services are contributed as nonfederal share. This rate shall not exceed the maximum daily rate of compensation in the Federal Civil Service equal to 120 percent of a GS-15, step 10 salary (as of January 2002, this limit is \$550 per day, or \$143,481 divided by 2,087 hours (Federal work year)) rounded to the next whole dollar, or \$68.75 per hour.

When consultant services rates exceed this rate, only the amount up to that rate can be charged to the HPF grant, or be claimed as nonfederal matching share costs. Where consultants are hired at salaries above that rate, the excess costs must be paid outside the historic preservation grant (and nonfederal share).

- * 15. Public Information Services Costs. Public information services costs include the costs associated with newsletters, pamphlets, news releases, films, videotapes, and other forms of historic preservation related information services.

- a. Allowable costs are those normally incurred to: 1) inform or instruct individuals, groups, or the general public about specific historic preservation activities, accomplishments, and issues that result from performance of the HPF grant; 2) interest individuals and organizations in participating in HPF grant-supported programs of the grantee and the achievement of NPS approved work program objectives; 3) provide necessary stewardship reports to State and local government agencies, contributing organizations, and the like; or to 4) disseminate the results of grantee-sponsored activities to preservation professionals, interested organizations, and the general public.

- b. Within the foregoing parameters, public information services which (1) are not directly related to historic preservation or NPS approved activities, or (2) are costs related to fundraising appeals are unallowable. Public information costs are allowable as direct costs only.

- 16. Publication and Printing Costs. Costs of printing and reproduction services necessary for grant administration, including but not limited to forms, manuals, and informational literature, are allowable. Publication costs of reports or other media relating to HPF grant program accomplishments or results are allowable when necessary to comply with grant-supported program or project requirements, such as Final Project reports, publications undertaken at the written direction of NPS, as well as other publications necessary for grant-assisted program administration. See Chapter 3, Section D.3.
- 17. Rental Costs. Rental of office space is allowable, subject to the provisions of Chapter 12, Section C, and OMB Circular A-87, Item B.38. The cost of office space in privately or publicly owned buildings used for the benefit of the grant program is allowable subject to the following conditions: (1) the total cost of space, in a privately or publicly owned building, may not exceed the rental cost of comparable space and facilities in a privately owned building in the same locality; (2) the cost of space procured for grant program usage may not be charged to the program for periods of non-occupancy without authorization of NPS.

Equipment rental is allowable only to the extent that the equipment is only needed for a short time and it would not be more cost effective to purchase the equipment.

- * 18. Research. Costs of historical, architectural, and archeological research necessary for project accomplishment are allowable. Purely archival research is unallowable. (See Section D.1, below.)
- 19. Training and Education. The cost of training for employee development is allowable
- 20. Travel. Travel costs are allowable for expenses for transportation, lodging, subsistence, and related items incurred by employees traveling on official business incident to the HPF grant program. Such costs may be charged on an actual basis, on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip, and results in charges consistent with those normally allowed in like circumstances in non-federally sponsored activities. A receipt must document lodging costs in order to be eligible for reimbursement under the HPF grant.

The difference in cost between first-class air accommodations and less-than-first-class accommodations is unallowable except when less-than-first-class accommodations are not reasonably available, and the provisions of OMB Circular A-87, Item B.41(c) are met. Foreign travel costs are allowable only with prior written approval of NPS. (See Section C.4, below.) Notwithstanding the provisions of Section D.17, travel costs of officials covered by those subsections, when specifically and directly related to the HPF grant program, are allowable with the prior written authorization of NPS. The maximum allowable mileage rate that can be charged to the HPF grant in California as of July 2001 is thirty-four (34) cents per mile.

C. Costs Allowable with Approval of NPS.

1. Equipment and Other Capital Expenditures. The cost of facilities, equipment, other capital assets, and repairs or improvements which materially increase the value or useful life of capital assets is allowable when such procurement is specifically justified in writing and specifically approved in writing by NPS. When assets acquired with HPF grant funds are sold, no longer available for use in the NPS-sponsored program, or used for purposes not authorized by NPS, the NPS equity in any assets with a current fair market value over \$5,000 will be refunded in the same proportion as Federal participation in its cost. In case any assets are traded on new items, only the net cost after trade-in allowances of the newly acquired assets is allowable. Articles with a unit cost of more than \$5,000 and a useful life of more than one (1) year are allowable when specifically approved by NPS as a direct cost. (See Section B.17 regarding articles costing less than \$5,000.)
- * 2. Extended Training. Costs of out-of-service training involving extended periods of time (more than a month of time away from work) is allowable only when specifically authorized in writing by NPS.

D. Unallowable Costs.

- * 1. Archival Research. Costs of purely archival research are unallowable. Grant-assisted research must directly relate to achieving the purposes of the HPF grant program.
- * 2. Alcoholic Beverages. Costs of Alcoholic Beverages are unallowable.
- * 3. Archeological Salvage. Costs of data recovery unrelated to increasing an understanding of a National Register property are unallowable. (See Chapter 6, Section K.4.d.)
4. Bad Debts. Any losses arising from uncollectible accounts and other claims, and related collection costs, are unallowable.
- * 5. Contingencies. Contributions to a contingency reserve or any similar provision made for events the occurrence of which cannot be foretold with certainty as to time, or intensity, or with an assurance of their happening, are unallowable. (The term "contingency reserve" excludes self-insurance, pension plan, and post-retirement health benefit reserves computed using acceptable actuarial cost methods; see Section B.12.)
6. Contributions and Donations.
 - a. Charitable contributions and donations of grant funds, property, or grant-assisted services are unallowable.
 - b. The value of services donated by employees or other persons paid with HPF grant funds or other Federal funds are unallowable.
 - c. Donated goods (i.e., expendable personal property/supplies and donated use of space) may be furnished to a grantee, sub-grantee, or grant-supported contractor. The value of the goods and space is not reimbursable as a direct or indirect cost. However, the value of the donations may be used to meet matching share

requirements when determined in accordance with the conditions described in Chapter 14.

- * 11. Curation. Costs of curation or exhibition of artifacts or other materials after the project end date is unallowable.
- 12. Entertainment. Costs of entertainment, including amusements, social activities, and any costs directly associated with such costs (such as tickets to shows or sports events, meals, lodgings, rentals, transportation, and gratuities) are unallowable.
- 13. Equipment. Equipment and other capital expenditures are unallowable as indirect costs. (See Section B.13, for the allowability of use allowances or depreciation on buildings, capital improvement, and equipment.)
- 15. Fines and Penalties. Fines, penalties, damages, and other settlements resulting from violations (or alleged violations) of, or failure of the grantee to comply with, Federal, State, local, or Indian tribal laws and regulations are unallowable, except when incurred as a result of compliance with specific provisions of the Federal award or written instructions by NPS authorizing in advance such payments.
- 16. Fundraising and Investment Management Costs. Expenses and costs of organized fundraising, including financial campaigns, endowment drives solicitation of gifts and bequests, investment counsel, and similar expenses incurred to raise capital or obtain contributions are unallowable.
- 17. General Government Expenses. Salaries and expenses of county supervisor or board, city council, school boards, historic commissions, etc. are unallowable.
- * 19. Honaria. Payments of HPF grant funds for honoraria are not allowable when the primary intent is to confer distinction on, or to symbolize respect, esteem, or admiration for, a recipient. (Payments for services rendered, such as a speaker's fee at a grant-assisted workshop, are allowable.)
- * 20. Indirect Costs to Individuals. Indirect costs to individuals under grantee-awarded sub-grants and contracts are not allowable. "Overhead" or administrative support costs must be charged on a direct cost basis and documented by appropriate supporting documentation.
- 21. Insurance and Indemnification. Actual losses which could have been covered by permissible insurance (through an approved self-insurance program or otherwise) are unallowable unless expressly provided for in the grant agreement. However, costs incurred because of losses not covered under nominal deductible insurance coverage provided in keeping with sound management practice, minor losses not covered by insurance, such as spoilage, breakage, and disappearance of small hand tools that occur in the ordinary course of operations, are allowable. Indemnification includes securing the grantee against liabilities to third persons and other losses not compensated by insurance or otherwise. The Federal Government is obligated to indemnify the grantee only to the extent expressly provided for in the Federal award. Costs of commercial insurance that protects against the costs of the contractor for correction of the contractor's own defects in materials or workmanship are unallowable.

22. Interest and other Financial Costs. Costs incurred for interest on borrowed capital or the use of a grantee's own funds, however represented, are unallowable, except as specifically provided in Item B.23 of this Chapter, or when authorized by Federal legislation.
23. Interpretive Expenses. Interpretive expenses, such as staff salaries or maintenance of interpretive devices (with the exception of purchase and installation costs for such devices in accordance with Section B.24 above) are unallowable.
24. Lobbying. The cost of certain activities associated with obtaining grants, contracts, cooperative agreements, or loans is an unallowable cost. Lobbying with respect to HPF grants, contracts, cooperative agreements, and loans shall be governed by 31 U.S.C. 1352 and the provisions of the Common Rule "New Restrictions on Lobbying," published in the *Federal Register* (55 FR 6736) on February 26, 1990, as well as the Office of Management and Budget's "Government wide Guidance for New Restrictions on Lobbying" and the associated notices published in the *Federal Register* at 54 FR 52306 (December 20, 1989), at 55 FR 24540 (June 15, 1990), and at 57 FR 1772 (January 15, 1992). The costs associated with activities or any form of communication designed to influence in any manner a Member of Congress to favor or oppose any legislation or appropriation are unallowable. In addition, all recipients of Federal grant assistance over \$100,000 must certify on the DI-2010 Form that they will not use grant funds for lobbying expenses. (See Chapter 7, Exhibit 7-D, for the DI-2010 form.)
- * 25. Meals. Costs of meals for grantee employees are unallowable except as per diem when such persons are on travel status in conjunction with activities eligible for HPF assistance.
- * 26. Museums. Costs of museum exhibits, staff salaries, and other administrative expenses, including maintenance, are unallowable, if they are not directly related to HPF-eligible activities. (See Section B.18.)
- * 27. Nonconformance with Applicable Secretary of the Interior's Standards. Work performed under grants, sub-grants, or other contractual arrangements that do not conform to the applicable Secretary's Standards are unallowable costs.
- * 28. Prohibition on Compensating Intervenors. Compensation to any person intervening in any proceeding under the Act is unallowable due to the provisions of Section 101(f) of the National Historic Preservation Act. (See Legal Expenses in Section B.27.)
29. Under recovery of Cost under Grant Agreements. Any excess cost not covered by the Federal contribution under one grant agreement is unallowable as a cost under any other Federal agreement. This includes, but is not limited to; the grantee's contributed portion of cost sharing agreements, or any under recoveries through negotiation of lump sum for, or ceilings on, indirect costs.

Historic Preservation Fund Grants Manual—Environmental Compliance Requirements (Chapter 11)
Environmental Compliance Requirements

- A. National Environmental Policy Act (NEPA). This Chapter details the Department of the Interior requirements concerning compliance with the National Environmental Policy Act and related legislation, regulations and Executive Orders, as they apply to the Historic Preservation Fund grant program.
1. Policy. The national policy concerning the assessment of the environmental impact of Federal and federally funded actions is contained in the National Environmental Policy Act of 1969 (42 U.S.C. 4321-4347). All NPS Historic Preservation Fund grant actions are subject to the provisions of NEPA and the Council on Environmental Quality Regulations for Implementing the Procedural Provisions of NEPA (CEQ Regulations) (40 CFR 1500-1508).
 2. Grantee Responsibility. Except for Reduced Review States (see Chapter 8, Section G), the applicant must submit appropriate environmental documentation to NPS with the HPF grant Project Notification (either an Environmental Certification, see section A.5 below, or an Environmental Assessment, see section A.8 below). Certain categories of proposed actions may be excluded from the NEPA process. Categorical Exclusions approved for NPS appear in Section A.4., below. All other proposed actions require the preparation of either an Environment Assessment (EA) or an Environmental Impact Statement (EIS). All grantees are required to submit necessary information as an Environmental Assessment, unless the proposed grant-assisted activity is covered by a Categorical Exclusion. If appropriate, grantees with statewide jurisdiction that qualify under NEPA section 102(2)(D) may be required to submit an EIS. The scope, content, and objectivity of the document shall comply with NEPA, CEQ Regulations, and the Departmental Manual. (See Section A.8. below.)

A State that has environmental laws equivalent to or more stringent than NEPA may submit environmental documentation meeting both State and Federal requirements.

3. NPS Responsibility. NPS is responsible for determining and advising the State on whether a proposed grant action is either categorically excluded or requires an EA or EIS. NPS is also responsible for ensuring the adequacy of any required EA or EIS.

Projects involving floodplains and wetlands must comply with the requirements of 44 CFR 3642; Executive Order 11988, Floodplain Management; Executive Order 11990, Protection of Wetlands; Department of the Interior Manual (520 DM) and NPS Floodplain/Wetland Protection Guidelines. This compliance requires information in addition to that required by NEPA. See Section B, below.

4. Categorical Exclusions. Authorized Categorical Exclusions are those referred to in 516 DM 6 Appendix 7. The actions shown qualify for Categorical Exclusion unless NPS determines that there is cause for exception under 516 DM 2.3A(3), (see Section A.6 below for the exceptions). The exclusions found in Section A.6.f. and A.6.g. are particularly relevant to HPF grantees. (However, note that the list of Categorical Exclusions is not necessarily a list of activities eligible for HPF grant assistance.)

The following exclusions for the Department of the Interior are provided in 516 DM 2, Appendix 1 (also see additional Categorical Exclusions authorized for NPS in 516 DM 6, Appendix 7, and listed below in Section A.4.b-g, of this Chapter):

- a. Departmental Categorical Exclusions. These are general in nature and include the following:
- 1) Personnel actions and investigations and personnel services contracts;
 - 2) Internal organizational changes and facility and office reductions and closings;
 - 3) Routine financial transactions, including such things as salaries and expenses, procurement contracts, guarantees, financial assistance, income transfers, audits, fees, bonds and royalties;
 - 4) Law enforcement and legal transactions, including such things as arrests, investigations, patents, claims, legal opinions, and judicial activities including their initiation, processing, and/or settlement, appeal or compliance;
 - 5) Regulatory and enforcement actions, including inspections, assessments, administrative hearings, and decisions; when the regulations themselves or the instruments of regulations (leases, permits, licenses, etc.) have previously been covered by the NEPA process or are exempt from it in 516 DM 2, Appendix 1 (also see additional categorical exclusions listed below in Section A.4.b-g, of this Chapter);
 - 6) Non-destructive data collection, inventory (including field, aerial and satellite surveying and mapping), study, research and monitoring activities;
 - 7) Routine and continuing government business, including such things as supervision, administration, operations, maintenance, and replacement activities having limited context and intensity; (e.g. limited size and magnitude or short-term effects);
 - 8) Management, formulation, and allocation of the Department's budget at all levels. (This does not exclude the preparation of environmental documents for proposals included in the budget when otherwise required.);
 - 9) Legislative proposals of an administrative or technical nature, including such things as changes in authorizations for appropriations, and minor boundary changes and transactions; or having primarily economic, social, individual or institutional effects; and comments and reports on referrals of legislative proposals;
 - 10) Policies, directives, regulations and guidelines of an administrative, financial, legal, technical or procedural nature; or the environmental effects of which are too broad, speculative or conjectural to lend themselves to meaningful analysis and will be subject later to the NEPA process, either collectively or case-by-case; and
 - 11) Activities which are educational, informational, advisory or consultative to other agencies, public and private entities, visitors, individuals or the general public.

The following are NPS-specific Categorical Exclusions:

- b. Actions Related to General Administration:
- 1) Changes or amendments to an approved action, when such changes would cause no or only minimal environmental impact;
 - 2) Land and boundary surveys;
 - 3) Minor boundary changes;

- 4) Reissuance/renewal of permits, rights-of-way or easements not involving new environmental impacts;
 - 5) Conversion of existing permits to rights-of-way, when such conversions do not continue or initiate unsatisfactory environmental conditions;
 - 6) Issuances, extensions, renewals, reissuances or minor modifications of concession contracts or permits not entailing new construction;
 - 7) Commercial use licenses involving no construction;
 - 8) Leasing of historic properties in accordance with 36 CFR 18 and NPS-38;
 - 9) Preparation and issuance of publications;
 - 10) Modifications or revisions to existing regulations, or the promulgation of new regulations for NPS-administered areas, provided the modifications, revisions or new regulations do not:
 - a) Increase public use to the extent of compromising the nature and character of the area or causing physical damage to it;
 - b) Introduce noncompatible uses which might compromise the nature and characteristics of the area, or cause physical damage to it;
 - c) Conflict with adjacent ownerships or land uses; or
 - d) Cause a nuisance to adjacent owners or occupants.
 - 11) At the direction of the NPS responsible official, actions where NPS has concurrence or coapproval with another bureau and the action is a categorical exclusion for that bureau.
- c. Plans, Studies and Reports.
- 1) Changes or amendments to an approved plan, when such changes would cause no or only minimal environmental impact;
 - 2) Cultural resources maintenance guides, collection management plans and historic furnishings reports;
 - 3) Interpretive plans (interpretive prospectuses, audio-visual plans, museum exhibit plans, wayside exhibit plans);
 - 4) Plans, including priorities, justifications and strategies, for nonmanipulative research, monitoring, inventorying and information gathering;
 - 5) Statements for management, outlines of planning requirements and task directives for plans and studies;
 - 6) Technical assistance to other Federal, State and local agencies or the general public;
 - 7) Routine reports required by law or regulation;
 - 8) Authorization, funding or approval for the preparation of Statewide Comprehensive Outdoor Recreation Plans;
 - 9) Adoption or approval of surveys, studies, reports, plans and similar documents which will result in recommendations or proposed actions which would cause no or only minimal environmental impact;
 - 10) Preparation of internal reports, plans, studies and other documents containing recommendations for action which NPS develops preliminary to the process of preparing a specific Service proposal or set of alternatives for decision;

- 11) Land protection plans which propose no significant change to existing land or visitor use; and
- 12) Documents which interpret existing mineral management regulations and policies, and do not recommend action.

d. Actions Related to Development.

- 1) Land acquisition within established park boundaries;
- 2) Land exchanges which will not lead to significant changes in the use of land;
- 3) Routine maintenance and repairs to non-historic structures, facilities, utilities, grounds and trails;
- 4) Routine maintenance and repairs to cultural resource sites, structures, utilities and grounds under an approved Historic Structures Preservation Guide or Cyclic Maintenance Guide; or if the action would not adversely affect the cultural resource;
- 5) Installation of signs, displays, kiosks, etc.;
- 6) Installation of navigation aids;
- 7) Establishment of mass transit systems not involving construction, experimental testing of mass transit systems, and changes in operation of existing systems (e.g., routes and schedule changes);
- 8) Replacement in kind of minor structures and facilities with little or no change in location, capacity or appearance;
- 9) Repair, resurfacing, striping, installation of traffic control devices, repair/replacement of guardrails, etc., on existing roads;
- 10) Sanitary facilities operation;
- 11) Installation of wells, comfort stations and pit toilets in areas of existing use and in developed areas;
- 12) Minor trail relocation, development of compatible trail networks on logging roads or other established routes, and trail maintenance and repair;
- 13) Upgrading or adding new overhead utility facilities to existing poles, or replacement poles which do not change existing pole line configurations;
- 14) Issuance of rights-of-way for overhead utility lines to an individual building or well from an existing line where installation will not result in significant visual intrusion and will involve no clearance of vegetation other than for placement of poles;
- 15) Issuance of rights-of-way for minor overhead utility lines not involving placement of poles or towers and not involving vegetation management or significant visual intrusion in an NPS-administered area;
- 16) Installation of underground utilities in previously disturbed areas having stable soils, or in existing overhead utility right-of-way;
- 17) Construction of minor structures, including small improved parking lots, in previously disturbed or developed areas;
- 18) Construction or rehabilitation in previously disturbed or developed areas, required to meet health or safety regulations, or to meet requirements for making facilities accessible to the disabled;
- 19) Landscaping and landscape manipulation in previously disturbed or developed areas; and
- 20) Construction of fencing enclosures or boundary fencing posing no effect on wildlife migrations.

e. Actions Related to Visitor Use.

- 1) Carrying capacity analyses;
- 2) Minor changes in amounts or types of visitor use for the purpose of ensuring visitor safety or resource protection in accordance with existing regulations;
- 3) Changes in interpretive and environmental educational programs;
- 4) Minor changes in programs and regulations pertaining to visitor activities;
- 5) Issuance of permits for demonstrations, gatherings, concerts, arts and crafts shows, etc., entailing only short-term or readily mitigable environmental effects; and
- 6) Designation of trailside camping zones with no or minimal improvements.

f. Actions Related to Resource Management and Protection.

- 1) Archeological surveys and permits, involving only surface collection or small-scale test excavations;
- 2) Day-to-day resource management and research activities;
- 3) Designation of environmental study areas and research natural areas;
- 4) Stabilization by planting native plant species in disturbed areas;
- 5) Issuance of individual hunting and/or fishing licenses in accordance with State or Federal regulations;
- 6) Restoration of non-controversial native species into suitable habitats within their historic range, and elimination of exotic species;
- 7) Removal of park resident individuals of non-threatened/endangered species which pose a danger to visitors, threaten park resources or become a nuisance in areas surrounding a park, when such removal is included in an approved resource management plan;
- 8) Removal of non-historic materials and structures in order to restore natural conditions; and
- 9) Development of standards for, and identification, nomination, certification and determination of eligibility of properties for listing in the National Register of Historic Places and the National Historic Landmark and National Natural Landmark Programs.

g. Actions Related to Grant Programs.

- 1) Proposed actions essentially the same as those listed in Sections A.4.b-f, above;
- 2) Grants for acquisition of areas that will continue in the same or lower density use with no additional disturbance to the natural setting;
- 3) Grants for replacement or renovation of facilities at their same location without altering the kind and amount of recreational, historical or cultural resources of the area; or the integrity of the existing setting;
- 4) Grants for construction of facilities on lands acquired under a previous NPS or other Federal grant provided that the development is in accord with plans submitted with the acquisition grant;
- 5) Grants for the construction of new facilities within an existing park or recreation area provided that the facilities will not:

- a) Conflict with adjacent ownership or land use, or cause a nuisance to adjacent owners or occupants, e.g., extend use beyond daylight hours;
 - b) Introduce motorized recreation vehicles;
 - c) Introduce active recreation pursuits into a passive recreation area;
 - d) Increase public use or introduce non-compatible uses to the extent of compromising the nature and character of the property, or causing physical damage to it; or
 - e) Add or alter access to the park from the surrounding area.
- 6) Grants for preservation of properties listed on or eligible for listing on the National Register of Historic Places, at their same location and provided that such actions:
- a) Will not alter the integrity of the setting;
 - b) Will not increase public use of the area to the extent of compromising the nature and character of the property; and
 - c) Will not cause a nuisance to adjacent property owners or occupants.
5. Certification. When a proposed project appears to qualify as one of the categorical exclusions listed in Section A.4 above, and does not involve one or more of the exceptions in 516 DM 2.3(a)(3) listed in Section A.6 below, the grantee shall indicate on the Environmental Certification Form the categorical exclusion into which the project falls. If NPS concurs, the Certification will be signed by the grant approving official, and maintained as part of the grant documentation. (See form at end of this chapter.) If the project does not qualify for an exclusion, an Environmental Assessment must be prepared (see Section A.8).
6. Exceptions. The following exceptions apply to individual actions within categorical exclusions. Environmental Assessments (EAs) must be prepared for actions which would otherwise fall under categorical exclusions, but which may:
- a. Have significant adverse effects on public health or safety;
 - b. Have adverse effects on such unique geographic characteristics as historic or cultural resources, park, recreation, or refuge lands, wilderness areas, wild or scenic rivers, sole or principal drinking water aquifers, prime farmlands, wetlands, floodplains, or ecologically significant or critical areas, including those listed on the Department's National Register of Natural Landmarks;
 - c. Have highly controversial environmental effects;
 - d. Have highly uncertain and potentially significant environmental effects or involve unique or unknown environmental risks;
 - e. Establish a precedent for future action or represent a decision in principle about future actions with potentially significant environmental effects;
 - f. Be directly related to other actions with individually insignificant but cumulatively significant environmental effects;
 - g. Adversely affect properties listed or eligible for listing on the National Register of Historic Places;
 - h. Adversely affect a species listed or proposed to be listed on the List of Endangered or Threatened Species, or designated Critical Habitat for these species;

- i. Require compliance with Executive Order 11988 (Floodplain Management), Executive Order 11990 (Protection of Wetlands), or the Fish and Wildlife Coordination Act; or
 - j. Threaten to violate a Federal, State, local or tribal law or requirement imposed for the protection of the environment.
7. Special Cases. NPS may find that some actions which normally qualify for Categorical Exclusion merit special consideration. In such cases NPS will require submission of an EA, or if the grantee qualifies under NEPA section 102(2)(D), an EIS.
8. Environmental Assessments.
- a. An EA must cover the points listed in subparagraph 8b. below in sufficient detail to resolve the test of "major and significant" (see CEQ Regulations, 40 CFR 1508.18 and 1508.27) and provide a basis for deciding whether to prepare an EIS on the project. Such assessments generally need be no more than two or three pages in length, except when complex projects are involved. The grantee or sub-grantee may not proceed with the proposed action until NPS has reviewed the EA and issued a Finding of No Significant Impact (FONSI; see Section A.9 below), or notified the SHPO that an EIS must be prepared by NPS. The EA must be submitted with the Project Notification (see Chapter 8, Exhibit 8-A). Note: even Reduced Review States must submit an Environmental Assessment if required by the provisions of Chapter 11, Section A.

An EA should not be prepared if the need for an EIS is self evident; go directly to the EIS.

- b. Format and Content. Pertinent information of sufficient scope and depth must be provided in an EA to allow NPS to accurately ascertain the impact of the project and to determine whether an EIS is needed. Whenever possible, an environmental impact should be quantified (see 40 CFR 150). In all cases the level of activities involved should be given--number of trees to be removed, cubic yards of debris to be removed, cubic yards of fill to be required, etc. For projects with property rights outstanding, the environmental information must also explain how the outstanding rights are to be dealt with and how the State plans to assure that the environment will not be affected significantly. An EA will cover the following four points at a minimum:
 - 1) The Proposed Action. Include a description of the proposed action, a statement regarding the need for it, a description of what the action is designed to accomplish, location of the project, its scope, the level of impact causing activities associated with the project, when the action is to take place, and, if applicable, its relation to other Federal, State, or local projects and proposals. Cite other Federal actions (i.e., 404 Permit, etc.). Include a map.
 - 2) Alternatives to the Proposed Action. This section will include a brief discussion of alternatives as required by NEPA. The EA must include a description of appropriate alternatives to recommended courses of action in any proposal which involves unresolved conflicts concerning alternative uses of available resources. The environmental impacts of the proposal and the alternatives should be presented in comparative form and should

define the issues, pros, and cons of a reasonable range of alternatives, and provide a clear basis for choice between them by NPS and the public.

- 3) Environmental Impacts of Proposed Action. Succinctly describe those environmental elements which would be affected. Discuss anticipated impacts on the following elements and any means to mitigate adverse environmental impacts:

- land use (project site and surrounding area)
- fish and wildlife
- vegetation
- geology and soils
- mineral resources
- air and water quality
- water resources/hydrology
- historic/archeological resources
- transportation/access
- consumption of energy resources
- socioeconomic effects

"Impacts" are defined as causing direct or indirect changes in the existing environment, whether beneficial or adverse, which are anticipated as a result of the proposed action or related future actions. To the extent appropriate, the document will discuss impacts of the action, including environmental damage which could be caused by users, upon physical and biological environment as well as upon cultural, aesthetic, and socioeconomic conditions. Elements of impacts which are unknown or only partially understood should be indicated. Any off-site impacts, such as increased traffic on neighborhood roads or increased noise levels in surrounding areas, should be described.

- 4) A listing of agencies and persons consulted.
- c. Public Notice. Public notice should be provided in accordance with 40 CFR-7506.6 and, where appropriate, the public involved in the environmental assessment process.
- d. Adoption. In accordance with 40 CFR 1506.3, an EA prepared for a Federal grant program not administered by NPS may be submitted if adequate to meet environmental documentation requirements of proposed HPF grant actions.
- e. Points to Consider in Environmental Assessments.
- (1) Environmental documentation should be free of project justification and personal bias. The project should be justified elsewhere in the grant application.
 - (2) Do not rely on generalities. Specific facts are essential. All statements and conclusions should be supported, and quantified where possible.
 - (3) Use graphics to help explain the project.

- (4) Be concise, clear and to the point.
 - (5) Adverse impacts should be addressed as fairly as beneficial impacts; and impacts should be presented without conclusionary statements as to their significance.
9. Finding of No Significant Impact (FONSI). If NPS, after reviewing the environmental assessment, determines that the proposed project will not have a significant effect on the quality of the human environment and that an EIS is therefore unnecessary, a Finding of No Significant Impact (FONSI) will be signed and included in the project file. See Exhibit 11-B at end of this Chapter.
10. Guideline to Determine when an Environmental Impact Statement Should be Prepared. NPS will require sufficient environmental data from the grantee to prepare an EIS on a proposed project deemed to be a major Federal action having a significant impact on the physical, biological, and/or socioeconomic environment of the project site and/or surrounding area. Cumulative impacts and/or subsequent actions must be considered in environmental data submitted.

The occurrence of one or more of the following factors indicates that an EIS may be needed:

- a. Marshes or wetlands, unique animal or plant ecosystems, lakes, streams, or marine areas are affected significantly.
 - b. The proposed HPF project would or might result in major natural or physical changes, including interrelated social and economic changes and residential and land use changes, within the project area or its immediate environs.
 - c. An archeological or historical site on or eligible for nomination to the National Register of Historic Places would be subjected to significant adverse effects by the proposed project.
 - d. Highly controversial issues involving the environmental effects of the project exist or are expected.
 - e. The project site contains threatened or endangered species of flora or fauna, significant mineral values, or a unique geologic formation.
 - f. Actions which foreclose other beneficial uses of mineral, agricultural, timber, water, energy, or transportation resources critical to the Nation's or a State's welfare.
11. Adoption of Previous Statement.
- a. In accordance with 40 CFR 1506.3, an EIS prepared for a Federal grant program not administered by NPS may be adopted by NPS if adequate to meet the requirements of a proposed HPF action. When another agency's statement is adopted, only the final statement must be circulated.

- b. An EIS previously prepared for the acquisition of land under a Land and Water Conservation Fund (L&WCF) grant, or other Federal actions, will satisfy section 102(2)(C) of NEPA for an HPF project provided that:
 - 1) the development is in accordance with the plans submitted with the acquisition project; and
 - 2) the EIS for the acquisition project adequately describes the environmental impacts of the facility to be developed and public use of the area.

12. Preparing and Processing an EIS.

- a. Policy. Each EIS shall be prepared in accordance with: (1) 40 CFR 1500-1508; (2) DOI Manual, 516 DM 4; and (3) NPS Environmental Guidelines, NPS-12. For any EIS prepared by a State agency with statewide jurisdiction under NEPA section 102(2)(D), the responsible NPS official shall actively furnish guidance and participate in the preparation of the EIS and shall independently evaluate the EIS prior to its approval and adoption.
- b. Notice of Intent. (40 CFR 1501.7 and 1508.22; 516 DM 2.3D).

After a decision is made to prepare an EIS, a Notice of Intent (NOI) will be published by NPS in the Federal Register and made available to the affected public--see 40 CFR 1506.6.

- c. Scoping Process. (40 CFR 1501.7; 516 DM 2.6).

Scoping is an early and open process to determine the scope of significant issues to be addressed in an EIS. An invitation to affected Federal, State, and local agencies and interested persons to participate in the scoping process should be included in the Notice of Intent.

- d. Format and Content of an EIS. The necessary in-depth environmental information and analysis must use the following format:
 - 1) Cover Sheet. (May be satisfied by SF 424).
 - 2) Summary.
 - 3) Table of Contents.
 - 4) Purpose of and need for the Action.
 - 5) Alternatives including the Proposed Action.
 - 6) Affected Environment.
 - 7) Environmental Consequences.
 - 8) Consultation and Coordination in the Development of the Proposal and in Preparation of the Environmental Impact Statement. (This section will contain the List of Agencies, Organizations, and Persons to Whom Copies of the Statement are sent.)
 - 9) Index.

10) Appendices (if any).

Each element of the format should contain the information called for in 40 CFR 1502.11 through 1502.18, 516 DM 4.6C, and NPS-12 (NEPA Handbook), plus appropriate maps/graphics of the area affected by the proposed action.

e. Final EIS.

- 1) The final EIS shall include a "Public and Other Agency Comment and Response Section." This section is an expansion of the Consultation/Coordination Chapter described in item 12(d)(8) above. All written comments on the Draft EIS from Federal and State agencies should be printed in full and not summarized, even if voluminous. All other substantive written comments should either be printed in the final EIS or summarized if exceptionally voluminous.
- 2) Distribution of the final EIS. At a minimum, a copy of the final EIS will be sent to each commenter and all Federal agencies that were sent the draft EIS. Ordinarily, no more than 500 copies of the final EIS need be printed. Copies of the EIS should be available for public inspection at NPS and other appropriate government offices and local libraries.
- 3) Comments on final EIS. Comments are not solicited on a final EIS. However, any comments received within 30 days of distributing a final EIS should be considered in deciding whether to approve an HPF grant or subgrant.

f. Record of Decision.

No decision on the proposed action may be made until 30 days after notice of the filing of the EIS is published by the U.S. Environmental Protection Agency in the Federal Register. The record of decision shall be in accord with 40 CFR 1505.2.

B. Floodplain and Wetlands Management.

1. Policy. All projects must comply with Executive Order 11988, Floodplain Management; Executive Order 11990, Protection of Wetlands; the U.S. Water Resources Council's Floodplain Management Guidelines for Implementing Executive Order 11988 (43 CFR 6030); DOI Floodplain and Wetland Guidelines (520 DM), and NPS Floodplain and Wetlands Guidelines.

The objectives of the Executive Orders and of the procedures detailed in this Chapter are to avoid to the extent possible the long and short term adverse impacts associated with the occupancy and modification of floodplains and wetlands, and to avoid direct or indirect support of development of floodplains and wetlands wherever there is a practicable alternative. Where floodplains or wetlands cannot be avoided, these procedures will focus on mitigation of the adverse effects of any action. In the context of the Orders, mitigation means to:

- a. Design or modify actions so as to minimize harm to life, property, and natural values;

- b. Minimize destruction, loss or degradation of wetlands;
- c. Restore and preserve natural and beneficial floodplain values; and
- d. Preserve and enhance natural and beneficial floodplain values.

Direct or indirect funding of floodplain development or construction in wetlands should be avoided when practical alternatives exist. When activities or projects funded with assistance from an HPF grant must be carried out in floodplain or in wetlands because no practical alternatives exist, the work must be done in conformance with the requirements of Section 7.C of the NPS Floodplain/Wetlands Protection Guidelines.

2. Policy on Cultural Resources located in Floodplains or Wetlands. As part of its congressional mandate, the National Park Service preserves and interprets cultural resources possessing historical, archeological, architectural, engineering and cultural significance included on, or eligible for inclusion on, the National Register of Historic Places. In general, it is NPS policy that cultural resources located in floodplains will be managed to assure their in-place preservation. Flood roofing measures taken to protect the cultural property or site from the hydraulic or erosive forces of flooding will be designed so as not to adversely affect the historic integrity of the structure or site. When a cultural site or structure does not have the significance to merit action sufficient to ensure its preservation from flood loss, an appropriate level of study and an appropriate treatment plan will be prepared and implemented whenever possible.
3. Decision-Making Process. These guidelines require that a sequential analysis be implemented that includes the following steps:
 - a. Determine if the Proposed Action is in, or could affect, a Floodplain or Wetland.
 - 1) Determine if the action is in the Base Floodplain by consulting Flood Insurance Rate Maps or Flood Hazard Boundary Maps. Grantees may contact the National Flood Insurance Program of the Federal Insurance Administration of the Federal Emergency Management Agency to obtain a flood map of their locality (call 800-638-6620). If no maps are available, consult the appropriate NPS Environmental Coordinator, or assume that the action may be in the base floodplain and begin compliance with the Executive Orders, or obtain the services of a licensed consulting hydrologist or engineer who is qualified to determine whether the action is located in the floodplain;
 - 2) Determine if the proposed action is in a Wetland by consulting with the responsible field office of the U.S. Fish and Wildlife Service to obtain a National Wetland Inventory Map. If there is no such map, the grantee should consult the wetland inventories maintained by the U.S. Corps of Engineers, the U.S. Environmental Protection Agency, the National Oceanic and Atmospheric Administration (U.S. Department of Commerce), and NPS.
 - b. Public Review. See Section B.6. below.
 - c. Variations. For purposes of floodplain management and compliance with Executive Orders 11988 and 11990, note that 44 CFR 60.6 stipulates procedures whereby a community may issue a variance to its floodplain management regulations for the reconstruction, rehabilitation, or restoration of structures listed on the National Register of Historic Places or on a State Inventory of Historic Places. Issuance of such a variance allows a building permit to be issued and flood insurance to be purchased (although often at increased premium rates). Documentation of such a variance must be submitted to NPS with the HPF grant application and the Environmental Assessment.
4. Environmental Assessment--Floodplain/Wetland Areas. Grant proposals for projects which lie in floodplain or wetland areas normally require preparation of an environmental assessment. The assessment must include the following:
 - a. Need for the proposal, including an explanation of why the proposed action in the floodplain or wetland is to be taken;
 - b. The extent of the direct and indirect support of floodplain and wetlands development;

- c. Measures to be taken to minimize harm to lives and property and the natural and beneficial floodplain values and to restore and preserve these values served by floodplains and wetlands;
 - d. Alternative actions (including no action, and renovation of eligible facilities at alternative sites) are to be considered;
 - e. Assurance that all Federal, State, and local floodplains/wetlands regulations and standards are being met;
 - f. A location map delineating the floodplain or wetlands;
 - g. The environmental impacts of the proposed action and alternatives; and
 - h. A listing of persons and agencies consulted.
5. Statement of Findings. When the proposed action involves adverse impacts to floodplain or wetland areas, the environmental documents will be coupled with a separately identifiable Statement of Findings not to exceed three pages documenting the rationale for the determination that there is no practicable alternative location. The Statement of Findings shall conform with the requirements promulgated in Sections 6.C.3.c. and 6.C.6. of the NPS Floodplain/Wetlands Protection Guidelines, and must provide the following information:

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