

## 2004 California CLG Grants Manual

Prepared by the  
Office of Historic Preservation

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For online information about the Office of Historic Preservation  
or the  
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## ADMINISTRATIVE INFORMATION

### Administration

Grants will be administered in accordance with the *National Park Service Historic Preservation Fund Grant Manual*, October 1997; Office of Management and Budget Circulars A-87, A-122, A-102, or A-128; and this manual.

### Grant Period

Work to be funded must be performed within the grant period, 1 October 2004 to 30 September 2005. If selected, project planning, including drafting the RFP, may begin before your grant is awarded and a project agreement signed, **however**, you cannot be reimbursed for costs incurred before 1 October 2004.

### Application Package

The grant application form is included in this booklet and available online as a separate electronic document. A sample CLG Grant application is included in the appendices as a model for well-prepared, concise, and successful applications.

A complete application package consists of **3 sets** of the following documents:

- Grant Application Checklist
- Application Form with an original signature (one original and two copies of the form must be included in the package)
- CLG's Preservation Plan
- Résumés
- Signed certification forms (**One set must have original signatures; the other two may be copies.**)
- Any applicable maps, photographs, significance statements required for survey and National Register or California Register nomination grant applications (see "What Will Be Funded" section)

**APPLICATIONS MUST BE RECEIVED BY *CLOSE OF BUSINESS*  
Monday, 3 May 2004**

**Postmarks are not acceptable.**

OHP will not accept facsimile (FAX) or electronic mail submissions.

**Incomplete application packages will not be reviewed.**

Deliver **3 copies** of the application to:

Or by mail to:

Office of Historic Preservation  
Local Government Unit  
ATTN: Lucinda Woodward  
1416 9<sup>th</sup> Street, Room 1442-7  
Sacramento CA 95814

Office of Historic Preservation  
Local Government Unit  
ATTN: Lucinda Woodward  
P.O. Box 942896  
Sacramento CA 94296-0001

## STAFF CONTACTS

**Need Help?** OHP staff members are available to discuss your grant proposals. The following staff names, area of expertise, and their telephone numbers and email addresses are provided for your convenience:

Archeological Preservation Plans Michael McGuirt (916) 653-8920  
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## WHO MAY APPLY?

**Only local governments that have been certified by the grant deadline, 1 May 2004 are eligible to compete.** In addition, applicants must have completed their 2003 annual end-of-year reports, due in the Office of Historic Preservation by 1 March 2004. Past performance will affect applicants' competitiveness.

- A CLG may submit more than one grant application; however a separate application must be submitted for each proposed project.
- Two or more CLGs may collaboratively propose a project that benefits more than a single CLG. This would enable the participating CLGs to leverage limited financial (cash and in-kind match) and staff resources and may, under certain circumstances, make it possible to exceed the \$25,000 cap on single grants. One CLG must be designated as the lead agency for the purposes of the grant.

## HOW MUCH MONEY IS AVAILABLE?

The Office of Historic Preservation (OHP) distributes at least 10% of its annual Federal Historic Preservation Fund (HPF) allocation to Certified Local Governments (CLGs) through the competitive CLG grant program. As of the publication date of this guide, the federal government had not approved the 2004-2005 Heritage Preservation Fund (HPF) appropriation. The exact amount of money that will be available for CLG grants will be contingent on the amount the State of California receives from the Federal Government. OHP anticipates that approximately \$100,000 will be available to fund grants for CLG projects in amounts from \$2,500 - \$25,000.

## HOW ARE GRANT RECIPIENTS SELECTED?

Grants are awarded to CLGs on a competitive basis through a review process which considers the proposed scope of work, the plan to administer the project, and the budget. Bonus points may be awarded for projects that address ethnic and cultural diversity or cultural resources of the recent past.

The State Historic Preservation Officer (SHPO) will convene an application review committee made up of both fiscal and program staff from the OHP. The committee will rank applications in order of their scores and recommend to the SHPO awarding grants for the highest ranked applications. The SHPO will seek the concurrence of the chair of the State Historic Resources Commission. The chair reports the results of the grants selection at the next regular commission meeting.

***NOTE:*** In recent years, OHP has awarded grants to CLGs who subsequently requested a reduction in the scope of work because the consultants who responded to the RFPs were unwilling to complete the project for the allotted amount of money. Because this action could be interpreted by federal auditors as a fraudulent act to secure a grant under false pretenses, it is critical that applicants determine realistic costs for the proposed projects before submitting a grant application.

## WHAT WILL BE FUNDED?

- [Preservation Plans](#)
- [Ordinance Revisions](#)
- [Architectural, Historical and Archeological Surveys and Resurveys](#)
- [District Nominations to the National Register of Historic Places](#)
- [Archaeological Preservation Plans](#)
- [Training Programs](#)
- [Historic Structure Reports](#)
- [Information Technology Projects](#)
- [Web Page Development](#)

### **Consistency with Preservation Plans/Elements**

OHP will give priority to proposals that demonstrate a progression of activities consistent with the CLG's preservation plan or element. CLGs without a preservation plan or preservation element in its General Plan should consider developing such a plan in this year's grant application process.

### **Bonus Points**

This year OHP is encouraging projects that recognize and address the cultural and ethnic diversity of the community OR recognize and address the need to identify and preserve cultural resources of the recent past.

***Cultural and Ethnic Diversity:*** California is an ethnically and culturally diverse community. In the *Comprehensive Statewide Historic Preservation Plan for California 2000-2005* (May 2001), OHP identified the preservation and stewardship of cultural resources among a diversified state population representing all levels of the socio-economic spectrum as a shared goal among Californians.

- For example, if your community's African-American population expanded because of an influx of labor to meet World War II shipbuilding demands, you may want to nominate an associated residential or commercial neighborhood to the National Register or California Register.
- Or, if you are part of an agricultural community, you may want to survey properties associated historically with particular ethnic groups that have made up the farm labor population.
- Do you have a building historically associated with an ethnic community, such as a Portuguese Hall, that needs a historic structure report? Ethnic context studies may develop from extant surveys, or in other cases, may lead to new survey efforts.
- Oral history interviews are particularly useful for gathering information about ethnic communities and properties.

***Resources of the Recent Past:*** When the mid 20<sup>th</sup> century turned fifty years old, a vast new landscape of property types opened up for consideration as potentially significant historic resources, represented in both high design and the vernacular

and crossing all property types. Dating from the 1920s to the mid-1970s, these resources include: auto and roadside related properties, subdivision and tract housing, cold war properties, modern landscape design, corporate and public architecture.

California's cultural resources of the recent past are threatened because they are not widely recognized as historical resources nor is their importance in California's architectural, historical, or cultural history well understood by the general population. In the *Comprehensive Statewide Historic Preservation Plan for California 2000-2005* (May 2001), OHP cited the identification and evaluation of newer and more diverse resources as a critical issue and a formidable challenge. The State Historical Resources Commission has established a Modern Committee to focus attention on the importance of resources derived from the recent past. OHP will give bonus points to proposed projects that promote the identification and preservation of historically and architecturally important resources from the mid-century, such as **context studies, surveys, nominations, and historic structure reports.**

- For example, if the impact of the recent past on your community's built environment is not clearly understood, context studies are a good first step to identify important themes and property types.
- If earlier surveys in your community excluded mid-century properties, you may want to conduct a survey of properties from the recent past, say from 1940-1965. If significant concentrations of mid-century properties exist as residential or commercial districts, you may want to nominate them to the National Register or the California Register.
- If your community has an important mid-century property, neglected and damaged, an Historic Structure Report is an excellent preservation management tool.

## **Preservation Plans**

**OHP will consider applications for projects which will result in preparing and adopting a new preservation plan or revising and updating an existing one.** Given the CLG's important role in meeting both statewide and local historic preservation needs, OHP recommends that every CLG have a workable preservation plan or a preservation element in its General Plan.

Historic preservation takes place within the broader context of overall community planning and development. Historic preservation programs and projects that are coordinated with other community programs and activities, including planning procedures and project approval decision making, are the most effective. Historic preservation plans can be stand-alone or they can be an element of the community's general plan.

An important part of any preservation plan is community involvement in its preparation and development. This is an opportunity for the community to develop consensus about its historic preservation program.

Ten components a preservation plan should have:

- Statement of historic and/or archeological preservation goals in the community and the purpose of preservation.
- Definition of the historic and/or archeological character of the community. Are there one or more historic contexts that are important in the development of your community?
- Summary of past and current efforts to preserve the community's character.
- A survey of historic and archeological resources in the community or a definition of the type of survey that should be conducted in communities that have not yet completed a survey.
- Explanation of the legal basis for protection of historic and archeological resources in the community.
- Statement of the relationship between historic and archeological resources preservation and other local land-use and growth management authorities, such as the zoning ordinance.
- Statement of the public sector's responsibilities toward city or county owned historic and archeological resources and for ensuring that public actions do not adversely affect those resources.
- Statement of incentives that are, or should be, available to assist in the preservation of the community's historic and archeological resources.
- Statement of the relationship between historic preservation and the community's educational system and program.
- A precise statement of goals and policies, including a specific agenda for future action to accomplish these goals.

**NOTE:** *The above elements are taken from [Preparing a Historic Preservation Plan](#) by Bradford J. White and Richard J. Roddewig, available from American Planning Association, 122 S. Michigan Ave., Suite 1600, Chicago IL 60603; (312) 786-6344, or online at [www.planning.org](http://www.planning.org). Another useful source is [Innovative Tools for Historic Preservation](#) by Marya Morris, available from Preservation Books, National Trust for Historic Preservation, 1785 Massachusetts Avenue N. W., Washington, D. C. 20036; (202) 588-6296, or online at [www.preservationbooks.org/](http://www.preservationbooks.org/)*

### **Ordinance Revisions**

**OHP will consider CLG grant applications for projects that address one or a combination of the following:**

- **revision of existing ordinances,**
- **drafting of new ordinances,**
- **ordinance-related code revisions,**
- **historical zoning amendments,**
- **public outreach and participation programs related to the adoption of a revised ordinance.**

The preservation ordinance provides the legal basis for a local jurisdiction's historic preservation program. All CLGs are required to have an ordinance in place that meets

certain minimum requirements specified in the CLG *Application and Procedures* (available online at [www.ohp.parks.ca.gov/default.asp?page\\_id=21239](http://www.ohp.parks.ca.gov/default.asp?page_id=21239)).

Many CLGs have local ordinances that are ten or more years old. These ordinances often do not address pressing preservation issues within the local community, and are based on designation and review definitions and procedures that are no longer consistent with current law and good preservation practice. This is particularly true since 1992 when the passage of the California Register of Historical Resources established definitions, criteria, and procedures that apply to locally designated and identified resources. In addition, many extant ordinances do not address all resource types, including buildings, sites objects, structures, historic districts, prehistoric and historic archeological properties, cultural landscapes, and traditional cultural properties.

Grant applications to update or revise local preservation ordinances should clearly address the following questions:

- How old is the existing ordinance?
- How is it inadequate?
- What portions of the ordinance will be addressed in a revision (e.g., commission powers and duties, commission size and composition, demolition provisions, etc.)?
- How will these changes address preservation needs and/or issues within the community?
- Does the revision of the ordinance require revision to other sections of the Municipal Code (e.g., zoning provisions, building code requirements, dangerous building provisions, etc)? If yes, will these revisions be undertaken simultaneously or at a later time?
- How will the revision of the ordinance be accomplished (will it be revised in-house by planning staff; drafted by City Attorney/County Counsel, or will a consultant be hired)?
- What is the final product (a draft ordinance, an adopted ordinance)?
- Is there support from the appropriate decision-making bodies and/or officials?
- Is there a plan or program for community outreach and public participation in the revision and adoption process?

**NOTE:** Information about and examples of local ordinances is available on OHP's web page at [http://www.ohp.parks.ca.gov/default.asp?page\\_id=1243](http://www.ohp.parks.ca.gov/default.asp?page_id=1243). The print version of OHP's *Technical Assistance Bulletin 14 Local Preservation Ordinances* includes the *American Planning Association's Report #34: Preparing a Historic Preservation Ordinance* by Richard J. Roddewig. You may request a copy from OHP. A copy of "Local Preservation Ordinances," by Constance Epton Beaumont is included in the appendices.

## Architectural, Historical and Archeological Surveys and Resurveys

OHP expects that historic contexts will be developed prior to or in conjunction with survey projects proposed for funding in the CLG grant program.

- **Historic context statements** provide the basis for understanding, identifying, and evaluating historic resources and are a necessary part of survey work. Based on one or more themes, a geographical area, and periods of significance, context statements describe the broad patterns of historical development of a community or region that are represented by the built environment. Historic contexts may be based on the physical development and character of a community or region, trends and major events, or important individuals and groups associated with the history and prehistory of the survey area. An initial context statement should be developed during the early stages of survey planning in order to utilize cost-effective survey methods that will result in the identification of significant resources. More refined and elaborate contexts may be developed in conjunction with an ongoing survey, or as a separate activity as a phase of the survey process.
- **Surveys** provide information a community needs to help identify and evaluate historical resources, prioritize preservation goals and objectives, develop and implement land use policies, perform environmental reviews pursuant to CEQA, develop heritage tourism initiatives and programs such as walking tours and publications—even videos—which will educate the public and increase the understanding of, and appreciation for, the built environment as a tangible reminder of the community's history. A survey might also assist in the identification of resources worthy of further recognition at the local, state or federal level, e.g. local inventories and registers, the California Register, the National Register, etc., as well as properties potentially eligible for tax benefits or other preservation incentives.

Applications for survey projects must identify whether the survey will be a reconnaissance or an intensive level survey and the approximate acreage to be surveyed. A map of the proposed area to be surveyed must be included with application.

- **Reconnaissance** surveys are a first step to *identify* the location and types of historic properties and where to focus intensive level survey efforts.
- **Intensive** surveys provide sufficient information to *evaluate* the significance of historical resources.
- **Oral histories** are often the only way to document community or neighborhood histories that are not identified through standard public records, but are richly represented in the memories of the people and their associated cultural values. An oral history project may be performed as follow-up to a completed survey project, or as a component of an ongoing survey activity. Projects should be structured so that the data gathered is as relevant as possible to the survey's goals and objectives, while not so vast as to overwhelm the survey effort.

## When determining a community's survey needs it is important to consider:

- How much is currently known about the existing historical resources? If very little is known, it is best to prepare a historic context statement and conduct a reconnaissance survey to get a general idea of the kinds of historic property types are present and where they are located. An intensive survey, the next logical step in the survey process, documents individual resources in greater detail and provides the level of information sufficient to evaluate significance.
- Are there specific property types that are threatened in the community? A thematic survey may focus on resource types facing the greatest potential for loss as the result of development efforts, neglect, vandalism or other disturbances. Such resource types might include gas stations, libraries, schools, coffee shops, barns or other agriculturally related structures, or unique property types associated with a particular community's historic development.
- Local surveys are planning tools which, ideally, should continue to enlarge and expand on previously gathered information. While an existing survey over five years old can provide valuable information, it is appropriate to update the survey to ensure that local planning and preservation decisions are based on the most current information available. (Remember: the statute creating the California Register requires surveys over five years old to be updated prior to nomination to ensure the accuracy of the data under consideration.)
- Surveys should be updated regularly to consider properties that may have achieved significance since the survey was originally conducted and to incorporate resources that were initially overlooked. Updating an existing survey offers an opportunity to identify and document physical changes that have occurred to a property and its surroundings since the last survey, and to identify sites where historic properties have since been moved or demolished. Finally, it allows for the application of broader historic themes and contexts above and beyond architectural values—often the only criteria considered for significance in older surveys—when reevaluating properties.
- The presence of potential historic districts which may be eligible for national, state or local designation or may warrant special consideration in local planning such as the development of design guidelines, historical preservation overlay zones (HPOZs), conservation zones, or review by a historic preservation commission prior to granting permits for demolitions or other actions which could alter or destroy district contributors.

**NOTE:** All surveys must be prepared according to *National Register Bulletin 24: Guidelines for Local Surveys: A Basis for Preservation Planning*, available at <http://www.cr.nps.gov/nr/publications/bulletins/nrb24/> and *Instructions for Recording Historical Resources* available from OHP or online at [http://www.ohp.parks.ca.gov/default.asp?page\\_id=1069](http://www.ohp.parks.ca.gov/default.asp?page_id=1069). Survey data will be incorporated into the statewide inventory maintained by OHP.

## **District Nominations to the National Register of Historic Places**

OHP will consider funding *only* the nomination and registration of historic districts which have been previously identified in surveys that have been incorporated into the California Historic Resources Inventory System. This reinforces the sequence of events outlined in *Archeology and Historic Preservation: Secretary of the Interior's Standards and Guidelines*, i.e., that registration of historic districts should follow a survey.

- The National Register plays a vital role in historic preservation: for the honor and measure of protection it bestows; as a planning tool; as a basis for tax act certification and economic revitalization; and as a research tool. OHP encourages the listing of all properties that meet the National Register eligibility criteria. However, some properties may benefit more than other properties from listing at a particular time. OHP prefers to fund nominations for properties that will benefit the most from designation and that benefit the most resources.

**When determining what resources to nominate it is important to consider the following:**

- Do property owners support designating their property? If they do not, what is the reason for the nomination? The nomination process should be an educational experience for property owners who will see the value in having their property listed. If owners are not in support of the designation, there should be a compelling reason for preparing the nomination.
- What are the community-wide benefits to nominating this property? OHP is seeking to fund nominations that will bring the greatest benefit to the most properties and to the community as a whole. Nominations should build community consciousness raising about the value of historic preservation, designate threatened or multi-resource properties, and/or allow for tax credits and other preservation benefits. For these reasons, OHP prefers to fund district nominations over nominations of individual properties.

**NOTE:** All National Register applications must be prepared according to National Register Bulletin 16A: *How to Complete the National Register Registration Form* **and** National Register Bulletin 15: *How to Apply the National Register Criteria for Evaluation*. Applications and technical materials are available from the OHP and at <http://www.cr.nps.gov/nr/publications/bulletins.htm>.

## **Archaeological Preservation Plans**

OHP encourages local governments to develop and implement archaeological preservation plans. Archaeological resources offer tangible links to the community's shared heritage and play a valuable role in enriching the daily experience of the community. The development and implementation of an archaeological preservation plan enables a community to better coordinate its efforts to manage the diverse values of its archaeological resources and optimize its ability to comply with local, state, and federal environmental regulations in timely and cost efficient ways. Information about

archaeological resources can be an important component in developing or enhancing a community's heritage tourism program, enabling a community to realize real fiscal dividends from its archaeological resource base while enriching the understanding and appreciation of its heritage

Elements of the landscape in every community, archaeological resources include the ancient prehistoric material remains of Native American life that predate the modern establishment of a community as well as the historic material remains of each different phase of a community's development. Accumulations of such remains are typically found as inconspicuous deposits beneath the streets, sidewalks, buildings, and landscaping of a community's commercial and residential districts, and in a community's open spaces.

Archaeological preservation plans should include four primary elements:

- An **historic context** which identifies and describes the thematic and chronological periods of the history of the area prior to the establishment of the community and the history of the community's establishment and development.
- An **inventory** of archaeological resources which identifies known archaeological resources in the community and areas in the community where archaeological resources are likely to be present. Historic context information can be joined with data derived from previous archaeological research in the community to develop a predictive model of archaeological resource types and locations. Subsequent fieldwork should test and refine the model, and the model should then become the basis for the community's initial inventory.
- **Significance criteria** based on the ability of the different archaeological resource types in the community's inventory to convey values that the community defines as significant on the local level as well as those values that the State of California and the United States define as significant.
- **Protection measures** that guide the treatment of the community's significant resources by balancing preservation and development needs. Protection measures may include but not be limited to the following:
  - Survey and evaluation plan to facilitate the identification of significant archaeological resources in the portions of a community where such resources are thought likely to be present but in which no survey work has been done;
  - A program to recognize significant individual archaeological resources and significant archaeological districts through local, state or national register designations;
  - Custom treatment plans to more efficiently manage individual resources and significant archaeological districts in complex regulatory contexts;
  - A protocol for the establishment of archaeological mitigation banks for regulatory consultation;
  - Protocols for the inadvertent discovery of human remains and other potentially significant archaeological resources; and

- A plan to interpret the results of a community's preservation effort and to make such interpretation readily available to the public.

Such plans can be effective vehicles for protection of local archeological sites that contain otherwise unobtainable information about the community's past and can contribute much to the community's understanding of itself. Preservation planning for archeology, as with other aspects of historic preservation, is most successful when done pro-actively, rather than through regulatory review of proposed construction projects.

**NOTE:** *Archeological Assistance Technical Briefs are available from the National Park Service's Archeology and Ethnography Program at <http://www.cr.nps.gov/aad/aepubs.htm>. Archeological surveys must be carried out in accordance with National Register Bulletin 24: Guidelines for Local Surveys: A Basis for Preservation Planning, found at <http://www.cr.nps.gov/nr/publications/bulletins.htm>. or by contacting the OHP. Other useful sources include Susan L. Henry, *Protecting Archeological Sites on Private Lands* (Washington, D. C.: U. S. Department of the Interior, National Park Service, 1993); and Thomas F. King, *The Archeological Survey: Methods and Uses* (Washington, D. C., U. S. Department of the Interior, Interagency Archeological Services, 1978) [available through the Superintendent of Documents, U. S. Government Printing Office, Washington, D. C. 20402; GPO stock number 024-106-00091].*

## **Training Programs**

**OHP will consider funding the development of training programs that will benefit a wider audience than just a single historic preservation commission.** OHP will not consider proposals seeking funds to cover the travel or registration costs for staff or commissioners to attend training programs.

Grant applications for training programs must demonstrate how the proposed program links a critical need or issue to the progression of activities outlined in the preservation plan/element in a way that is both innovative and cost-effective.

- For example, a CLG could develop and present a historic preservation workshop to a regional audience. Or, two or more smaller CLGs that have minimal staff support might consider hiring a circuit rider to assist in preservation planning and implementation. (In this case, one CLG must be designated the lead agency for purposes of the grant.)

## **Historic Structure Reports**

Through its preservation planning efforts, a local government may identify a property that needs special consideration in its treatment--perhaps missing features need to be fabricated or a later addition needs to be removed. In such instances, a historic structure report is the appropriate document to provide a project architect with the information needed to make appropriate decisions about restoring or removing fabric, and on the period of restoration.

It is important to include in the grant application proposal information about the current status of the property and the need for a historic structure report.

- What is the historical or architectural significance of the property?
- Was it included in a survey?
- How has the property been designated, e.g., local designation, National Register of Historic Places, California Register of Historical Resources, California Historical Landmark, Point of Historical Interest?
- Who is the owner of the property?
- Does the public use the property?
- What are the foreseeable uses of the property?
- Are there threats to the property?
- Under the ordinance, what jurisdiction does the local government have over the property?

At a minimum, the Historic Structures Report should do the following:

- Provide a thorough description of the present condition of the property;
- Detail the property's architectural or structural history, including its original appearance;
- Identify changes that have been made and when;
- Explain the property's historic significance;
- Provide a coded hierarchy of exterior facades and interior spaces, including all character-defining features;
- Identify any associated archeological concerns; and
- Recommend stabilization, maintenance, restoration or rehabilitation plans, as indicated.

**NOTE:** A suggested Historic Structure Report Format is included in the appendices. Proposed work must conform to The Secretary of the Interior's Standards for the Treatment of Historic Properties, located at <http://www2.cr.nps.gov/tps/standguide/index.htm> .

### **Information Technology**

**OHP will consider CLG grant application for projects that involve the innovative application of technology to historic preservation.** However, CLG grant funds cannot be used for equipment or software purchases.

### **Web Page Development**

**OHP encourages all local governments to make information about their historic preservation programs available online.** Historic preservation program web pages must be part of the official web page of the local government. Web pages are a valuable method for local governments to educate and inform the public about their community's historic resources and programs by including the following kinds of information:

- Names and contacts for both historic preservation staff and commissioners
- Historic preservation plan for the community
- A summary of the approval process for projects that involve historic properties

- Historic preservation ordinance
- Locally designated properties
- Properties in local inventories
- Meeting notices
- Publications
- Financial incentives, including information about funding sources in the community, such as CDBG funds, that can be linked to historic preservation programs
- How to apply for Mills Act benefits
- Links to historic preservation agencies and organizations including the OHP, the National Park Service, the California Preservation Foundation, and the National Trust for Historic Preservation

## **WHAT WILL NOT BE FUNDED?**

**Due to limited funds, OHP will not fund proposals for the following types of projects:**

- Construction of buildings and structures
- Restoration, rehabilitation, or stabilization of buildings and structures
- Acquisition of historic properties
- Interpretive displays
- Purchase of computers or other equipment
- National Register nominations for individual properties
- Travel or registration costs for staff or commissioner training.

## **WHAT ARE THE SELECTION CRITERIA?**

Each application will be reviewed and scored by two reviewers, one a fiscal reviewer and one a program reviewer using the following criteria: A copy of the "Grant Application Score Sheet" used by OHP reviewers is included in the appendix to this manual.

### **Project Scope (60 Points)**

- Project purpose and objectives are clearly described and consistent with the types of projects described in the manual under the section "What Will Be Funded?". (20 points)
- Activities to be carried out under grant are clearly described and linked to purpose and objective of grant. (20 points)
- Relationship of the proposed project to defined preservation needs or issues in the local community is clearly and adequately described. (20 points)

### **Administration (25 Points)**

- Personnel and methods to be utilized are clearly described and appropriate for achieving project objectives. (20 points)
- Time schedule is realistic and achievable. (5 points)

### **Budget (15 Points)**

- Budget is reasonable to accomplish project major tasks and activities. (5 points)
- Budget items are necessary to accomplish project activities. (5 points)
- Budget is sufficiently detailed to show basis for cost items. (5 points)

### **Bonus Points (10 Points)**

As previously noted in the “What Will Be Funded?” section, up to 10 extra points will be awarded for projects that address ethnic and cultural diversity or resources of the recent past. Application must clearly state that you are applying for bonus points and **why the project merits bonus points.**

### **Penalty Points (10 Points)**

How well the CLG has met previous CLG grant contractual deadlines and terms, submitted annual end-of-year reports by announced deadlines, and complied with both National Park Service and California Office of Historic Preservation CLG requirements and procedures within the past three years will be taken into consideration. At OHP's discretion, up to 10 points may be *deducted*, based on past performance.

## **IMPORTANT INFORMATION**

### **Conformance with Secretary of the Interior's Standards**

**All projects must conform to the applicable sections of *Archeology and Historic Preservation: Secretary of the Interior's Standards and Guidelines*, including standards for**

- **planning,**
- **identification,**
- **evaluation,**
- **registration,**
- **documentation: historical, archaeological, architectural, engineering**
- **historic preservation projects,**
- **professional qualifications**

as published in the Federal Register, September 29, 1983, Vol. 48, No. 190, pp. 44715-44742. (Copy included in appendix; available online at [http://www.cr.nps.gov/local-law/arch\\_stnds\\_0.htm](http://www.cr.nps.gov/local-law/arch_stnds_0.htm))

### **Local Government Approvals**

Because many communities require the approval of city councils or other local government officials to receive grants or contract for services, OHP recommends that grant applicants consult the appropriate individuals during the planning process and, when possible, obtain the necessary approvals prior to submitting the grant application. OHP also strongly recommends that the grant writer/applicant consult with local planning staff and members of the local preservation commission to gain input and support for the proposed project.

An authorized representative for the local government must sign original application. This should be the person who is legally responsible for executing all documents including the contract which assures a matching share, e.g., Director of Planning,

### **Grantee Obligations**

Grant recipients will be required to execute a binding agreement. The full text of the terms of the agreement is in the appendix of this manual. Applicants should read and understand the agreement before submitting a grant application. Highlights of the agreement provisions include:

- Failure of the Participant to make satisfactory progress or complete the project within the specified period may result in withdrawal of funds.
- Both the State and the Participant may unilaterally terminate the agreement prior to expenditure of funds.
- If Participant fails to comply with the terms of the contract, the State may give 30 day notice to comply. Failure to comply can result in one or more of the following:
  - Withholding of funds until deficiency is removed;
  - State may administer the project in which case the Participant will reimburse the State for costs and expenses incurred;
  - Termination of the agreement with no further payments to be made;
  - State may disallow costs;
  - Participant may be disqualified from receiving further grants.
- The State shall not be obligated to provide federal funds for work products that, in the opinion of the State, do not conform to the terms of this agreement or to the applicable Secretary of the Interior's Standards.
- Principal Investigators or expert practitioners are required to meet the Secretary of the Interior's professional qualification standards.
- The State must review and approve of the RFP before it is distributed.
- After selection of an employee or contractor to perform professional work but before making any financial commitment to that person, the Participant shall submit the person's resume to the State for review. The State shall either approve or disapprove use of the person on the project within twenty (20) working days after receipt of the resume.

- Work on the project is to begin within 30 days of executing the agreement between the State and the Participant.
- Participant shall make available to the State draft reports, studies, plans, drawings, or other preliminary documents prepared during the project.
- Participant shall submit progress reports and interim work products as scheduled.
- The Participant shall obtain from the State prior approval for: (a) any substantive revision of the scope, objectives, or budget of the project; (b) changes in key persons, including all persons filling positions for which the incumbent must meet the Secretary of the Interior's professional qualifications standards; (c) additional contracts or hiring to perform activities that are central to the project; and (d) new or revised performance or reporting milestones.

## **CREATING A BUDGET**

Grants will be matched on a 60% Federal/40% applicant basis. Other than Community Development Block Grant (CDBG) and revenue sharing funds, no Federal funds may constitute the 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. **Call OHP if you have questions about the value of volunteered services.**

- All matching share must contribute to the implementation of the undertaking being proposed. For example, not all of the commission or staff's time can be counted--only the time necessary for carrying out the proposed grant activity.
- Unless a volunteer meets the Secretary of the Interior's profession qualification standards for historian, architectural historian, architect, historic architect, or archaeologist, the volunteer's time is figured at minimum wage. For example, a medical doctor with no historical training would still be allowed only minimum wage for work on the grant project.

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!

**Grant recipients will use the volunteer time sheet form provided in the appendix.** Payroll printouts (highlighted for easy OHP interpretation) are acceptable documentation for paid staff time.

**Volunteers:** Typical volunteer work includes field survey, historic and architectural research, photography, mapping, typing, and bookkeeping. 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. Documentation in the form of time sheets or payroll vouchers must be kept for

submittal with billings. Federal rules allow a maximum salary of \$76.50 per hour, excluding benefits.

**Office Space:** Project work area, full-time coordinator's office, workshop-meeting rooms, or darkroom space. 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 Consultation Services:** Historians, architectural historians, architects, photographers, cartographer, and archeologists. This is comparable to the market value in your community (see above comments on volunteer time recordation).

**Donated Equipment and Materials:** Includes such items as expendable equipment, office supplies, laboratory 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 rate guide for California below), and printing costs such as duplication, manuals, instructions, maps and guides. (This donation does not include elaborate publications.)

**Indirect Costs:** May be used ONLY if a copy of the rate agreement letter by the cognizant federal agency accompanies the application.

EXAMPLE: Source of Non-Federal Match

1.	Donor:	City/County	2.	Donor:	
	City/County				
	Source:	General Fund		Source:	Volunteers
	Kind:	Employee Wages		Kind:	In-Kind
	Amount:	\$1,680.00		Amount:	\$3,500

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.

Example:

Historian (1) 80 hrs @ \$21/hr\* = \$1,680.00 (State explicitly how hours will be used.) \*For purposes of this example, a typical hourly pay rate for City Historians

Volunteers

Example:

Architects (3) 12 hrs ea @ \$50/hr\*\* = \$1,800.00 (State explicitly how hours will be used.) Three architects who serve on the preservation commission, contributing one hour a month for one year.

\*\* For purposes of this example, a typical hourly pay rate for architects

Example:

Volunteer with BA in History (1) 40 hrs @ \$20/hr = \$800.00 (State explicitly how hours will be used.)

Volunteer with no experience (1) 40 hrs @ \$6.75\*/hr = \$270.00 (State explicitly how hours will be used.) \* minimum wage

Volunteer with 2 years college, History major (1) 40 hrs @ \$9.00/hr = \$360.00 (State explicitly how hours will be used.) \* state student rate

Show method of determining pay rate for volunteers. If a volunteer working on a survey project does not meet the Secretary of the Interior's professional qualifications standards, the minimum wage rate per hour must be used.

**Include with your grant application résumés showing experience and education for everyone who will be expected to work on the grant project throughout the year.**

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

***NOTE: At the time of printing, the Federal Government had not yet established the maximum hourly rate for 2004-2005. Unless notified otherwise, salaries may not exceed \$76.50 per hour; mileage may not exceed \$.375 per mile (neither grant nor non-Federal match). Benefits, such as Social Security or retirement, health care, vacation, etc., should be separated out.***

### **Compensation for Consultants and Contract Services**

**Consultants must be selected through a Request for Proposal process.** All contracts for consultants or other services such as printing or facilities, costing \$5000 or more require a competitive bid process with three or more bids. A Competitive Negotiation and Small Purchases Contracting Documentation form is provided in the appendix for documenting this process.

**OHP must review and approve the RFP before it is distributed and approve the consultant selection *BEFORE* the contract is executed.**

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 \$76.50 per hour, \$612 per day, or \$159,120 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 to assure a product for the funds available.**

**NOTE:** The CLG Grant Application Checklist, Application Form, Certification Forms, Volunteer or Donated Labor Timesheet, and the Competitive Negotiation and Small Purchases Contracting Forms are available online at [www.ohp.parks.ca.gov/default.asp?page\\_id=21239](http://www.ohp.parks.ca.gov/default.asp?page_id=21239). Links are provided in the Forms Section of this manual.

EXAMPLE: Survey Contract

<u>Category</u>	<u>Rate Used to Calculate Cost</u>	<u>Cash from Grant</u>	<u>Cash Match</u>	<u>In-Kind Services</u>
Sr. Planner	300 hrs @ \$27/hr		\$8,100.00	
Fringe	36.18%		\$2,930.58	
Clerical	30 hrs @ \$15.41/hr	\$462.30		
Fringe	34.98%	\$161.70		
Research (closed end contract)	230 DPR 523A forms	\$14,000.00		
Printing	1,880 @ \$.20 ea	\$376.00		
Total		\$15,000.00	\$11,030.58	

**Per Diem Rates**

Following is a list of the maximum Federal 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 costs 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.
- Per Diem incurred in counties not listed on this chart must meet the standard federal rate of \$55 maximum lodging, \$31 meals and incidentals, for a maximum per diem rate of \$86.
- **The maximum mileage rate is \$.375 per mile.**

**Per Diem Rates - 2004**

<b>County</b>	<b>Maximum Lodging</b>	<b>Meals and Incidentals</b>	<b>Maximum Per Diem Rate</b>
Alameda	\$105	\$40	\$145
Contra Costa	\$108	\$40	\$148
Clear Lake (May 5-Sept. 30)	\$85	\$35	\$120
(Oct 1 – May 4)	\$69	\$35	\$104
El Dorado	\$84	\$40	\$124
Edwards AFB, China Lake NWS	\$84	\$40	\$124
Fresno	\$73	\$35	\$108
Inyo	\$60	\$40	\$100
Kern (except Edwards AFB & China Lake NWS)	\$68	\$40	\$108
Lake (May 5-Sep 30)	\$84	\$35	\$119
(Oct 1-May 4)	\$69	\$35	\$104
Los Angeles (except Santa Monica)	\$106	\$40	\$146
Madera (Oct 1 – Apr 30)	\$55	\$40	\$95
(May 1 – Sep 30)	\$79	\$40	\$119
Marin	\$84	\$40	\$124
Mariposa (Including Yosemite NP)	\$84	\$40	\$124
Mendocino	\$84	\$40	\$124
Merced	\$62	\$35	\$97
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	\$84	\$40	\$124
San Bernardino	\$84	\$40	\$124
San Diego	\$110	\$40	\$150
San Francisco	\$140	\$40	\$180
San Joaquin	\$73	\$31	\$104
San Luis Obispo	\$79	\$40	\$119
Santa Barbara	\$84	\$40	\$124
Santa Clara	\$106	\$40	\$146
Santa Cruz	\$84	\$40	\$124
City limits of Santa Monica	\$110	\$40	\$150
Shasta	\$78	\$35	\$113
Solano	\$79	\$40	\$119
Sonoma	\$84	\$40	\$124
Stanislaus	\$60	\$39	\$99
Tulare	\$69	\$40	\$109
Ventura	\$84	\$40	\$124
Yolo	\$69	\$35	\$104

## **REMINDER**

Please read the guidelines carefully before completing the application. The Checklist, Cover Sheet and Grant Application template is available online as a WORD file at [www.ohp.parks.ca.gov/default.asp?page\\_id=21239](http://www.ohp.parks.ca.gov/default.asp?page_id=21239). If you have questions, contact OHP staff.

OHP must **receive** a complete application package no later than **Monday, 3 May 2004.**

A complete package consists of **3 sets** of the Checklist, Application, certification forms, a copy of the CLG's Preservation Plan if available, and any required documentation data. **One set must have original signatures; the other two may be copies. Incomplete application packages will not be reviewed.**

## **CLG GRANT APPLICATION CHECKLIST**

(Include in application package)

- \_\_\_\_\_ CLG GRANT APPLICATION COVER SHEET
  
- \_\_\_\_\_ GRANT APPLICATION (Narrative)
  
- \_\_\_\_\_ Copy of Preservation Plan or element that links with proposed project.
  
- \_\_\_\_\_ Applicable Maps and Estimated Acreage (see Application Form) for Survey Projects
  
- \_\_\_\_\_ Applicable Maps, Photographs, and Significance Statement for NR Projects
  
- \_\_\_\_\_ Resumes of Key Personnel and/or Volunteers who will work on Project
  
- \_\_\_\_\_ Environmental Certification (attached)
  
- \_\_\_\_\_ Certification of Professionalism and Conformance (attached)
  
- \_\_\_\_\_ Assurances – Non-Construction Programs Certification (attached)
  
- \_\_\_\_\_ Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying (attached)

# CLG GRANT APPLICATION COVER SHEET

## FISCAL YEAR 2004-2005

CLG APPLICANT: \_\_\_\_\_ County: \_\_\_\_\_

Contact Person	Responsible for PROGRAM Management	Responsible for FISCAL management
Name Title		
Address		
Phone		
FAX		
EMAIL		

### CONGRESSIONAL NAMES AND DISTRICTS

	State Senator	State Assembly	U. S Representative
Name			
District			
Address			

### SUMMARY OF PROJECT TYPE AND FUNDS REQUESTED

<u>Type of Project</u>	<u>Federal \$ Requested</u>
<input type="checkbox"/> Preservation Plan	\$ _____
<input type="checkbox"/> Ordinance Revision	\$ _____
<input type="checkbox"/> Survey <input type="checkbox"/> Context <input type="checkbox"/> Reconnaissance      Approx. Acreage _____ <input type="checkbox"/> Intensive              Approx. Acreage _____ <input type="checkbox"/> Oral Histories	\$ _____
<input type="checkbox"/> National Register Nomination	\$ _____
<input type="checkbox"/> Archeological Preservation Plan	\$ _____
<input type="checkbox"/> Historic Structure Report	\$ _____
<input type="checkbox"/> Training	\$ _____
<input type="checkbox"/> Information Technology	\$ _____
<input type="checkbox"/> Web Page	\$ _____

# Grant Application (Narrative)

## 1. PROJECT SUMMARY

Summarize in one or two sentences 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 ethnic and cultural diversity or cultural resources of the recent past preservation goals.

**2. PROJECT SCOPE** (60 points) In 2 pages or less; clearly and concisely describe the activities and end products for the project:

### ACTIVITIES:

- 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 your local community.

### PRODUCTS:

- What product(s) will be derived from the project?
- Will the product be in draft form or final adopted form (e.g., ordinances, preservation plans, etc.)?

**3. ADMINISTRATION** (25 points) Demonstrate that project personnel and methods are clear and appropriate to achieving project objectives.

### PERSONNEL:

- List names and/or experience of individuals and organizations necessary to implement your project. Include current resumes for all project personnel.

### SCHEDULE:

- Create a schedule/calendar for major project activities. It should be realistic and achievable. Distinguish between consultant and local government's activities.

**4. 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 including a breakdown of staff and volunteer hours by task.

Local governments may also charge an administrative or "indirect" cost for administrative services in support of staff salaries and benefits or government commissions (accounting, budgets, information technology, etc.) You must obtain from your business office and submit with your application a *Federal Rate Agreement* for your city or county with a federal agency. The indirect cost is capped at 25 percent and HPF grant rules supercede any higher approved Federal rate.

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 \$15,000:

\$15,000 ÷ .6 = \$25,000 (total project cost)

\$25,000 x .4 = \$10,000 (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.)

<b>Cost Categories</b>	<b>Rate Used to Calculate Cost</b> (# hrs @ \$ per hr)	<b>Cash From Grant</b>	<b>Other Cash</b>	<b>In-Kind Services</b>
<b>Salaried Employees*</b> (Explain duties relevant to this grant and provide a <u>breakdown of estimated hours by task</u> ).				
<b>Volunteers*</b> (Explain duties relevant to this grant and provide a breakdown of estimated hours by task)				
<b>Contracted Services*</b> (Specify)				
<b>Supplies, copying, postage, etc.</b> (be specific)				
<b>Travel Costs **</b>				

\* Rate shall not exceed a salary of \$76.50 per hour.

\*\* Maximum allowable car mileage rate is \$.36 per mile. See table in budget section for federal per diem and lodging rates for your area.

**5. BONUS POINTS** (Up to 10 points)

If you are applying for bonus points, describe how the grant proposal will carry out the goals of preservation and stewardship of cultural resources associated with culturally and ethnically diverse groups OR cultural resources of the recent past.

**6. REQUIRED SIGNATURE**

\_\_\_\_\_  
Authorized Representative Signature and Title

\_\_\_\_\_  
Date



## Grant Application (Narrative)

**1. PROJECT SUMMARY:** *Summarize in one or two sentences 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 ethnic and cultural diversity or cultural resources of the recent past preservation goals.*

Rainbow Neighborhood context statement and reconnaissance survey: The City of Preservation proposes to prepare a draft historic context statement and conduct a reconnaissance survey of the Rainbow Neighborhood, an ethnically and culturally diverse neighborhood both currently and historically. The objective is consistent with the City's Historic Preservation Plan, which is enclosed.

**2. PROJECT SCOPE** (60 points) *In 2 pages or less; clearly and concisely describe the activities and end products for the project:*

**ACTIVITIES:** The City of Preservation Historic Preservation Commission, with the assistance of a contracted preservation planning and survey professional meeting the Secretary of the Interior's Standards, proposes to develop a district context within the scope of a reconnaissance survey of the Rainbow Neighborhood documenting significant buildings, structures, sites and objects. Because the area was home to various ethnic populations at different points in its history, the Commission seeks bonus points for a proposal that meets the goal of the *Comprehensive Statewide Historic Preservation Plan for California* to identify diverse cultural resources.

The City of Preservation's existing Historic Preservation Plan includes a goal to "develop a broader context for identifying and evaluating Preservation's potential cultural resources as a basis for on-going citywide historic preservation programs." A second goal is to "identify and preserve resources reflecting the city's historic cultural diversity." Objectives include identifying geographic areas or types of resources that have not been adequately documented in previous historic resources survey effort, and identifying historic resources, including archaeological sites, which have played a specific role in the development of the City of Preservation. Objectives also include designating individual historic resources as well as districts, and seeking listing for historic resources, and/or districts on the National Register of Historic Places and the California Register of Historical Resources. The district context statement and survey will help further this goal and these objectives.

This project not only meets the goals and objectives of the City's Historic Preservation Plan, but the project is also timely. The existing historic districts (The Blue Ribbon District and the Architectural Heritage District) enjoy moderate success under the Preservation Ordinance and the commission review process. However, a current upswing in development and property values in areas without historic district designation is resulting in a growing number of restoration and adaptive reuse projects that are outside the jurisdiction of the Heritage Commission and unable to benefit from the existing incentives and assistance programs. This has resulted in a growing urgency for review and expansion of the city's historic districts. Additionally, there is a need to recognize and designate properties that previously were overlooked based on the earlier emphasis on architecturally extravagant properties. A new emphasis on community resources and context reinforces the need to document and evaluate potential new resources and districts. Located adjacent to the Architectural Heritage District and the Blue Ribbon District, the Rainbow neighborhood is the next logical area to survey and will conclude and update an effort begun in 1991 by neighborhood volunteers.

The proposed survey area is comprised of mostly residential properties dating from the late nineteenth century through World War II. Within its bounds are many Craftsman Era and period

revival style buildings and a number of smaller relatively intact nineteenth century vernacular cottages, an Italianate City Landmark and an historic city park. The area is known to contain properties reflecting some early period (pre-1890s) development in scattered locations, with infill growth reflecting the successive waves of shipyard activity from the era of the build-up of the President Theodore Roosevelt's "Great White Fleet" in the 1890s, to World War II. Together they make up an area that has naturally defined itself as the Rainbow Neighborhood, based on established relationship of the homes and the park.

The Rainbow Neighborhood generally extends to, and is bounded by, the Blue Ribbon District and a commercial district to the West (California Street); the main entrance corridor to the industrial park to the north (Tennessee Street); by railroad tracks to the east (Broadway Avenue); and by a collector street to the waterfront (Carolina Street) and the Architectural Heritage District on the south.

The neighborhood has been the subject of succeeding immigrant waves beginning with Chinese, followed by Northern Europeans, African Americans and Hispanics, each group leaving its unique cultural print on the neighborhood. Historic properties and archaeological resources related to earlier periods are unknown and unidentified at this time, a situation which this survey would remedy.

The City will contract with a consultant specializing in preservation planning, historic research and field inspection and meeting the Secretary of Interior's Professional Qualifications to prepare the district context and conduct the reconnaissance survey. Prior to preparing the district context and commencing fieldwork, the consultant will be expected to perform archival research of primary and secondary sources and meet with residents and property owners of the area. The reconnaissance survey will provide written and photographic documentation of historic resources and their status as contributing or non-contributing elements. Based on comparative ratios of the existing historic districts within Preservation, the City anticipates that approximately 150 resources (buildings, structures, objects and sites) will be documented on Primary Records in the survey phase. After survey data is organized and evaluated, the district context will be refined as necessary and finalized.

#### **PRODUCTS:**

- Historic context for the Rainbow Neighborhood (final form)
- DPR523A - Primary Records for approximately 150 properties

### **3. ADMINISTRATION** (25 points) *Demonstrate that project personnel and methods are clear and appropriate to achieving past objectives.*

**A. PERSONNEL:** *List names and/or experience of individuals and organizations necessary to implement project.*

The proposed project will managed by a team of staff, volunteers, and consultants experienced in both historic resources analysis and grants administration. **Resumes Attached.**  
Preservation City staff and their duties include:

**Eka Fyeno**, Associate Planner, City of Preservation: Project administration, consultant contract administration, provide background and resource materials to consultant, meet with affected neighborhood, review draft and final context, review survey results.

**Will Stayontopthis**, Planner, City of Preservation: Project administration, provide background and resource materials to consultant, meet with affected neighborhood, review draft and final context, review survey results.

**Ellen Bach**, Staff Assistant, City of Preservation: Provide clerical support for project administration and provide background and resource materials.

**Marsha Thyme**, Historian, Historic Commission member: Assist in preparation of scope of work and RFP, interview and direct consultant, participate in study sessions, meet with affected neighborhood, review draft and final historic context, participate in conducting survey, review and evaluate survey results).

**Maggie Nificent**, Architectural Historian, Historic Commission member: Assist in preparation of scope of work and RFP, interview and direct consultant, meet with neighborhood residents, participate in study sessions, review draft and final historic context, participate in conducting survey, review and evaluate survey results.

**Lofty Towers**, Architect, Historic Commission member: Assist in preparation of scope of work and RFP, interview and direct consultant, meet with affected neighborhood, participate in study sessions, review draft and final historic context, participate in conducting survey, review and evaluate survey results.

**Michele Mybell**, Engineer, Historic Commission member: Assist in preparation of scope of work and RFP, interview and direct consultant, meet with affected neighborhood, participate in study sessions, review draft and final historic context, participate in conducting survey, review and evaluate survey results.

**Steve O'Reno**, public member, Historic Commission: Interview consultant, participate in study sessions, review draft and final historic context, participate in conducting survey, review and evaluate survey results.

**Contract consultant**, specializing in preservation planning, historic research and field inspection meeting Secretary of Interior's Standards for Professional Qualifications. To be selected through a competitive procurement process.

**B. SCHEDULE:** *Create a schedule/calendar for major project activities. It should be realistic and achievable.*

1. Request for proposals (RFP) - City June 2004
  - Prepare RFP
  - Submit to OHP for review and approval
  - Prepare list of qualified consultants
  - Mail OHP approved RFP and publish
  
2. Select consultant - City August 2004
  - Preview proposals
  - Interview consultants
  - Select consultant,
  - Get OHP approval
  - Prepare contract
  - City Council/Manager execute contract
  
3. Study session – City and Consultant October 2004
  - Study session with consultant, commission, and staff to finalize work program and schedule.
  - Prepare survey introductory letter for neighborhood. -Consultant
  - Progress report to OHP - City

4. Background research - Consultant November 2004
  - Archival research on history and prehistory of Rainbow neighborhood.
  - Identify potential for archeological remains.
  - Meet with Rainbow Neighborhood residents, property owners and neighborhood association- identify potential information sources and individuals with special knowledge.
  
5. District Context – Consultant December 2004
  - Prepare historic context to define pattern of development and help structure survey effort.
  - Review draft.
  - Progress report to OHP - City
  
6. Conduct survey/ compile data January 2005
  
7. Review Survey Data – City and Consultant April 2005
  - Organize survey data
  - Evaluate resource inventory
  - Refine district context based on survey outcome
  - Progress Report to OHP - City
  
8. Draft Final Products August 2005
  - Primary Records
  - Final Draft District Context
  - Copy to OHP for review
  
9. Final Products September 2005
  - City deliver to OHP

**4. BUDGET** (15 points) Show *that budget is reasonable to accomplish major project tasks and activities that budget items are necessary to accomplish project activities. Provide a sufficiently detailed budget to show basis for cost items.*

*Match must directly relate to the implementation of the proposed project. In calculating match, use the following formula:*

$$\begin{aligned} \text{Amount of funds requested } (\$25,000) \div .6 &= \text{Total Project Cost} \\ \text{Total Project Cost } (\$41,667) \times .4 &= \text{Required Matching Share} \end{aligned}$$

FOR EXAMPLE

$$\begin{aligned} \text{If you are requesting } \$25,000: \\ \$25,000 \div .6 &= \$41,667 \\ \$41,667 \times .4 &= \$16,667 \end{aligned}$$

A.	Amount of Federal funds requested	\$ <u>25,000</u>
	Minimum amount of local matching share	\$ <u>16,667</u>

B. Source of Non-federal Local Match

(1) Donor: City of Preservation	(2) Donor: City of Preservation
Source: General Fund	Source: Volunteers
Kind: Cash Wages and Expenses	Kind: In-kind services
Amount: \$15,290	Amount: \$4,500

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

Cost Categories	Rate used to calculate cost (\$ per hr. x # hrs)	Cash from Grant	Other Cash	In-kind Service
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Salaried Employees\* [Note: This is an example of the reporting format only]

**Eka Fyno, Assoc. Planner**

Project admin: 55 hours

Provide background info: 25 hours

Meet with residents: 5 hours

Review draft and final contexts: 20 hrs

Review survey results: 20 hours

\$37 x 125 hrs. \$4,625  
Fringe 35 % \$1,619

**Will Stayontopthis, Planner**

Project admin: 20 hours

Provide background info: 45 hours

Meet with residents: 5 hours

Review draft: 20 hours

Review survey results: 15 hours

\$32 x 105 \$3,360  
Fringe 35 % \$1,176

**Ellen Bach, Staff Assistant**

Clerical support, mailings, filing, typing, copying, telephone calls, maintaining volunteer logs, etc.: 24 hours

\$25 x 24 \$600  
Fringe 35 % \$210

**Contract Consultant**

Conduct survey, submit reports, and perform other project activities per contract; deliver historic context and complete DPR 523As for approx. 150 resources.

Flat fee \$25,000

Cost Categories	Rate used to calculate cost from (\$ per hr. x # hrs)	Cash from Grant	Other Cash	In-kind Service
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Volunteer and In-kind Contributions

**Marsha Thyme, Historian, Commissioner**

Assist in prep. of scope and RFP; 10 hours

Participate in study sessions: 10 hours

Meet with residents: 5 hours

Review draft and context: 10 hours

Review final survey: 5 hours

\$30 x 40 \$1,200

**Maggie Nificent, Architectural Historian, Commissioner**

Assist in prep. of scope and RFP: 10 hours  
Participate in study sessions: 10 hours  
Meet with residents: 5 hours  
Review draft and context: 10 hours  
Review final survey: 5 hours

\$30 x 40

\$1,200

**Lofty Towers, Architect, Commissioner**

Assist in prep. of scope and RFP: 5 hours  
Participate in study sessions: 10 hours  
Meet with residents: 5 hours  
Review draft and context: 5 hours  
Review final survey: 5 hours

\$30 x 30

\$900

**Michele Mybell, Engineer, Commissioner**

Assist in prep. of scope and RFP: 5 hours  
Participate in study sessions: 10 hours  
Meet with residents: 5 hours  
Review draft and context: 5 hours  
Review final survey: 5 hours

\$30 x 30

\$900

**Steve O'Reno. Public member, Commissioner**

Assist in prep. of scope and RFP: 5 hours  
Participate in study sessions: 10 hours  
Meet with residents: 5 hours  
Review draft and context: 5 hours  
Review final survey: 5 hours

\$10 x 30

\$300

**Supplies, copying, postage, etc**

\$200

**TOTALS**

**\$25,000**

**\$15,290**

**\$4,500**

**5. 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 goals of preservation and stewardship of cultural resources among a culturally and ethnically diverse state population.*

Preservation City is applying for bonus points because the survey and historic context will focus on the Rainbow Neighborhood that has been home to various ethnic populations at different times in the history of the city. The context will explore the changes in ethnic composition over time. The survey will identify resources identified with particular ethnic groups.

**6. Required Signature:**

*M. Duzalot*, Planning Director

Date 12<sup>th</sup> of Never 2004

\_\_\_\_\_  
(Signature of Authorized Representative and Title)

## **FORMS**

**TO BE INCLUDED IN APPLICATION PACKET**

### **ENVIRONMENTAL CERTIFICATION**

### **CERTIFICATE OF PROFESSIONALISM AND CONFORMANCE**

### **ASSURANCES - NON-CONSTRUCTION PROGRAMS**

Available online at <http://www.usgs.gov/contracts/grants/sf424b.pdf>

### **CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS, DRUG-FREE WORKPLACE REQUIREMENTS AND LOBBYING**

Available online at: <http://www.doi.gov/nbc/formsmgt/forms/di2010.pdf>

# ENVIRONMENTAL CERTIFICATION

(Include in Application Packet)

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.\*

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**Project Name**

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**Applicant's Signature**

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**Title**

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**Date**

\*NPS Environmental Compliance Requirements are included in the appendix for your information.

**NATIONAL HISTORIC PRESERVATION FUND  
SUBGRANT PROGRAM**

**CERTIFICATE OF PROFESSIONALISM AND CONFORMANCE**  
(Include in Application Packet)

I certify that all research, investigations, surveys, nomination studies and reports prepared as part of this grant-assisted project will be professionally prepared by individuals meeting the professional qualifications specified in the Federal Register, Volume 48, No. 190, September 29, 1983. All such work will be done according to the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation. Work not meeting these Standards will not be reimbursed.

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**Project Name**

---

**Signature of Authorized Responsible Official**

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**Title**

---

**Date**

## **APPENDIX**

**GRANT APPLICATION SCORE SHEET**

**CONTRACTING DOCUMENTATION - COMPETITIVE NEGOTIATION AND SMALL PURCHASES**

**VOLUNTEER OR DONATED LABOR TIMESHEET**

**ARCHEOLOGY AND HISTORIC PRESERVATION: SECRETARY OF THE INTERIOR'S STANDARDS**

[http://www.cr.nps.gov/local-law/arch\\_stnds\\_0.htm](http://www.cr.nps.gov/local-law/arch_stnds_0.htm)

**ENVIRONMENTAL COMPLIANCE REQUIREMENTS**

[http://www.ohp.parks.ca.gov/default.asp?page\\_id=21239](http://www.ohp.parks.ca.gov/default.asp?page_id=21239)

**HISTORIC STRUCTURE REPORT FORMAT**

[http://www.ohp.parks.ca.gov/default.asp?page\\_id=21239](http://www.ohp.parks.ca.gov/default.asp?page_id=21239)

**LOCAL PRESERVATION ORDINANCES**

[http://www.ohp.parks.ca.gov/default.asp?page\\_id=1243](http://www.ohp.parks.ca.gov/default.asp?page_id=1243)

**PROJECT AGREEMENT GENERAL TERMS**

[http://www.ohp.parks.ca.gov/default.asp?page\\_id=21239](http://www.ohp.parks.ca.gov/default.asp?page_id=21239)

**STANDARDS FOR ALLOWABILITY OF COSTS**

[http://www.ohp.parks.ca.gov/default.asp?page\\_id=21239](http://www.ohp.parks.ca.gov/default.asp?page_id=21239)

# CLG GRANTS SELECTION SCORE SHEET

APPLICANT \_\_\_\_\_ TYPE OF PROJECT \_\_\_\_\_

Reviewer \_\_\_\_\_

Date \_\_\_\_\_

OVERALL SCORE \_\_\_\_\_

Are the project's cost, nonfederal share, and activities eligible for a HPF grant? Yes\_\_\_ No\_\_\_

**Project Scope  
(60 points)**

- 1. Project purpose and objectives are clearly described. (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) \_\_\_\_\_

**PROJECT SCOPE - Total** \_\_\_\_\_

**Administration  
(25 points)**

- 4. Personnel and methods to be utilized are clear and appropriate to achieving project objectives. (20 points) \_\_\_\_\_
- 5. Time schedule is realistic and achievable. (5 points) \_\_\_\_\_

**ADMINISTRATION - Total** \_\_\_\_\_

**Budget  
(15 points)**

- 6. Budget is reasonable to accomplish project major tasks and activities. (5 points) \_\_\_\_\_
- 7. Budget items are necessary 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)**

- 9. Justification for receiving Bonus Points is clearly described. (10 points) \_\_\_\_\_

**Penalty Points  
(10 points)**

- 10. At OHP's discretion, up to 10 points may be deducted based on performance within the past three years. \_\_\_\_\_

**BONUS/PENALTY - Total** \_\_\_\_\_

**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 Point	0	1-3	4-6	7-9	10
15 Point	0	1-5	6-9	10-14	15
20 Point	0	1-6	7-12	13-19	20

<b>CONTRACTING DOCUMENTATION</b> <b>COMPETITIVE NEGOTIATION AND SMALL PURCHASES</b>
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This format should be used for contracts for professional services and other procurement to document compliance with Federal procurement standards.

1. GRANT NUMBER: \_\_\_\_\_

2. TYPE OF CONTRACT: Professional Services \_\_\_\_\_ Printing \_\_\_\_\_  
 Equipment/Supplies \_\_\_\_\_ Other \_\_\_\_\_

3. CONTRACTORS CONTACTED:

a. Individual's Name and Title: \_\_\_\_\_  
 Company/Firm Name: \_\_\_\_\_  
 Street Address or P. O. Box: \_\_\_\_\_  
 City/State/Zip Code: \_\_\_\_\_  
 Work Telephone Number: \_\_\_\_\_  
 Date Contacted: \_\_\_\_\_

b. Individual's Name and Title: \_\_\_\_\_  
 Company/Firm Name: \_\_\_\_\_  
 Street Address or P. O. Box: \_\_\_\_\_  
 City/State/Zip Code: \_\_\_\_\_  
 Work Telephone Number: \_\_\_\_\_  
 Date Contacted: \_\_\_\_\_

c. Individual's Name and Title: \_\_\_\_\_  
 Company/Firm Name: \_\_\_\_\_  
 Street Address or P. O. Box: \_\_\_\_\_  
 City/State/Zip Code: \_\_\_\_\_  
 Work Telephone Number: \_\_\_\_\_  
 Date Contacted: \_\_\_\_\_

4. COMPARATIVE SUMMARY OF RESPONSES RECEIVED (from at least 4 firms/companies):

	<i>Company/Firm Name</i>	<i>Price</i>	<i>Date</i>	<i>How Obtained?</i>
a.				
b.				
c.				
d.				

5. BASIS FOR SELECTION: Lowest Price \_\_\_\_\_ Other \_\_\_\_\_

If the basis for selection was not the lowest price, explain the selection method used below:

\_\_\_\_\_  
 Signature of Grantee Official

\_\_\_\_\_  
 Date

