

STATE OF IOWA CERTIFIED LOCAL GOVERNMENT GRANT GUIDELINES

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Rev. 6.2016



Cover photographs: Windsor Theatre, Hampton (*Paula Mohr*), Linn County Farmstead (*Joi Bergman*), Foster Park, LeMars (*Marlys Svendsen*)

INTRODUCTION

Jointly administered by National Park Service (NPS) and the State Historic Preservation Offices (SHPO), the Certified Local Government (CLG) Program is a model and cost-effective local, state, and federal partnership that promotes historic preservation at the grassroots level. Working closely with national organizations as the National Alliance of Preservation Commissions and the National Main Street Program, the CLG program seeks to:

- 1) develop and maintain local historic preservation programs that will influence local decisions critical to historic properties, and
- 2) ensure the broadest possible participation of local governments in the national historic preservation program while maintaining preservation standards established by the Secretary of the Interior.

An incentive for participating in the CLG program is the pool of matching grant funds made available annually to participating cities and counties. In Iowa, the CLG grant fund amounts to over 10% of Iowa's annual Historic Preservation Fund (HPF) grant allocation from the National Park Service. Since 1983, when the CLG program started, Iowa has awarded over \$2,200,000 in grants monies to fund approximately 3000 CLG grant projects across the state. The Iowa Historic Preservation Office typically has approximately \$100,000 each year to award in CLG grants.

To qualify for a CLG grant, a city or county must meet two criteria:

- 1) Have a certified local historic preservation program:
The city or county must have an established local historic preservation program by ordinance or resolution, applied for and received Certified Local Government status from the National Park Service, Department of the Interior.
- 2) Be current in CLG Annual Report submittals:
The city or county must be current in their submission of Iowa CLG Annual Report forms. This means that the CLG city or county has submitted all Iowa annual report forms through the prior year and is in good standing.

If you have questions about eligibility, contact Paula A. Mohr at (515) 281-6826 or paula.mohr@iowa.gov

FAQs: FREQUENTLY ASKED QUESTIONS

How does my Certified Local Government apply for this grant?

We use an online application through SlideRoom.

You must register in advance to use <https://iowahistory.slideroom.com>



If you have questions about the CLG grant application and/or <https://iowahistory.slideroom.com>, **please call or email Paula Mohr at (515) 281-6826;** paula.mohr@iowa.gov

You will need to upload to SlideRoom a **signed** letter from your chief elected official (mayor, chairman of the board of supervisors, or president of the land use district). The letter should state that the chief elected official approves of the grant application and the commitment of match noted on the budget page. Please be sure to factor that requirement into your grant application process and allow enough time to secure this letter!

As in past years, you are strongly encouraged to submit a draft application for comment. **IMPORTANT:** Please use the application portal titled "**Draft** Application Certified Local Government Grant" if you wish to have your draft reviewed. I will look at your application and give you feedback for improving it. You can then submit it as a final application by the deadline. Please note that if you are submitting a Planning for Preservation project, you are required to provide a draft application for review and comment.

What types of projects are eligible for CLG funding?

Eligible activities include those that involve looking for and establishing the significance of buildings, structures, sites, objects or districts are eligible. In historic preservation language, these activities are described as *identification*, *evaluation* and *registration*. Planning activities are eligible when the focus is on historic preservation.

A planning project could be developing a historic preservation component for a city or county comprehensive plan; or a plan to develop historic contexts and conduct a series of identification-evaluation-registration projects. Planning could involve studying local ordinances and codes, proposing historic preservation-friendly revisions and, ideally, having those revisions implemented by City Council or Board of Supervisors action.

Educational projects that involve historic preservation are eligible. Applying for scholarship monies to send commissioners or staff to the National Alliance of Preservation Commissions Forum, National Trust annual conference, etc.; developing video tapes and brochures for tours of historic properties;

developing historic preservation curriculum for elementary or high school classes are examples of educational activities.

Finally, CLG grants can be used for Pre-Development projects. Pre-development projects include doing a structural assessment of a property and developing rehabilitation recommendations; developing maintenance plans for properties; studying adaptive use or alternative uses for a property and making recommendations as to the most appropriate. Generally, these projects focus on a single National Register listed property that is owned by the local government or is accessible to the public.

What types of projects are not eligible for CLG funding?

CLG grants cannot be used to cover the cost of preparing the grant applications, construction or rehabilitation projects, landscaping, building maintenance, acquisition of property, or the cost of moving properties. CLG grants cannot be used to cover the cost of doing archival research unrelated to historic properties or the cost of workshops, publications, flyers exhibits that do not directly relate to historic preservation. CLG grants cannot be used for museum projects that do not directly relate to historic preservation.

Can my CLG work with another agency or organization on a CLG grant project?

Yes and in fact, partnerships are encouraged!

Can my CLG work on a grant project that involves historic properties located outside of the CLG geographical limits?

Yes, if all local governments involved approve and if the project meets the CLG Grant program requirements.

Can my CLG submit more than one grant application during a grant round?

Yes, a CLG city or county may submit more than one application per grant round. If more than one application is submitted, make sure that the city or county is prepared to undertake all of the projects, if they all receive grant awards! Because of the way SlideRoom is configured, the second application must be submitted under a different user name.

How much CLG grant money is available?

Each year approximately \$90,000.00 is available.

How much money can I request in my grant application?

There is no cap for grant projects but please use common sense in making your requests. For example, a request for \$25,000 would mean that one CLG would be receiving about a third of the CLG grant allocation. Unless the project dealt with a National Historic Landmark or was extremely compelling, it is unlikely that \$25,000 or more would be awarded.

It is very important that you ask for enough funding to cover project costs. It is better to ask for a slightly larger grant than a reduced one.

How do I determine how much money to request?

This is an important question as recently several projects have been underfunded making it difficult for the CLG to complete the work for the amount of money available. We **strongly recommend** that you first develop a scope of work for your project and contact several **qualified** consultants to help you determine costs. Once you are awarded the grant, you will have to live with that dollar amount and complete the project. It is important to determine up front what the true cost of your project will be.

Who serves as the fiscal agent for the project?

The grant is awarded to the city or county government. Typically, the city clerk or county auditor serves as the fiscal agent for the grant. That person is responsible for issuing payment to the consultant and paying other bills associated with the project. That same person will receive the reimbursement check from the state (typically at the conclusion of the project) and deposit it in the local government's account.

What is meant by a cost reimbursement?

Cost reimbursable means that the grant funds can only be used to reimburse the CLG for actual expenditures after the CLG has paid for that expense. After a CLG has been awarded a grant, the CLG completes the grant project, pays the consultant and any other expenses associated with the grant. The CLG then submits a request for reimbursement to the State. The State will reimburse the CLG for grant project costs when it has reviewed and approved the documentation that supports the expenditures. This means that the local government may have to carry the cost of the grant for a brief period between the time it pays the grant project bills and the time it is reimbursed by the State.

What is a matching grant?

The CLG must provide match with the grant. In other words, the CLG shares in the cost of the project by contributing a share (match) of project costs. The CLG share of costs can consist of cash, in-kind match or a combination of the two.

CLG grants have a 60:40 match ratio. This means that the CLG grant will cover 60% of the total project costs, and the CLG will provide 40% of the total project cost as match. For example, if the total cost for a project is \$1,000, then the CLG requests a grant of \$600 and provides a match of \$400. The \$400 may be all cash, all in-kind match or a combination of the two

What are examples of in-kind match?

In-kind match is a contribution for which you do not have an invoice and for which no check is cut. These can include donated labor, materials, use of facilities or services. Iowa allows CLGs to claim as match in-kind services such as supplies, developing photographs, photocopying, office rent, clerical

support, or certain administrative costs when these are donated to the project by the local government or a third party.

How is a value placed on in-kind match?

In-kind labor costs must be documented in terms of hours and given a value per hour. For most volunteers, their time is valued using the hourly volunteer rate established by the Independent Sector. To determine the most recent value for Iowa, please go to:

http://www.independentsector.org/volunteer_time

Volunteers performing services within his or her profession may evaluate their donated time at the maximum rate allowed for professionals. For example, if a professional photographer contributes 10 hours of her time taking photographs for a National Register nomination and her professional rate is \$60 an hour, the value of this in-kind labor would be \$600.

Local government staff who spend time working on the project can declare the hourly value of their time plus the cost of their benefits.

When a CLG chooses to count these supplies or services as match, documentation is required.

Can CLG grants be used on projects where there is other federal involvement?

These grants can be matched using federal Community Development Block Grants (CDBG), and under certain circumstances Transportation Equity Act-21 (TEA-21) Enhancement funds. CLG grants cannot be matched with grants from the National Endowment for the Humanities, National Science Foundation, and National Endowment for the Arts.

Certified Local Government grants cannot be used for Section 106 (projects which are federally assisted, licensed, or permitted) compliance.

Are there any parts of the application process that might take more time than I would expect?

Yes. Check with your city clerk or county auditor to find out how much lead time is required to place the grant application approval on your city council or board of supervisor agenda. Do not delay in getting this approval of your local government and the signed letter from your Chief Elected Official (mayor, chair of the board of supervisors or president of the land use district).

Can I get help in preparing the grant application?

Yes!

- You are **strongly** encouraged to contact the Historic Preservation Office Staff members with questions and requests for help. Please contact Paula Mohr, paula.mohr@iowa.gov; (515) 281-6826 who will help or refer you to the appropriate staff person.

- Submit a draft application for staff review and comment. If you are submitting a Planning for Preservation project, you are required provide a draft application for review and comment.
- Contact Paula Mohr to find out which CLGs have done similar projects, so you may contact them and ask for their advice. You may also request a copy of a funded grant application for a similar project.
- Contact preservation professionals who work as consultants on grant projects. You may hire a consultant to prepare the application. However, be advised that grant money cannot be used to reimburse the consultant for preparation of the application, nor can the CLG promise to hire the consultant to work on the project if the grant is awarded.
- Most CLG cities and counties belong to a Council of Governments (COG) or Regional Planning Commission (RPC). These agencies often provide grant-writing services.

When will we find out if we are awarded a grant?

Applicants will be notified in December.

When can work on the project begin?

Work can begin when the CLG receives the Notice to Proceed and a Grant in Aid Agreement that has been signed by the State and the Chief Elected Official of the CLG. Costs incurred prior to this will not qualify as grant related expenses and will not be reimbursed or regarded as match.

Generally, preliminary work, such as sending Requests for Proposals and signing on consultants, will begin in February following the announcement in December. Grant projects that are not underway by June 1 are subject to cancellation. Projects must be completed by June 30 of the following year.

Who can serve as a consultant for a project funded with a CLG grant?

All consultants (architects, architectural historians, historians, or other professionals) must meet the Secretary of the Interior's Professional Qualifications and be approved the Iowa Historic Preservation Office. CLG grant awardees are required to send Requests for Proposals (RFP) to a minimum of three consultants. Selection can be based on locally determined criteria, e.g., a mixture of experience and qualifications. Typically, the dollar value of the project has already been determined so consultants are competing on technical merit, rather than cost.

What are my reporting requirements?

CLG grant awardees are required to submit monthly progress reports on their grant projects. The report form is available in electronic format. It asks for a summary of grant project activities that were completed during the month and a summary of grant monies expended and match that was generated. The report helps the CLG and the State track the progress of the project and provides an early alert system if problems develop.

When are grant funds actually transferred to the CLG?

The city or county must have enough money “up-front” to be able to carry the project (including paying for consultants and other project costs) until it gets reimbursed by the State.

After the draft grant products have been reviewed and approved by the State, the city or county may request reimbursement of 70% of the grant award. The CLG must first pay the project costs. Then the CLG submits a request for reimbursement documenting their payment and sufficient cash and/or in-kind match to support payment.

At the end and close of the project, the CLG can request reimbursement on the remaining balance, 30% of the grant award.

Who are the key players in the CLG grant process?

City/County Financial Officer: Typically, this is the City Clerk or the County Auditor who serves as the local government’s fiscal agent. The Clerk or Auditor manages the CLG grant budget, oversees expenditures, insures that accounting meets Federal and State standards, and coordinates with the Project Director in preparation and submission of requests for reimbursement for CLG grant expenditures.

Consultant: Typically, this is a professionally-trained archaeologist, historian, architectural historian, or historical architect who meets the Secretary of the Interior’s Professional Qualification Standards and is hired by a CLG to work on a CLG grant project. The consultant serves as the principal investigator for the project, works directly with the CLG, and channels all communication to the State through the CLG project director.

Local Project Director: A historic preservation commissioner, paid City/County staff member, or volunteer who works with the consultant in administering and directing the project. The project director reports monthly to the State Project Manager and to the Historic Preservation Commission on the status of the project.

State Project Manager: the professional staff of the Iowa Historic Preservation Office serve as the project managers or advisors for each of the funded grant projects. The staff project manager represents the State in the administration of the awarded grant projects; serves as the primary point of contact with the CLG Project Director and consultants; answers questions, provides technical information on the project, reviews and comments on grant products.

CLG Coordinator: In the Iowa Historic Preservation Office represents the State in the general administration of the awarded grant projects, answers questions relating to general grant administration. To contact, call Paula Mohr at (515) 281-6826 or paula.mohr@iowa.gov.

Typically, what are the consultant’s responsibilities?

- Provide professional expertise and guidance.
- Provide and lead training and project related work sessions.

- Provide guidance for conducting specific project activities such as research and recordation or inventory development and maintenance.
- Serve as a consultant and provide expertise in public meetings.
- Present and explain project results to the commission.
- Provide handouts and assistance for locating reference materials.
- Conduct some research, collate the results of volunteer recordation and research efforts.
- Guide volunteers in completion of forms and paperwork.
- Serve as primary speaker or trainer in educational session.
- Work with volunteers to develop educational materials, media presentation, or publication.
- Conduct pre-development studies and prepare specifications and plans.
- Guide volunteers who are assisting in production of draft and final reports
- Prepare the draft and final project reports
- Complete the HADB or NADB form

What happens if we cannot finish our project?

Your State Project Manager will work with you to avoid this happening. Grant projects can be amended after the award is made as long as the amendment(s) do not substantially change the original type of project. In other words, a survey and evaluation project could not be changed to a public education or planning project.

What happens if we do not spend all of the grant award or if we do not have enough match?

You will only be reimbursed for the amount of the grant award that you can prove that you spent. If you have a significant shortfall in the match required, your CLG grant award will be reduced since its size is contingent on the amount of local cash and in kind match that you are able to provide. If you fall short by a small amount, we usually have excess match from another CLG project that can compensate for your deficit.

What happens if all of Iowa's CLG grant money is not spent?

The National Historic Preservation Act requires that each State Historic Preservation Office disburse all of the CLG grant money. If at the end of the grant period, a CLG has not expended all of their grant money and/or has not generated enough match to meet the total award—everyone in the CLG and Historic Preservation Program is penalized. The Iowa Historic Preservation Office has to return the unspent balance of the CLG grants to the National Park Service awarded, thus decreasing State Historic Preservation Office funds. In the next fiscal year, the Park Service will deduct the unspent amount from the Historic Preservation Grant award to Iowa. In effect, Iowa is penalized two-fold when CLG grant awardees do not fulfill their obligations. Please notify Paula Mohr, CLG Coordinator ***asap*** if you believe you will not use the entire amount granted to you.

PART II

ELIGIBLE PROJECT CATEGORIES

CLG grants are intended to support local preservation efforts. They can be used to underwrite the following types of activities: Planning for Preservation, Planning, Survey/Evaluation, Registration, Pre-Development and Public Education.

The following is an in-depth discussion of the different types of projects that are supported by CLG grants:

PLANNING FOR PRESERVATION

These are start-up grants geared to help newly certified receive basic training in three areas: 1) preservation activities—planning, survey, evaluation; 2) project development, management, and completion; and 3) working with a historic preservation professional. The goal of these projects is to help the Commission and Community understand the role and use of planning, survey and evaluation in a local historic preservation program, particularly in developing a historic property inventory and using the inventory in comprehensive planning.

A planning for preservation project is limited in scope. The project should focus on activities that provide historic preservation training to commission members and volunteers and provide an opportunity to apply that training. Training may include instruction on research, recording, and context development for survey and evaluation and hands-on application when commissioners and volunteers utilize this training to research previous historic preservation work in the city or county and record properties or when volunteers record properties by completing Iowa Site Inventory forms. Training in historic preservation planning may include instruction from the consultant on comprehensive land use planning basics and the commission's role in the planning process. Training can involve meetings with local governmental officials, local organizations and individuals to identify ways to integrate historic preservation into future community projects.

The project should also involve preparation of a project report that includes a bibliographic listing of previous historic preservation work done in the community. The report will include a discussion of potential historic contexts and associated property types and properties; and the report will contain the consultant's recommendations for future survey, evaluation, and/or planning projects. The consultant will write the report. The commission members and volunteers will do the major portion of the research and assist the consultant in the mechanical aspects of report preparation, collation, and reproduction of the report. It is recommended that a commission focus on either archaeological or architectural/historical properties when doing a planning for preservation project.

The proposed project must comply with the Secretary of the Interior's Standards and Guidelines for planning, identification and evaluation, and any guidelines required by the State in the application.

Planning for Preservation grant projects cannot be combined with other types of projects. For example, the commission may be trained in survey procedures, do preliminary research and inventory

work, but the commission cannot perform a survey as part of the project. If your commission wants to survey, then apply for a survey project.

Planning for Preservation projects are small in scope. You must submit a draft grant application for Planning for Preservation projects. **Because these are training grants, the CLG historic preservation commission MUST contribute a minimum of 100 hours of volunteer work as in-kind match for the project.**

SURVEY AND EVALUATION

CLG cities and counties are responsible for locating historically significant buildings, structures, objects, sites (including archaeological sites) and districts within their jurisdiction. The process of locating is called “identification” and known informally as “survey.” The process determining if a property is significant is called “evaluation.” Evaluation involves taking the information gathered in identification and applying it to determine if a property meets the Significance and Integrity Criterion of the National Register or of a local register.

Critical and essential steps in developing a local historic preservation program are locating historic properties and building a file of information about them. “Identification” provides the foundation of a local historic preservation program because as a result of locating properties it also generates information about those properties. That information consists of completed Iowa Site Inventory forms, Survey Reports, Photographs, Maps, plans of properties. These documents make up the file of information that is called an “Inventory” and used for preservation planning, property management and protection.

Survey data should be readily integrated into the State’s planning process and inventory, consequently reports must be in a particular format and information on individual properties must be recorded on either Iowa Site Inventory forms or Office of the State Archaeologist Archaeological Site forms.

Identification projects must gather enough information to make decisions. If it is a reconnaissance survey, enough information is needed to decide which areas and individual properties merit intensive survey and evaluation (see below for information on the difference). If it is an intensive survey and evaluation project, then sufficient information to develop historic contexts and make significance evaluations is needed. Identification projects must be conducted according to a research design that specifies the objectives, methods and expected results of the survey. (Identification Standards I through III). Identification projects must be designed to lead to nominations of significant properties to the National Register (or to a determination of eligibility).

Identification projects can vary in focus, scope and intensity. For example, a survey project could look at the history of properties (buildings, structures, sites, objects), such as how properties reflect different events or developments within a city or county, such as the coming of the railroad or being designated a county seat. A survey project might look at the architecture, design, or engineering of properties. An example would be to look for Prairie Style properties, or to look for timber-framed buildings, or to survey barn design. Survey projects can focus on the prehistoric or historic archaeology of an area. For example, search for the remains of "dug-out" homes used by early pioneers or trying to

locate sites associated with a particular prehistoric time period such as the Archaic. Finally, survey and evaluation projects may be interdisciplinary, examining historical, architectural, archaeological significance in combination. A survey can examine certain property types, e.g., courthouse, homes; or it can focus on a particular area: downtown, the industrial district, a rural area. There are two levels of intensity: "Reconnaissance," covering a large area but not in depth and "Intensive," covering a small area in depth.

RECONNAISSANCE SURVEY involves archival research and enough fieldwork to locate properties in the survey area. The emphasis in a reconnaissance level survey is on developing historic contexts. Historic contexts are themes in history, architecture, and archaeology that will be used to evaluate the significance of properties. Reconnaissance surveys emphasize research. Fieldwork is limited, recordation involves noting the location of a property, the type of property, photo documenting the property, and providing a description. In the case of archaeological reconnaissance surveys, fieldwork may involve pedestrian survey and visual examination of promising areas identified on the basis of background research. Iowa Site Inventory Forms and/or Office of the State Archaeologist Site Forms may be partially completed with a photograph, map location, and other information.

Reconnaissance surveys are used to determine the nature of the next "level of documentation." For example, results of a reconnaissance survey may indicate when it is advisable to do an intensive level survey of a historic district, when it is advisable to survey intensively individual properties or when additional survey is unnecessary because no historic properties are in the surveyed area. The results of a reconnaissance survey may indicate that it would be productive to survey properties associated with a particular historic context.

Generally, reconnaissance surveys cover more area and larger numbers of properties than can be covered in an intensive level survey. The research undertaken in a reconnaissance survey will produce information on historic contexts for the area covered during the survey. A comparison of these contexts can suggest which would be the most productive to pursue in a follow-up intensive survey.

If the survey is archaeological or interdisciplinary, there are some additional provisions. Archaeological site information is recorded on Office of the State Archaeologist Site Forms. The report must meet the information/content requirements of the Association of Iowa Archaeologists' *Guidelines for Archaeological Investigations in Iowa* and a National Archaeological Data Base form is completed for each project. Finally, provision must be made for permanent curation of artifacts and associated records at a repository that meets the Secretary of the Interior's Standards for Curation.

INTENSIVE SURVEY AND EVALUATION combines survey with evaluation. Intensive Survey involves in-depth archival research and fieldwork to record properties in the survey area. In the case of archaeological sites, intensive survey and evaluation may involve various forms of subsurface testing sufficient to gather information about the horizontal and vertical extent of the associated remains, their structure and composition. For all types of intensive survey and evaluation projects, the objective is to gather sufficient information to recommend proposed significance or non-significance of the investigated properties and develop historic contexts in terms of National Register of Historic Places listing.

The recordation should be comprehensive enough to illustrate the historic character of the property and document integrity. The research should gather enough information to document significance of properties, develop one or more historic contexts and describe them in a final project report that is at the level of a Multiple Property Document in its detail and scope (please note that the MPD form should not be used. Instead, the information should be provided in report form only.). These projects are very labor intensive, requiring many people and/or many hours to completely record: map, photograph, describe and to research: each property and context, to complete the evaluations of potential significance, to prepare the final report and to complete the associated documentation (site inventory forms and photographic records).

The size of your survey area and the number of properties, requiring recordation, should be selected on the basis of three factors: personal, hours, and/or cash. You will need a combination of reliable volunteers who are committed to the project, City or County staff who can devote work hours to the project, and/or the cash to pay for the consultant. Some CLGs have done large surveys using a small group of volunteers who have put in over 1,000 hours assisting their consultant. Other CLGs have been able to combine volunteers, staff hours, and a consultant. A third scenario is the CLG which has relied exclusively on staff and consultants. The point is to make a realistic assessment of your resources and tailor the size of the project accordingly.

Survey projects can be done in phases. It might be useful to divide the proposed survey area into smaller units if you think you do not have the personnel and/or cash to do the entire area.

If the survey is archaeological or interdisciplinary, there are some additional provisions. Archaeological site information is recorded on Office of the State Archaeologist Site Forms. The report must meet the information/content requirements of the Association of Iowa Archaeologists' *Guidelines for Archaeological Investigations in Iowa* and a National Archaeological Data Base form is completed for each project. Finally, provision must be made for permanent curation of artifacts and associated records at a repository that meets the Secretary of the Interior's Standards for Curation.

ONLINE ASSISTANCE An explanation of identification (survey) and evaluation and an outline of requirements are found in the Secretary's Standards and Guidelines for Evaluation. Go to the National Park Service's website to download [The Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation](#). This version is updated and annotated and can be downloaded and printed.

The following National Park Service Publications provide more information and are available on-line at <http://www.nps.gov/history/publications.htm>

Guidelines for Local Surveys: A Basis for Preservation Planning. National Register of Historic Places -- Bulletin 24.

Researching a Historic Property. National Register of Historic Places -- Bulletin 39.

Guidelines for Counting Contributing and Noncontributing Resources for National Register Documentation. National Register of Historic Places -- Bulletin 14.

How to Apply National Register Criteria for Evaluation. National Register of Historic Places -- Bulletin 15.

How to Complete the National Register Registration Form. National Register of Historic Places -- Bulletin 16A.

How to Complete the National Register Multiple Property Documentation Form. National Register of Historic Places -- Bulletin 16B.

EVALUATION is determining whether a property or group of properties meets the National Register or local significance and integrity criteria and therefore is eligible for listing on the National Register of Historic Places or local designation. The evaluation process will not place properties on the National Register but will recommend the best candidates for nomination as individual and/or district listings. Essentially, evaluation involves using a historic context as the framework for determining significance and then using the results of research to show how and why a property meets one or more of the National Register significance and integrity criteria.

It is recommended that evaluation be done in conjunction with intensive survey. However, if an intensive survey and evaluation was done prior to 2003, an evaluation project probably will be needed in order to update information about the buildings' integrity, photographs and prior evaluation recommendations.

If the evaluation is archaeological or interdisciplinary, there are some additional provisions. Archaeological site information is recorded on Office of the State Archaeologist Site Forms. The report must meet the information/content requirements of the Association of Iowa Archaeologists' *Guidelines for Archaeological Investigations in Iowa* and a National Archaeological Data Base form is completed for each project. Finally, provision must be made for permanent curation of artifacts and associated records at a repository that meets the Secretary of the Interior's Standards for Curation.

REGISTRATION

Registration is official recognition of a significant and therefore historic property by nominating or designating it to a register maintained by the federal or local government. Registration projects involve placing properties on the National Register of Historic Places or on a municipal or county register of historic places. Registration projects should be undertaken if the property has been determined potentially eligible for National Register nomination through an intensive survey and evaluation project or personal research (survey and evaluation) which has been submitted to the State Historic Preservation Office and resulted in a determination of potential eligibility.

Registration activities also may include refinement and elaboration of historic contexts and submission of the Multiple Property Cover Document along with at least one property nomination for approval and listing on the National Register. Multiple Property Cover documents and the historic contexts outlined within cannot be used for nomination purposes until they have undergone the same State and Federal review process as nominations.

NATIONAL REGISTER NOMINATIONS Cities and counties that have surveyed and evaluated properties are encouraged to complete the process by nominating properties, determined significant and eligible for listing, to the National Register of Historic Places. This typically involves completing additional research and recordation, preparing and submitting the nomination for a series of reviews by State Staff and then for the final review to the State Nomination Review Committee. Guidance for preparing National Register nominations can be found in the National Register Bulletins listed above. National Register nomination projects must have final nominations and supporting document ready for review by the State Nominations Review Committee at their June meeting.

The following guides, available on the Web at <http://www.nps.gov/history/publications.htm> should be of help to you:

Guidelines for Counting Contributing and Noncontributing Resources for National Register Documentation. National Register of Historic Places -- Bulletin 14.

How to Apply National Register Criteria for Evaluation. National Register of Historic Places -- Bulletin 15.

How to Complete the National Register Registration Form. National Register of Historic Places -- Bulletin 16A.

How to Complete the National Register Multiple Property Documentation Form. National Register of Historic Places -- Bulletin 16B.

LOCAL REGISTRATION If a county or city has passed an ordinance that allows for the designation of local historic landmarks and districts, then those counties and cities may use a CLG grant to prepare nominations for local designation of individual landmarks or historic districts.

If a CLG commission does a local registration project, they should plan to involve interested or affected parties (especially property owners) and the general public in all aspects of the project. Incorporate workshops, focus groups, or other public meetings at all phases of the project to allow for public participation.

Local registration projects funded with these grants must employ National Register of Historic Places criteria, standards, and guidelines for measuring significance and for documentation.

PLANNING

Planning within the Secretary of the Interior's Standards encompasses the development of a long-term program for identification, evaluation, and registration of historic properties and contexts within a city or county. The objective is to develop and maintain an inventory of historic properties which can be used to assist in the treatment, maintenance and long-term protection of those properties.

In addition, the National Park Service recognizes that planning also involves integrating municipal or county historic preservation into comprehensive planning processes. This type of planning can include development of any of the following:

1. Local policies: governmental commitment to maintain publicly owned historic buildings or policy to seek historic properties when additional facilities are needed;
2. Incentives: revolving funds, property tax abatement, freeze, or credit; no or low cost loans;
3. Streets: promote appropriate parking, streetscape design and maintenance, signage, relate traffic patterns to use of historic properties;
4. Maintenance programs for historic properties: free or low cost paint, tool bank/exchange; development of training programs in appropriate painting, pointing, repair procedures;
5. Architectural salvage and recycling building materials;
6. Regulatory: local designation, historic conservation zoning, historic preservation easements, historic building codes;
7. Programs to ensure maintenance, protection and continued use of historic properties. This type of planning also involves establishing review and communication networks among local governmental staff and departments (planning, engineering, roads, parks, utilities, permits);
8. Accessibility issues for historic buildings.

The planning projects can be done on a step-by-step basis, or a community might choose to develop a plan incorporating many of the activities described below:

- Develop historic contexts to guide future survey and evaluation projects in your city or county.
- Develop a plan for completing intensive level survey and evaluation projects of your city or county.
- Reviewing your local government's ordinances (e.g., zoning, subdivision, historic preservation) and regulations (e.g., building codes, health and fire codes) which affect historic properties. Prepare revisions that allow for recognition and protection of local historic properties.
- Developing design guidelines for proposed alterations of National Register listed and/or locally designated historic landmarks or properties in local historic districts.
- Developing local incentives to encourage appropriate rehabilitation, use, and preservation of historic properties.
- Developing a historic preservation component to incorporate into your local comprehensive plan.
- Developing a system for local designation of single properties and historic districts.
- Develop a financial incentive program for rehabilitating and maintaining historic properties.
- Develop a training program and literature to enhance and facilitate interdepartmental communication about historic preservation issues.

PUBLIC EDUCATION

These projects provide CLG historic preservation commissions with an opportunity to educate their communities about local historic properties and the local historic preservation program. Public education activities should be based on work that meets the Secretary of the Interior's Standards, where applicable. Public education projects must relate to historic preservation activities. Ideally, the projects should also relate to historic properties within your city or county—you need to provide this linkage in your grant application.

Public education projects can include these activities: preparing a publication, audio or visual materials; presenting a workshop, conference, lecture, or class; developing curriculum for local schools; adult education programs; or training materials for realtors, contractors, or owners of historic properties. A commission can work with local partners (e.g., civic, historic, youth groups) on the project. The project must focus on historic preservation. Here are some examples of public education projects:

- Apply for scholarship money to send a preservation commissioner or preservation commission staff person to a conference or course. Examples include National Alliance of Preservation Commissions Forum, the National Trust for Historic Preservation Conference, Campbell Center for Historic Preservation Studies, National Preservation Institute, National Main Streets Conference, Preservation Leadership Training, etc.
- Develop a walking tour and brochure featuring National Register properties in your community, see <http://www.cr.nps.gov/nr/travel/index.htm> for additional ideas;
- Work with elementary or high school teachers to develop courses and projects that use local historic properties to teach various aspects of local history, see <http://www.cr.nps.gov/nr/twhp/index.htm> for additional ideas;
- Present a workshop on historic paint colors for owners of historic properties;
- Present a workshop on historic window rehabilitation or masonry restoration;
- Use the results of a survey to develop an exhibit on historic farms and their stories, see [Telling the Stories: Planning Effective Interpretive Programs for Places Listed in the National Register of Historic Places](#) at <http://www.nps.gov/nr/publications/bulletins/interp/>

A commission might organize a workshop on a preservation topic of local interest, e.g., researching your property, applying design guidelines in an historic district, and how to conduct a survey. Exhibits, produced with these grants, must be directly linked to historic preservation: photographic exhibit of National Register listed properties; video tape providing instruction about rehabilitation; power-point presentation on filling out a site inventory form, workshop on porch restoration, etc.

Grant money can be used for planning and organizing the project, promotion and publicity, preparation of materials (registration, schedules, and evaluation forms), obtaining speakers or renting special materials such as videotapes, and producing materials to hand out at the meeting. Grant money cannot be used for refreshments or meals served at the conference. Conference activities should be based on work that meets the Secretary of the Interior's Standards, where applicable.

PRE-DEVELOPMENT PROJECTS

Pre-development projects are used to plan for 1) applying the appropriate treatment, 2) long-term stabilization and maintenance, and 3) use or adaptive reuse of National Register listed properties. In effect, pre-development projects provide plans for activities that protect and preserve significant, historic properties. Eligible activities include preparing architectural plans to implement the appropriate "Historic Property Treatment," conducting engineering studies, researching and writing historic structure reports, and preparing feasibility studies or master plans. The projects may focus on prehistoric or historic archaeological sites as well as on buildings, structures, and objects. The

Secretary of the Interior's Standards http://www.cr.nps.gov/local-law/arch_stnds_0.htm provide guidance for preparing the documentation required for pre-development projects.

If the project will involve a building, structure, or object, then all work must follow the Secretary of the Interior's Standards for the Treatment of Historic Properties, 1995. In addition, the final report may need to follow Historic Structure Report format. See Preservation Brief #43 Preparing a Historic Structure Report (<http://www.nps.gov/tps/how-to-preserve/briefs/43-historic-structure-reports.htm>)

For archaeological sites, pre-development grants should be used only to develop plans to preserve and manage sites, e.g., stabilization, non-destructive uses, and erosion control. These grants are not to be used for additional study of the site's prehistoric and/or historic occupations.

The State requires the following of applications for pre-development projects:

1. Funds can be used only on properties that are listed on the National Register of Historic Places. Priority will be given to properties that are endangered.
2. Funds should be used on properties that are publicly owned or that are owned by a not for profit organization and open for public use.
3. Applications for predevelopment projects must have photographs of each property to be assisted. For historic /architectural properties, one interior view and one exterior view are required of each property. For archaeological properties, one photograph is required.

PART III COMPLETING THE APPLICATION

The following includes caveats, helpful hints, and useful information to guide you through writing the application. In addition, you can request a copy of a funded application for a project like the one you wish to do. Let's begin with some background information.

What is involved in doing a grant project?

Grant projects tend to be labor intensive and do require time. If you are considering a survey and evaluation project, be ready to commit many hours to research and recordation. If you are considering developing some form of local protection for historic properties, e.g., landmark and district designation; conservation districts, plan on lots of meetings, publicity so that you get the community involved, and many drafts and revisions. Grant projects offer an opportunity to involve new people and groups in your historic preservation effort.

Here are the key elements in a grant project once you awarded the grant:

- Working with state project manager on all aspects of the project through phone, email consultation and submission of monthly progress reports.
- Develop a satisfactory request for proposals (RFP) to send to consultants, establish criteria for selecting a consultant and to developing a subcontract for hiring the consultant.
- Hiring a consultant.
- Scheduling a kick off meeting with consultant and state project manager to go over project goals, project schedule, research design if needed, allocation of project responsibilities, and get consultant's input on best way to do the project.
- Recruiting, training and organizing volunteers to do project activities.
- Do the project activities (e.g., meetings, training, research and/or recordation, organize and present event, assist in report preparation) over a 6 to 8 month period.
- Preparation of draft grant products and submission to State for approval.
- Preparation of final grant products and submission to State for approval.
- Preparation and submission of Request for Reimbursement(s) with accompanying documentation of expenses and match.

Consultant, Professional—what does this mean?

CLG grant funded projects must be conducted or supervised or reviewed by an appropriately qualified professional, which generally means a preservation professional who meets the Secretary's Professional Qualification Standards for the relevant discipline. When a project involves a workshop, presentation, publication, exhibit, or event, you may also need to seek other professional expertise. If more than one discipline is involved, then the consultant or consultants should have expertise in those disciplines. The Secretary of the Interior's Professional Qualifications are at:

http://www.nps.gov/history/local-law/arch_stnds_9.htm

Currently, Professional Qualification Standards have been developed for Architecture, Archaeology, Architectural History, and History. Standards for Cultural Anthropology, Folklore, Curation, Conservation, Rural or Urban Planning, Cultural Geography are not available. In any event, the professional staff in the State Historic Preservation Office determines if an individual qualifies as a preservation professional or has professional expertise in non-preservation areas, e.g., exhibit design, graphic design, publishing, publicity, marketing, technology.

In summary, on the application, specify the types of professional expertise needed for the grant project. For each professional, calculate the amount of time needed and the professional hourly rate, and, if out of town, include per diem and travel expense—as appropriate. If the consultant is to be paid from the CLG grant, then put the total salary, per diem, and mileage amounts in the column marked Federal/CLG Grant. If the consultant is a city or county employee or a historic preservation commissioner, then put the total salary expense in the “applicant match, in-kind” column.

Division of project responsibilities, who does what?

The Historic Preservation Commission needs to decide when they complete the grant application, how work on the project will be allocated. Some commissions have the consultant do most of the work. This means asking for a larger grant because of the salary and travel expense for the consultant. Other commissions choose to assist the consultant and do much of the work themselves. Often this will reduce the cost of the project. If a commission chooses to do project work, it is very important that the commission fulfills this commitment. Survey and evaluation projects will fail when commission members do not complete their assigned research and recordation tasks. Remember, if a CLG does not use all of their grant award or fails to provide sufficient match, then the unspent money must be returned to the National Park Service and next year that amount will be deducted from Iowa’s Historic Preservation Grant. The next two sections describe the jobs that typically are assumed by the Historic Preservation Commission, volunteers and staff and those that are generally assigned to Consultant.

What are the responsibilities of the local project director and Historic Preservation Commission members in the grant project?

- The Commission prepares the Request For Proposals (RFP) and consultant subcontract; obtains State review and comment on the RFP and contract, sends the RFP to no less than 3 qualified consultants, reviews the consultant proposals, selects the consultant, and hires the consultant.
- Organize any meetings (including the kickoff meeting at the beginning of the project), training sessions, tours, or other events held as part of the project. This will include scheduling, finding locations, publicizing, actively recruiting participants or volunteers, setting up, hosting, and cleaning up.
- Assist consultant in gathering information, illustrations or photographs for the draft and final project reports.
- Prepare, print, and distribute to the State all grant products. Actually, this is negotiable. Some consultants can provide this service themselves but will need to be reimbursed for it.
- Prepare one-page report.
- Submit draft and final products to the State for review and comment.

- Submit completed monthly progress reports to the State Project Manager during the course of the project.
- Submit requests for reimbursement along with documentation to the State CLG Coordinator.
- Submit requests to the City or County to pay the consultant.
- Maintain documentation of local match: hours volunteered, mileage expended, materials donated, donated facilities, donated professional services, etc.

WHAT COSTS AND ACTIVITIES ARE ASSOCIATED WITH PROJECTS?

Translate these lists into the activities you will need to undertake to complete your project. Use the lists to give you a sense of time, materials, and costs involved in doing each activity.

Consultants need to be paid for hours spent on:

1. Preparing for training sessions, meetings, and preparation of handout materials, draft report, final report, HADB form.
2. Research in Des Moines, Iowa City or other locations.
3. Travel to your community, touring your community, travel to research facilities.
4. Conducting training sessions or meetings.
5. Consulting with the local project director and SHSI project manager in person, on the phone, or by email.
6. Doing on site demonstrations of research or recordation of properties.

Consultants should receive:

1. Reimbursement for mileage accumulated during project related travel.
2. Reimbursement for meals and lodging while traveling.
3. Instead of reimbursement, some consultants are willing to receive in-kind lodging and meals, in effect be guests in the homes of Staff or Historic Preservation Commission members.

The following services and supplies may be needed to conduct the project:

- Correspondence between State, consultant, local project director.
- Publicity mailings, emails, phone calls for meetings, training sessions, presentations.
- Print and produce the draft and final reports or other printed materials (handouts, brochures, exhibit labels, etc.).
- Various paper supplies: stationary, copy paper; envelopes, file folders, labels, etc.;
- Photographic materials: Digital photographs will be accepted, see Appendix for details to assist you in determining associated photographic costs.
- Drafting services to make maps and plans.
- Clerical services.

The following communication costs are typically used on projects:

- Telephone
- Email

- Postage
- Fax
- Printing costs

Curation costs for Archaeological Survey and Evaluation Projects

Archaeological and interdisciplinary reconnaissance surveys will need to specify a curation facility, where archaeological materials, recovered during the survey, will be stored. The curation facility must meet the Secretary of the Interior's Standards for Curation. Generally, curation facilities have a per unit charge for curation. The primary curation facility in Iowa is the University of Iowa. However, there are other agencies in Iowa that meet the Secretary of the Interior's Standards.

REQUIRED GRANT PRODUCTS

When you answer Section C on the application, be sure to insert the list of required products for all projects, any additional products that are required your specific type of project, and any extra or intangible products that will result from the project.

REQUIRED PRODUCTS FOR ALL PROJECTS

The following items must be produced. Be sure to include the list on the application. Estimate the cost of producing each and figure value into your budget request.

1. Draft Request for Proposals (RFP), subcontract and a list of consultants to whom these documents will be sent;
2. Final Request for Proposals (RFP) and subcontract for distribution to consultants;
3. Signed and executed subcontract agreement with the selected consultant;
4. One-page report, summarizing the project results, required for all CLG grant-funded projects; acreage and number of resources surveyed or nominated must be reported.
5. Monthly reports

ADDITIONAL REQUIRED PRODUCTS FOR EACH CATEGORY OF PROJECT

The following are lists of items that must be produced for specific types of projects. Be sure to include the list for your type of project on the application. Estimate the cost of producing each and figure that into the project budget.

PLANNING FOR PRESERVATION PRODUCTS

- Project research design discussing project activities and methodology
- Three (3) copies of the draft planning for preservation report;
- A minimum of ten (10) bound copies of the final planning for preservation report (can be double sided)
- One unbound, print-ready master copy of final planning for preservation report (must be single sided)
- Three (3) CDs with a PDF file of the final planning for preservation report

- A completed Historic-Architectural database (HADB) encoding form, summarizing the report

RECONNAISSANCE SURVEY PRODUCT LIST

- Project research design discussing project activities and methodology
- Three (3) copies of the draft survey report containing the information found in a Multiple Property Document (MPD) but in the form of a survey report;
- A minimum of six (6) bound copies of the final survey report (can be double sided)
- One unbound, print-ready master copy of the final survey report (must be single sided)
- Three (3) CDs with a PDF file of the final survey report
- A completed Historic-Architectural database (HADB) encoding form, summarizing the project report if this project involves a standing structure; or a completed, typed National Archaeological Database (NADB) encoding form
- Two (2) sets of any typed Iowa Site Inventory forms, prepared for building, structure, object or site (other than archaeological) recorded or updated during the project. Information about requirements for digital photography can be found at: <http://www.iowahistory.org/historic-preservation/statewide-inventory-and-collections/iowa-site-inventory-form.html>

INTENSIVE SURVEY AND EVALUATION PRODUCTS

For Architectural and Historical Survey and Evaluation Projects:

- Project research design discussing project activities and methodology
- Three (3) copies of the draft survey report containing the information found in a Multiple Property Document (MPD) but in the form of a survey report;
- Five (5) to ten (10) typed sample/draft Iowa Site Inventory forms, each with at least one photographic image
- A minimum of six (6) bound copies of the final survey report (can be double sided)
- One unbound, print-ready master copy of the final survey report (must be single sided)
- Three (3) CDs with a PDF file of the final survey report
- A completed Historic-Architectural database (HADB) encoding form, summarizing the project report if this project involves a standing structure
- Two (2) sets of any typed Iowa Site Inventory forms, prepared for building, structure, object or site (other than archaeological) recorded or updated during the project. Information about requirements for digital photography can be found at: <http://www.iowahistory.org/historic-preservation/statewide-inventory-and-collections/iowa-site-inventory-form.html>

For Archaeological Survey and Evaluation Projects:

- Project research design discussing project activities and methodology
- Three (3) copies of the draft survey report with sample draft Office of State Archaeologist site record forms
- A minimum of six (6) bound copies of the final survey report (can be double sided) with final Office of State Archaeologist site record forms, for each new site located. For previously

reported archeological sites, prepare an updated site record form. Information about requirements for digital photography can be found at: <http://www.iowahistory.org/historic-preservation/statewide-inventory-and-collections/iowa-site-inventory-form.html>

- One unbound, print-ready master copy of final survey report with the above site forms (must be single sided)
- The consultant will also submit the archaeological record forms online to the Iowa Office of the State Archaeologist through I-Sites
- Three (3) CDs with a PDF file of the final survey report with site forms
- A completed, typed National Archaeological Database (NADB) encoding sheet, summarizing site information, must be submitted to the State.

For Interdisciplinary Survey and Evaluation Projects (e.g., architectural and archaeological survey):

- Project research design discussing project activities and methodology
- Three (3) copies of the draft survey report with sample site inventory forms and sample draft Office of State Archaeologist site record forms
- A minimum of six (6) bound copies of the final survey report with site inventory forms and Office of the State Archeologist site record forms (can be double sided)
- One unbound, print-ready master copy of the final survey report with the above forms (must be single sided)
- Three (3) CDs with a PDF file of the final survey report and site forms
- A completed Historic-Architectural database (HADB) encoding form, summarizing the project report if this project involves a standing structure
- The consultant will also submit the archaeological site record forms online to the Iowa Office of the State Archaeologist through I-Sites

REGISTRATION PROJECTS PRODUCTS

For the National Register Nomination:

- Project research design discussing project activities and methodology
- Draft and final nominations and photographs following the [digital process](#)
- PowerPoint presentation for the State Nominations Review Committee meeting
- CD-R Submittals (one gold Archival CD-R, one regular CD-R)

PLANNING PROJECTS

- Project research design discussing project activities and methodology
- Three (3) draft copies of the plan, ordinance, guidelines or other document being prepared as part of this project
- A minimum of six (6) bound copies of the final document (can be double sided)
- One unbound, print-ready master copy of final document (must be single sided)
- Three (3) CDs with a PDF file of the final document
- A completed, typed National Archaeological Database (NADB) encoding sheet, summarizing site information, must be submitted to the State or Historic-Architectural database (HADB) encoding form, summarizing the project report if this project involves a standing structure

PUBLIC EDUCATION PROJECTS

If a consultant is hired:

- Project research design discussing project activities and methodology
- Three (3) draft copies of the documents being prepared as part of this project
- A minimum of six (6) copies of the final documents
- Three (3) CDs with a PDF file of the final documents

If brochures, flyers or pamphlets are produced:

- Two (2) draft copies of any brochure, flyer, or pamphlet;
- A minimum of fifteen (15) copies of each final version of any brochure, flyer, or pamphlet

If a conference, workshop, or lecture is presented:

- Two (2) draft copies of each of the following types of material: all promotional material, programs, conference notebooks or hand-outs created by the CLG as part of the project;
- Two (2) copies of a draft evaluation form to be distributed to participants
 1. Ten (10) copies of programs and hand-outs
- One (1) of each of the following:
 2. A list of participants with names, addresses and CLG Affiliation
 3. Completed Conference Evaluation Forms collected from each of the Participants
 4. Promotional Flyers, press releases, etc.

If an exhibit is presented:

- Two (2) draft copies of promotional material, program, captions or other text;

- Four (4) final copies of promotional material and program;
- Three (3) sets of labeled photographs documenting any exhibit produced

If audio-visual materials or publications are developed:

- Two draft copies of scripts, publications, curriculum materials, or outline/conceptual plan for audio-visual materials;
- Ten (10) final copies, including one unbound, print-ready master copy of script, publication, and curriculum materials;
- Two draft copies of proposed slide show, video tape, CD-ROM, or DVD presentation;
- Ten (10) final copies of labeled CD-ROMs; and/or labeled DVDs.

PRE-DEVELOPMENT PROJECTS

- Project research design discussing project activities and methodology
- Three (3) copies of the draft project report (this will be the feasibility study, structural assessment, etc.);
- A minimum of ten (10) copies of the final project report, to include 9 bound copies and one unbound, print-ready master copy; this will be final version of the feasibility study, structural assessment etc.
- A completed Historic-Architectural database (HADB) encoding form, summarizing the project report if this project involves a standing structure; or a completed, typed National Archaeological Database (NADB) encoding form, summarizing site information if the project involves an archaeological site.
- Three (3) CDs with a PDF file of the final documents

CHECKLIST FOR THE COMPLETED APPLICATION:

- Filled in all of the blanks?
- Responded to all of the questions?
 - Clearly stated the type(s) of project you will be undertaking?
 - Clearly stated the type of historic preservation professional who will be hired as a consultant?
 - Provided the specific information required for the project you want to do?
 - Have you made a convincing case why this historic resource(s) is important? Please do not assume that the grant reviewers will know of the resource or know why it is significant!
- Completed the budget?
- Have you covered the costs for all the activities and required products for your type of project?
- For each expense:
 - Identified the type of expense, “Consultant Salary”
 - Identified the amount of quantity, “200 Hours”
 - Identified the unit rate, “@ \$50.00 per hour”
- Does the Federal Amount, CLG Grant, equal sixty (60) percent of the total project costs?
- Does the Local Match (CLG Amount) equal at least forty (40) percent of the total project costs?
- Please check your math.
- Indicated that you will use a consultant who meets the Secretary of the Interior’s Professional Qualifications?
- Indicated that you have sufficient personnel and volunteers to generate match and complete the project

PART IV

DEVELOPING YOUR BUDGET

All costs for your project must conform to federal guidelines. Detailed information is provided in Office of Management and Budget Circulars A-87 and A-122 and in the National Park Service, Historic Preservation Fund Grants Manual, 1997. These are summarized below.

BUDGET EXPLANATION:

- The budget for the project is made up of two parts: the CLG Grant and the Applicant's Match. The CLG Grant consists of those costs or portions of costs that are to be reimbursed by the Historic Preservation Fund (HPF) grant (federal) dollars. The Applicant's Match consists of those costs or portions of costs that are provided by the CLG local government (applicant match). All costs, both the HPF federal portion and the Applicant match must be adequately documented in the budget.
- The Applicant's match may consist of Cash Contributions, representing the Applicant/grantee's cash outlay, including the outlay of money contributed to the grantee by nonfederal third parties, and/or In-Kind Contributions, representing the value of non-cash contributions provided by the grantee or nonfederal third parties. In-kind contributions represent the value of non-cash contributions provided by the grantee or nonfederal third parties. These can consist of charges for real property, non-expendable personal property, and the value of goods and services directly benefiting and specifically identifiable to approved objectives of the grant-supported project. Please remember that there is no cash match requirement for CLG grants. Your match may consist entirely of in-kind match.
- The match ratio for all projects is 60/40. The federal grant should be sixty percent (60%) of the total cost for the project. The local government provides forty percent (40%) of the total cost for the project. If the total cost of a project is \$10,000, then the requested grant should be for \$6,000.00 and the applicant match provided by the local government should be \$4,000.00.
- All of the costs must be in payment of an obligation incurred during the grant period. You cannot charge for costs incurred prior to the award of the grant, nor can you charge for costs that will be incurred after the grant project is completed.
- All costs must represent expenditures that are necessary to the accomplishment of the grant objectives and are outlined in the budget. Make sure that each cost in your budget represents an expense that is needed to support the proposed grant activity.
- Generally, you cannot use transferred federal monies as applicant match; nor can you use money from other federal grants as applicant match. The rule of thumb is that federally derived money cannot match federally derived money. There are two exceptions. The first is Community Development Block Grant money; this can be used as applicant match for CLG federal grants. The second exception is TEA-21 enhancement grants, administered by the Iowa

Department of Transportation. Under certain conditions, the Iowa Department of Transportation will allow CLG Grant monies to serve as match for TEA-21 Enhancement Grant monies.

COSTS

The following costs are allowed:

- Communications. Communication costs incurred for telephone calls or service, fax, mail, messenger and similar communication expenses necessary for and directly related to grant project operations are allowable and may be charged to either the federal and/or applicant portion of the budget. Specify type of communication, cost basis and amount of usage, and total cost. For example,
 - *Postage mailing products: # of Items x Rate x Estimated total weight*
 - *Telephone: # of Calls x Length of Call x Rate per minute*
 - *Email: # of Email Postings x local rate (charged by Kinko's or like business)*

- Donated Goods (i.e. expendable personal property/supplies and donated use of space) may be furnished to a grantee. The value of the goods and space is not reimbursable. However, the value of the donations may be used to meet matching share requirements. Specify type of donated good, quantity donated, cost basis and total value.
 - *Paper: # of Reams x Cost per Ream*

- Room or Equipment rental. Rental and use private or publicly owned meeting space or of equipment: earth moving, surveying, computer, photographic, audio-visual and/or other equipment needed to conduct grant project activities is acceptable, provided the equipment is only needed for a short time. The value shall be based on the rental agreement. The cost of which may not exceed the rental cost of comparable equipment in that locality. This may be charged to either the federal and/or the applicant's share of the grant project costs. Specify type of rental (room or type of equipment), estimated length of rental, rental rate and total cost of each rental. For example,
 - *Room rental (local rate for conference room rental) # of hours use x hourly rate*
 - *Photographic or computer system rental: # hours used x hourly rental rate*

- Materials and supplies. The cost of materials and supplies, necessary to carry out the grant project, are allowable. This may include maps; material for grant related correspondence, reports, flyers, pamphlets. Purchases made specifically for the grant project 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. These may be charged to the federal and/or applicant's share of the project. Specify type of material or supply being used, amount, price and total price.

Materials and supplies donated by third parties. The cost of these supplies may be charged at cost under any recognized method of pricing, consistently applied. The value should be placed in the applicant match in-kind column of the budget. Show type of material or supply, cost, and total value.

- Professional and consultant service costs. Cost of professional and consultant services rendered by persons or organizations that are members of a particular profession or possess a special skill, are allowable. A subcontract with consultant outlining responsibilities, standards, products and fees will be required. Consultants are reimbursed for all time spent on the project (planning training workshops, participating in workshops/meetings, research, fieldwork, travel time to the CLG, research facilities, etc.). The current maximum hourly rate is \$89.41 or \$715.00 per day.

In the budget, show total number of hours, hourly rate of pay, and total compensation for consultant and as separate costs, total mileage, mileage compensation rate and total cost for mileage as well as total per diem days, per diem rate, and total cost of per diem expense.

Publication and printing costs. Costs of printing and reproduction services necessary for grant administration and grant project activities are allowable. Photographic processing and printing are included in these costs and should be identified as such. These can be charged to the Federal and/or the applicant share of the total project cost. Specify type of item, number produced of each item, show per page or copy rate and the total cost.

- Personnel. Project-specific personnel hired as regular employees specifically for the grant project. Eligible costs are salary expenses. These costs may be charged to the federal portion and/or the applicant portion of the budget. These costs are classified as "cash" on the budget page of the grant application. On the budget page, for each project specific employee hired, show the total estimated hours times the hourly rate and total salary expense, e.g., *draftsman @ \$20.00 x 5 hours.*
- Volunteers. Volunteer personnel may contribute time to the grant project. If a volunteer is performing tasks within his/her normal trade or profession, eligible costs include the volunteer's normal rate of pay up to established maximums. If the volunteer is performing tasks outside of his/her normal trade or profession, eligible costs may include the rate established by the Independent Sector for the hours worked. These costs may be utilized only for the applicant portion of the budget and are classified as In-kind/Volunteer on the budget page of the grant application.
- Personal Services. These costs would include reimbursement to regular employees of the city or county who spend all or part of their time working on the grant project. Eligible cost is the salary of the employee. The employee must be working in the same skill for which he/she is normally paid; otherwise, the wage rate established by the Independent Sector is used. These costs may be charged to the applicant match portion only. These are considered in-kind match and would be placed in the In-kind/Volunteer match column. In Budget Table, show estimated

hours X hourly rate for each employee and total salary cost. On budget page show as follows, *Planning Director, hourly salary rate \$30.00 x 40 hrs. = \$1,200.00.*

- **Mileage.** The mileage of trips taken in performing grant activities costs may be charged to the grant budget. Mileage costs do not include costs of mileage from place of residence of project personnel to the project site (except consultants who live in one community and travel to job site in another community). Mileage paid for by the Applicant/grantee to consultants or personal hired to work on the project may be charged to the federal portion and/or to the applicant match portion of the budget. Donated mileage accumulated by CLG employees or third party volunteers while engaged in project activities may be charged only to the applicant match portion. Maximum mileage rate is 39 cents per mile. On the budget page, show total estimated mileage times mileage rate and total cost of or value of accumulated mileage, e.g., *consultant mileage 500 miles x 39 cents per mile = \$195.00*
- **Travel.** Travel costs are allowable for expenses for transportation, lodging, subsistence, and related items incurred by consultants or other paid employees while engaged in grant project activities. 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. Maximum rates for travel related costs are as follows:

Actual Basis:

Breakfast, up to \$ 8.00

Lunch, up to \$ 9.00

Dinner, up to \$18.00

Lodging, up to \$ 68.00 plus taxes, per night

Or

Per Diem Basis

Total Charge per day for meals and lodging \$103.00

Could add a daily mileage allowance

What costs can be underwritten by the grant?

- With two exceptions, all costs can be charged to the grant. The two exceptions are staff salaries, commissioner and volunteer reimbursement for time and mileage.
- Costs can be divided between the grant and the applicant. For example, a charge of \$200.00 for copying could be prorated to \$100.00 as part of the grant request and \$100.00 as CLG applicant cash match.

What can be used as “Applicant In-Kind Match”?

- All the time that the local project director and commission members spend involved in grant project related activities.
- All the time that volunteers and meeting participants spend involved in grant project related activities including meetings, review of documents, planning
- All the time that city or county staff and officials spend involved in grant project related activities
- All the mileage that commissioners, volunteers, staff and officials accumulate traveling to participate in grant project related activities.
- The value of all communication costs (telephone, email, post, fax), materials (paper and filing supplies, etc.), services (clerical, photographic, drafting, graphic arts, editing, administrating, etc.) that local project director, volunteers, commissioners, and staff contribute to the project.
- The value of goods (e.g., paper, copying or printing etc.) and services (e.g., producing multiple copies of the final report, computer services, professional photography, graphic artist, promotional) contributed to the project by the City or County or the public.
- Local value of equipment or facility rental for meetings and other project related events. In regard to equipment rental, e.g., use of projectors, public address systems, video recorders, Iowa Communication Network, or equipment (remote sensing, machinery) for archaeological investigation

The following costs are not allowed:

- Any cost related to a fundraising appeal.
- Alcoholic Beverages. Costs of alcoholic beverages are unallowable.
- Archaeological Salvage. Costs of data recovery unrelated to increasing an understanding of a National Register property are unallowable.
- Honoraria. Payments 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).
- Lobbying. The cost of certain activities associated with obtaining grants, contracts, cooperative agreements, or loans is an unallowable cost. 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. For non-profit organizations, attempts to influence outcomes of any Federal, State, or local election, referendum, initiative, or similar procedure, through in kind or cash contributions, endorsements, publicity or similar activity; any attempt to influence: the introduction of Federal or State legislation; or the enactment or modification of any pending Federal or State Legislation; legislative liaison activities, including attendance at legislative sessions or committee hearings, gathering information regarding legislation, and analyzing the effect of legislation, when such activities are carried on in support of or in knowing preparation for an effort to engage in unallowable lobbying.

- Meals. Costs of meals for grantee employees or CLG Commission members are not allowed, except as per diem when such persons are on travel status in conjunction with eligible activities (e.g., scholarship to attend the NAPC Forum).
- Mitigation expenses. Cost of mitigation activities performed as a condition or pre-condition for obtaining a Federal permit or license or funding by other Federal programs are not allowable.
- 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.

COMPLETING THE BUDGET

When working on this budget section, it is recommended that you begin with your large expenses that will be funded by the grant.

After that enter your expenses which will be provided by cash you will provide (if applicable). Then enter your in-kind match, for example volunteer labor (be sure to use the value established by the Independent Sector for Iowa; the most recent value is \$20.93/hour), any donated materials, etc.

Remember some costs can be split between the grant and applicant match (for example, you plan to pay a consultant a total of \$10,000. \$8,000 will be funded by the CLG grant and you will provide \$2,000 in cash match).

The most important figure on the Budget and the one that cannot be changed once your grant is awarded is the amount of the CLG grant.

PART V

PROCESS AND CRITERIA FOR EVALUATION OF APPLICATIONS AND RECOMMENDING GRANT AWARDS

THE REVIEW PROCESS

Three different groups evaluate the CLG grant applications: the Historic Preservation professional staff, the State Nomination Review Committee (SNRC), and the State Historical Society Board of Trustees.

During the historic preservation professional staff review, applications are checked to make sure they meet federal and state grant requirements (Evaluation Standard 1) and to provide preservation professional comment on how the project meets the other four Evaluation Standards.

The State Nomination Review Committee conducts individual and group reviews. They rank the applications and comment on them in their individual reviews, then meet and discuss the ranking of the applications during their group review. The group review is concluded with a funding recommendation. They can recommend the following:

- a. That a proposed project be funded in full
- b. That a proposed project be partially funded
- c. That a proposed project not be funded

The final review is done by the Trustees, who consider the review and recommendations of the SNRC, then make funding recommendations to the State Historic Preservation Officer.

The State Historic Preservation Officer makes the grant awards based on the evaluations and recommendations from these three groups. The evaluation process begins upon receipt of the final applications and will be completed in December.

EVALUATION STANDARDS

All CLG grant applications are evaluated using the five standards described below:

Standard I.

COMPLIANCE WITH FEDERAL STANDARDS AND STATE CLG GRANT PROGRAM GUIDELINES

Desired: The proposal and project activity conforms to federal standards and state CLG grant program guidelines. Meeting these standards and guidelines means the applicant used the appropriate application form, provided complete information, provide required number of copies, had original signature of chief elected official on one application on first page and the final budget page. In addition, the application was for historic preservation project, the proposed activities complied with the Federal Standards and State guidelines. The applicant proposed to generate all of the required products for that type of project. The budget was complete and all proposed costs met federal and state requirements

Not Desirable: If the proposed grant activity does not conform with federal standards or state CLG grant program guidelines, the project includes activities, products or projected costs that are not allowed, information is incomplete or missing, then the project may be disqualified. The project includes activities, products or projected costs that are not appropriate for the proposed project. The applicant incorrectly identified the type of project: e.g., identified as a planning project when it is registration project. The project will be done without the use of a historic preservation professional. Budget unit rates do not comply with federal or state standards.

Any project that is submitted before the final deadline and is found to be incomplete or problematic will be returned to the applicant to allow for revisions and corrections. To qualify, the applicant will need to submit the revised application by final deadline.

The State Nominations Review Commission uses Standards II. through V. when they review and evaluate the applications.

Standard II

CLEARLY STATED OR SPECIFIC GOALS THAT CAN BE REALISTICALLY ATTAINED WITHIN THE FUNDING PERIOD AND PROPOSED BUDGET.

Desired: There is a clearly stated goal for the project. The scope of work contains the requisite activities and products for achieving the goal and completing the type of project. The commission will use a qualified consultant and has sufficient in-house personnel (commission volunteers, city/county staff, community volunteers) to do the job. The budget is realistic in terms of time and cash allotments for completion of the various project activities. There is sufficient time to do the work.

Not desirable: It is unclear what the project goal is, several conflicting goals have been identified. The project includes activities and products cannot be completed within the proposed time frame. The local match for the project seems weak, e.g., not enough volunteers, too few hours, or too ambitious, expect too much from local volunteers. There is a lack of understanding of what such a project entails as reflected in the activities and schedule in the scope of work. Project personnel will not have the expertise needed to complete the work or there is not a clear demonstration of in-house paid or volunteer help to complete the project. The project cannot be completed within the stated time frame and/or for the proposed cost.

Standard III

MEASURABLE RESULTS OR PRODUCTS (NUMBER, QUALITY)

Desired: The applicant clearly describes the project impact and generated products and explains how this will further the local or state historic preservation effort. Describe the results or products how will these help to grow the historic preservation program. The project will result in the required products and there will be additional benefits. For example, public meetings in which the consultant will work with the commission and other volunteers from the community. An effort to publicize the project. The project may provide a model in terms of the way it is organized or the products generated for other CLGs.

Not desirable: The project will not result in the required products and/or schedule and budget suggest insufficient funds and time have been allotted to project so that the products will not be good ones.

Standard IV

LINKAGE WITH GOALS AND OBJECTIVES EMBODIED IN STATE OR LOCAL PRESERVATION PLANS.

Desired: The applicant demonstrates how this completion of this project fits into local and/or State goals. For example, the applicant discusses how a planning for preservation project will assist a newly certified City or County in understanding how they can use their historic preservation program to the benefit of the community and identify some future projects. Another example, the applicant discusses how the proposed survey and evaluation project will contribute to the local and state property inventory, position the area for future registration projects and better comprehensive land use planning in that area.

Not desired: The applicant makes no reference to long term local or state preservation goals and objectives. The applicant has not demonstrated an understanding of how this project will further historic preservation objectives in the community (city or county) and or the State.

Standard V.

ABILITY TO COMPLETE THE PROJECT

Desired: The applicant demonstrates through previous CLG grant performance or work on other historic preservation projects an ability to complete the task. In addition, the applicant shows commission commitment to the project through the involvement of commissioners; public support for the project through the involvement of staff, community groups and individuals. Local officials demonstrate project support through in-kind and cash match contributions.

Not Desired: The applicant does not address problems that occurred in previous CLG grant or other projects. There appears to be insufficient support by the commission, staff, groups and individuals. There is no local governmental support or involvement.

HOW SNRC APPLIES THE STANDARDS

The standards are applied to the application as a whole. A month before the October SNRC meeting, all SNRC members receive a packet containing the grant applications, staff comment, and a summary of each applicant's CLG grant history. The SNRC members read and rank the applications before the October meeting. Each application receives a ranking based on its relative rank from highest (should be funded) with a score of one (1) to lowest (should not be funded). For example, if fourteen (14) applications were submitted, then the lowest ranking application would rank fourteenth and receive a score of 14. The SNRC members send their ranking sheets to the CLG Coordinator, who prepares a table showing how each SNRC member scored and ranked each of the applications and showing the average rank of each application, determined by totaling the individual scores and dividing by the number of SNRC members.

APPEALS

Applicants may appeal CLG grant award decisions. The appeal should be submitted within 30 days of the notice of the award and directed to the Deputy State Historic Preservation Officer. The appeals procedure is outlined in the State of Iowa Administrative Code.

- a. The initial appeal shall be received within 30 days of notification of grant award.
- b. The written appeal shall contain the following items:
 - (1) Facts of the appeal;
 - (2) Argument in favor of the appeal; and
 - (3) Remedy sought.
- c. Appeals shall be considered on the grounds that staff or review committee action was:
 - (1) Outside statutory authority;
 - (2) Violated state or federal law;
 - (3) Afforded inadequate public notice;
 - (4) Procedure was altered to the detriment of the applicant without sufficient prior notice; or
 - (5) A conflict of interest.
- d. The Deputy State Preservation Officer will consider, rule on the appeal, and notify the appellant of the decision within 30 days of receipt of the appeal.
- e. If the decision and remedy is believed insufficient by the appellant, then the appellant may appeal to the State Historic Preservation Officer using the process outlined above. The State Historic Preservation Officer will consider, rule on the appeal, and notify the appellant of the decision within 30 days of receipt of the appeal.
- f. If the decision and remedy is believed insufficient by the appellant, then the appellant may appeal to the Director of the Department of Cultural Affairs, using the process outlined above. The Director of the Department of Cultural Affairs will consider, rule on the appeal, and notify the appellant of the decision within 30 days of receipt of the appeal. The decision of the Director of the Department of Cultural Affairs shall be final except as provided by Iowa code sections 17A.19 and 17A.20.

SAMPLE
CERTIFIED LOCAL GOVERNMENT
GRANT-IN-AID AGREEMENT
Contract No. 20xx-xx
STATE HISTORICAL SOCIETY OF IOWA
GRANT-IN-AID AGREEMENT FOR:

Linn County, Iowa

Phase II testing of archaeological sites and National Register eligibility determination of architectural properties

This agreement is made and entered into by and between **Linn County**, hereinafter referred to as the RECIPIENT, and the STATE HISTORICAL SOCIETY OF IOWA, hereinafter referred to as the STATE; WITNESSED THAT:

WHEREAS, the STATE, is interested in broadening the role of local governments in historic preservation through the Certified Local Government program; and

WHEREAS, the STATE, in accordance with the National Historic Preservation Amendments of 1980, is providing 10% of its annual federal Historic Preservation Fund appropriation to Certified Local Governments; and

WHEREAS, the RECIPIENT has demonstrated its interest in historic preservation by becoming a Certified Local Government, and desires to complete **Phase II testing of archaeological sites and National Register determination of architectural properties;**

NOW THEREFORE, it is agreed by and between the parties hereto as follows:

1. That the RECIPIENT is qualified to complete the attached Scope of Work (Exhibit C);
2. That the RECIPIENT will be responsible for overseeing all aspects of fiscal management;
3. That the RECIPIENT provide a permanent copy of financial records suitable for State and Federal audit as directed under the Single Audit Act of 1984, P.L. 98-502, if required;
4. That the STATE provide for only project costs eligible under provisions stipulated by the National Park Service, U.S. Department of the Interior for grants -in-aid. Project work which does not meet Secretary of Interior Standards will not be reimbursed for under this contract;
5. That the STATE monitor the project and provide input as called for in the attached Scope of Work (Exhibit C);
6. That the Recipient and the STATE mutually agree that if, during the duration of the contract, it is deemed necessary by either party to make alterations to or amendments to this Agreement, such changes shall be incorporated into this contract upon mutual agreement and shall be in effect as of the date of the amendment unless otherwise specified within the amendment;
7. That the STATE agrees to pay the project eligible costs under the terms of this Agreement;
8. That the RECIPIENT and the STATE mutually agree to abide by the general and specific conditions attached hereto as Exhibits A, B, C, and D;

9. That the RECIPIENT and the STATE mutually agree that all work performed under this contract will be completed by June 30, 20XX:
10. That the RECIPIENT and the STATE mutually agree that the cost of this contract shall be **\$10,000.00** (Exhibit D). All eligible costs necessary to carry out the project shall be initially advanced by the RECIPIENT and then the STATE shall reimburse the RECIPIENT for **\$10,000.00** upon receipt of all work products and as specified in the Scope of Work. The agreement will end on June 30, 20XX. The final bill must be submitted with the final report by June 30, 20XX.
11. Expenditures are to be according to the Budget, attached as Exhibit D. Adjustments between budget categories are permissible following written mutual consent between the RECIPIENT and the STATE;
12. The RECIPIENT will faithfully comply with all applicable Federal and State laws, regulations and guidelines, including the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation as published in the Federal Register on September 29, 1983;
13. The RECIPIENT shall hold the STATE and federal government harmless from damages in any action arising from the performance of work described herein.

IN WITNESS WHEREOF, the parties hereto have executed this contract on the day and year last specified below.

RECIPIENT

Lu Barron, Chair, Linn County Board of Supervisors

Date

STATE

, Deputy State Historic Preservation Officer, State of Iowa

Date

EXHIBIT A
GENERAL CONDITIONS

ARTICLE I - Amendment of Contract:

The RECIPIENT or the STATE may, during the duration of the Contract, deem it necessary to make alterations to the provisions of this agreement. Any changes, which shall be mutually agreed upon by both parties, shall be incorporated into this Contract. The provisions of the amendment shall be in effect as of the date of the amendment unless otherwise specified within the amendment. A waiver of any conditions of this Contract must be in writing from a duly authorized official of the STATE.

ARTICLE II - Patent and Copyright:

a. No material or product in whole or in part under this Contract shall be subject to patent or copyright by either party in the United States or in any other country.

b. The U.S. Department of the Interior and the State Historical Society of Iowa shall reserve a royalty-free, non-exclusive and irrevocable license to reproduce, publish (including in an electronic format), or otherwise use, and to authorize others to use, any materials produced in whole or in part under this Contract for government purposes. Any publication by the RECIPIENT must bear in an appropriate place an acknowledgment of grant support under the National Historic Preservation Act of 1966, as amended, from the U.S. Department of the Interior and the State Historical Society of Iowa.

ARTICLE III - Accounts and Records:

a. Accounts - the RECIPIENT shall maintain books, records, documents and other evidence pertaining to all costs and expenses incurred and revenues acquired under this Contract to the extent and in such detail as will properly reflect all costs, direct and indirect, of labor, materials, supplies, services, and other costs and expenses of whatever nature, for which payment is claimed under this Contract.

b. Audit and Inspection - At all times during normal business hours and as frequently as is deemed necessary, the RECIPIENT shall make available to the STATE all of its records, pertaining to all matters covered by this Contract and shall permit the STATE to audit, examine and make excerpts from such records and all other matters covered by this Contract.

c. Retention of Financial Records - All records in the possession of the RECIPIENT pertaining to this Contract shall be retained by the RECIPIENT for a period of three (3) years beginning with the date upon which final payment under this Contract is issued. All records shall be retained beyond the three (3) year period if audit findings have not been resolved within that period.

d. The STATE shall reimburse the RECIPIENT for actual, necessary and eligible costs incurred by the RECIPIENT in the conduct of this project. All claims shall include copies of time utilization sheets, records, documents and other evidence in support of all costs and expenses incurred for the performance of this Contract.

ARTICLE IV - Termination of Contract

a. Termination for Cause - The STATE or the RECIPIENT may terminate this Contract in whole or in part, at any time before the date of completion, whenever it is determined that the other party has failed to comply with the conditions of the Contract. The STATE or RECIPIENT shall promptly notify the other party in writing of the determination and the reasons for the termination, together with the effective date. The RECIPIENT shall not incur new obligations for the terminated portion after the effective date, and shall cancel as many outstanding obligations as possible. The STATE shall allow full credit to the RECIPIENT for no-cancelable obligations up to the amount of, if said obligations are properly incurred by the RECIPIENT prior to termination. The STATE shall terminate the contract if it determines that the RECIPIENT is not following cost eligibility as outlined in the Secretary of Interior Standards, 36 CFR; OMB Circular A-87; and OMB Circular A-102.

b. Termination for Convenience - The STATE and the RECIPIENT may terminate this Contract in whole or in part, when both parties agree that the continuation of the project would not produce beneficial results commensurate with the future expenditure of funds. The two parties shall agree upon the termination conditions, including the effect date and, in the case of partial termination, the portion to be terminated. The RECIPIENT shall not incur new obligations for the terminated portion after the effective date, and shall cancel as many outstanding obligations as possible. The STATE shall allow full credit to the RECIPIENT for non-cancelable obligations up to the amount of award, if said obligations are properly incurred by the RECIPIENT prior to termination.

c. Termination due to Non-Appropriation - Notwithstanding any other provisions of this Contract, if funds anticipated for the continued fulfillment of the Contract are at any time not forthcoming or insufficient, either through the failure of the Federal Government or of the State of Iowa to appropriate funds or discontinuance or material alteration of the program under which funds were provided, then the STATE shall have the right to terminate this Contract without penalty by giving not less than thirty (30) days written notice documenting the lack of funding, discontinuance or program alteration. Unless otherwise agreed to by the parties, the Contract shall become null and void on the last day of the fiscal year for which appropriations were received, except that if an appropriation to cover the costs of this Contract becomes available within sixty (60) days subsequent to termination under this clause, the STATE agrees to re-enter a Contract with the terminated RECIPIENT under the same provisions, terms and conditions as the original award. In the event of termination of this Contract due to non-appropriation, the exclusive, sole and complete remedy of the RECIPIENT shall be payment for service completed prior to termination.

d. Right in Incomplete Products - In the event the Contract is terminated, all finished or unfinished portions of the work prepared by or for the RECIPIENT under this Contract shall, at the option of the STATE, become its property, and the RECIPIENT shall be entitled to receive just and equitable compensation for any satisfactory work completed on the project.

ARTICLE V - Interest of Officials and Others:

a. STATE - No officer, employee or advisor of the STATE including a member of the State Historical Society of Iowa Board of Trustees or the State Nominations Review Committee, shall

participate in any decisions relating to this Contract which affect his personal interest or the interest of any corporation, partnership or association in which he is directly or indirectly interested or have any interest, direct or indirect, in this Contract or the proceeds thereof. A person has a conflict of interest with respect to a sub-grant, contract subcontract, or any agreement supported with state or federal assistance if the person or any of the following has a financial interest in that application:

1. The person, the person's spouse, minor child, or partner, or;
2. Any organization in which the person is serving as an officer, director, trustee, partner or employee or;
3. Any person or organization with whom the person is negotiating or has any arrangements concerning prospective employment;

Benefit or remuneration other than a fee in accordance with applicable statewide procedures includes, without exception, royalty, commission, contingent fee, professional services contract, brokerage fee, or other payment accruing to the person or any member of his immediate family.

b. RECIPIENT - The RECIPIENT covenants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required to be performed under this Contract.

ARTICLE VI - Assignment of Interest:

Neither this Agreement or any interest therein, no claim hereunder, shall be assigned or transferred by the RECIPIENT to any other party or parties.

ARTICLE VII - Subcontract:

None of the work or services required under this Agreement shall be subcontracted by the RECIPIENT without prior written approval to subcontract by the STATE.

ARTICLE VIII - Procurement of Professional Services and Equipment:

The RECIPIENT shall procure professional services by competitive negotiation, or small purchase procedures. This requires solicitations from at least three sources to permit reasonable competition consistent with the nature and requirements of the procurement. "Cost-plus-a-percentage-of-cost" contracting is strictly forbidden. Rather, cost reimbursement or fixed price contracting is required.

Project principal investigators must meet the minimum professional standards as outlined in the Code of Federal Regulations, Volume 36 Part 61.

The purchase of any equipment under this agreement over \$300 may not occur without prior written permission of the STATE. The STATE will not approve such purchases until the same are approved in writing by the National Park Service.

EXHIBIT B

SPECIAL CONDITIONS

ARTICLE I - Identification of Parties:

This Contract is entered into by and between the State Historical Society of Iowa, hereinafter called the STATE, and **Linn County** hereinafter called the RECIPIENT.

ARTICLE II - Designation of Officials:

a. STATE - The State Historic Preservation Officer is the State Official authorized to execute any changes in the terms, conditions, or amounts specified in this Contract. He (She) may designate a member of his (her) staff to negotiate, on behalf of the State, any changes to the Contract.

b. RECIPIENT – **Lu Barron, Chair, Linn County Board of Supervisors** or the local Project Director (Exhibit C) is authorized to execute any changes in the terms, conditions, or amounts as specified in this contract.

ARTICLE III - Additional Special Conditions:

a. Audit Requirements - The RECIPIENT shall annually have performed, on a timely basis, independent financial and compliance audits of the historic preservation funds received from the STATE. All such audits shall be conducted in accordance with applicable auditing standards set forth in OMB Circular A-128, "Audits of State and Local Governments", pursuant to the Single Audit Act of 1984. Costs associated with such audits are the responsibility of the RECIPIENT. A copy of this audit must be submitted to the STATE.

If the RECIPIENT is a non-profit organization, public college or university, audits shall be made in accordance with statutory requirements and the provision of Circular A-110 a copy of this audit must be submitted to the STATE.

b. General Obligations - All work performed under this Contract shall be carried out in a lawful, proper and satisfactory manner in accordance with appropriate Federal, State and Local regulations, including OMB Circular A-102 and Historic Preservation Fund Grants Manual, October 1997; and any circular, policies, procedures and requirements as may from time to time be prescribed by the U.S. Department of Interior.

ARTICLE IV - Conditions of Payment:

a. Maximum Payment - It is expressly understood and agreed to that the maximum amounts to be paid to the RECIPIENT by the STATE for any item of work or services shall be the amount specified herein. All payments for work and services under this Contract shall be on a cost incurred, non-profit basis.

b. Requisition for Payment - All payments to the RECIPIENT shall be subject to the receipt by the STATE of a Request for Reimbursement. This request shall be made according to the format

specified by the STATE with reimbursement to the RECIPIENT occurring at intervals no more than sixty (60) days after approval of request.

ARTICLE V - REQUIRED ACKNOWLEDGMENTS:

Publication, films, exhibits, etc. developed as a part of this Contract shall acknowledge Federal aid by including the following statement as part of the Title or Acknowledgment Section with each item produced.

"The activity that is the *[fill in type of material/publication]* subject of a nomination to the National Register of Historic Places has been financed in part with Federal funds from the National Park Service, U.S. Department of Interior. However, the contents and opinions do not necessarily reflect the view or policies of the Department of the Interior, nor does the mention of trade names or commercial products constitute endorsement or recommendation by the Department of the Interior"

ARTICLE VI - Equal Opportunity Acknowledgment:

Publications, films, exhibits, etc. developed as a part of the Contract shall acknowledge equal opportunity and nondiscrimination practices by including the following statement as part of the Title or Acknowledgment Section with each item produced.

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

**Office of Equal Opportunity
National Park Service
1849 C Street, N.W.
Washington, D.C. 20204"**

ARTICLE VII - Certification Regarding Lobbying:

This certification is required by Section 1352, Title 31, U.S. Code. The sub-grantee 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 any agency, a Member of Congress, any 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 1963 "Disclosure Form to Report Lobbying," in accordance with instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients 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 civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

ARTICLE VIII - Equal Opportunity: Code of Fair Practices

1. The RECIPIENT will not discriminate against any employee or applicant for employment because of race, creed, color, religion, national origin, sex, age or physical or mental disability. The RECIPIENT will take affirmative action to insure that applicants are employed and that employees are treated during employment without regard to their race, creed, color, religion, national origin, sex, age or physical or mental disability except where it related to a bona fide occupational qualification. Such action shall include but be not limited to the following; employment, upgrading, demotion or transfer, recruitment or recruitment advertising; layoff or termination; rate of pay or other forms of compensation; and selection for training, including apprenticeship. The RECIPIENT agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth provisions of this nondiscrimination clause.
2. The RECIPIENT will, in all solicitations or advertisements for employees placed by or on behalf of the RECIPIENT, state that all qualified applicants will receive consideration for employment without regard to race, creed, color, religion, national origin, sex, age or physical or mental disability except where it relates to a bona fide occupational qualification.
3. The RECIPIENT will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice advising the labor union or worker's representative of the RECIPIENT commitments under this nondiscrimination clause and shall post copies of the notice in a conspicuous place available to employees and applicants for employment.
4. The RECIPIENT will comply with all relevant provisions of the Iowa Civil Rights Act of 1965 as amended, Iowa Executive Order #15 of 1973, Federal Executive Order 11246 of 1965 as amended by Federal Executive Order 11275 of 1967, the Equal Employment Opportunity Act of 1972, and all provision relevant to fair employment of the rules and regulations of the STATE. The RECIPIENT will furnish all information and reports requested by the STATE or required by or pursuant to the rules and regulations thereof and will permit access to payroll

and employment records by the STATE for purposes of investigation to ascertain compliance with such rules, regulations or requests, or with this nondiscrimination clause.

5. In the event of the RECIPIENTS noncompliance clauses of this contract or with any of the aforesaid rules, regulations or requests, this contract may be canceled, terminated, or suspended in whole or in part and the RECIPIENT may be declared ineligible for further contracts with the STATE. In addition, the STATE may take such further action, and such other sanctions may be imposed and remedies invoked, as provided by the Iowa Civil Rights Act of 1965 as amended, Chapter 601A, Code of Iowa 1973, as heretofore and hereinafter amended, or by the rules and regulations of the State or as otherwise provided by law.

6. ARTICLE IX - OMB Approval No. 0348-0040, Assurances-Non-Construction Programs

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:
 - (a) 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 sub-agreements.

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. Sub-grantees expending more than \$300,000 in federal funds, 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 |
| TYPED NAME AND TITLE Lu Barron, Chair, Linn County Board of Supervisors |
| DATE |

ARTICLE X - U.S. DEPARTMENT OF THE INTERIOR CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS, DRUG-FREE WORKPLACE REQUIREMENTS AND LOBBYING

1. 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 Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.** See below for language to be used or use this form 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 any 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.

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)(2), 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 files 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 is made to such a central point, it shall include the identification number(s) of each affected grant.

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 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 sub awards at all tiers (including subcontracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients 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 Lu Barron, Chair, Linn County Board of Supervisors |
| DATE |

EXHIBIT C
SCOPE OF WORK

A. WORK ELEMENTS

This project is for the completion of Phase II level testing and research and will result in the specific identification of archaeological sites and architectural properties eligible for the National Register in Subsections F, G, and H and Subsections J, N, and O and recommendations for the completion of these nominations by future studies. This project is a continuation of an effort to analyze and preserve the history of Linn County and is based on the results of a comprehensive planning survey completed in 1992.

The project will also include more intensive historic research and inspection of the architectural properties identified in the previous grants in order to completely address questions concerning eligibility of the properties under Criterion A and/or B and under the Early Settlement Era context. In Subsections F, G, and H, these properties include:

Neighbor General Store, Lafayette (57-07251)
Sugar Grove Farmstead (57-07220)
Jayne Barn (57-07223)
Sunninghill Barn (57-07221)
Fleming Barn (57-00924)
Martin Farmstead (57-07226)
Scott House (57-07225)
Pullman Hotel, Center Point (57-07242)
Dr. Yost House, Center Point (57-04246)

and in Subsections J, N, and O, the following properties:

James Ure House (57-06479)
William Ure House (57-06480)
George Seroway Farmstead (57-06485)
former St. Patrick's Rectory, Fairfax (57-06505)
Spring Grove Cemetery (57-06477)

In addition, the following properties will be further researched concerning their association with the German immigrant ethnic component of the Otter Creek Settlement and the Lafayette vicinity:

Salem Church (57-07227)
Eidamiller Farmstead (57-07224)
Kolb Farmstead (57-07250)

and one property associated with the Bohemian immigrant settlement of the Fairfax vicinity in Subsections J, N, and O:

Wesley Cerveny Farmstead (57-06483)

Phase II testing will require permission of the current property owners; therefore it is anticipated that some properties will be denied access for testing. It is estimated that a minimum of five archaeological sites and 10 architectural properties will be examined during this study.

Phase II archaeological testing will involve intensive testing and level of evaluation using test unit excavation (0.5 m x 0.5 m up to 1 m x 1 m units) to address questions concerning site integrity and information potential in order to complete a determination of either eligibility or ineligibility for the National Register of Historic Places for each site. Test unit excavation will be documented by sketch maps, profile drawings, and photographs. A research design will also be completed and submitted for review prior to initiation of fieldwork.

Archaeological site information will be recorded on University of Iowa - Office of the State Archaeologist Site Record Forms. The report will be at the level of documentation required by a Multiple Property Cover Document and meet the information/content requirements of the Guidelines for Archaeological Investigations in Iowa (1999). A NADB form will be completed. Provision will be made for permanent curation of artifacts and associated records at a repository that meets the Secretary of the Interior's Standards for Curation.

The end products of the project will include draft and final reports summarizing the results of the Phase II testing of the archaeological sites and the additional research and study of the architectural properties. The final report will include any properties identified as eligible for the National Register of Historic Places. Additional products will include photographs of sites and properties (a minimum of one each per property examined), updated archaeological site record and architectural inventory forms, and photo log sheets. The end result will provide Linn County with documentation needed to pursue National Register status listing for eligible properties within these subsections.

This project will require the work of the Linn County Historic Preservation Commission, area volunteers, and a consultant or consultants who qualify as an Architectural Historian and Historical Archaeologist according to the Secretary of the Interior's Professional Qualification Standards. The consultant(s) will be responsible for the quality and completion of the work performed as well as the recruitment, training, and coordination of volunteers for the project.

The project director will be Joi Bergman, Linn County Grants and Communications Manager and staff liaison to the Linn County Historic Preservation Commission. Ms. Bergman will be responsible for administration of the grant and coordination of Historic Preservation Commission meetings. Administration will include effective budget management, timely and accurate report preparation and submittal, and ensuring the scope of work is implemented completely and according to schedule. Richard Thomas, Historic Preservation Commission chair, will also assist in grant management. The 5-member Commission as a whole is expected to dedicate 40 hours to this project. They will be responsible for soliciting proposals for a qualified consultant(s) and selection of the most appropriate candidate. They will also aid in identifying and organizing volunteers as needed.

Volunteers will be recruited from the Linn County Historic Preservation Commission, Historic Preservation Advisory Committee, historical societies, and county residents. Volunteers will be carefully selected and trained by the project consultant(s). They will assist with conducting

property research, photography, and on-site documentation. Their work will be under the oversight of the project consultant(s).

B. PRODUCTS

The STATE will furnish the following:

1. Copy of *How to Complete the Iowa Site Inventory Forms*;
2. Copies of Iowa Site Inventory form;
3. University of Iowa - Office of the State Archaeologist (OSA) Site Record form;
4. Iowa Archaeological Guidelines;
5. Photo & Slide Catalogue Sheets;
6. Historic-Architectural Database (HADB) and National Archaeological Database (NADB) encoding forms;
7. Copies of the National Register Bulletins;
8. A grant project director's manual;
9. Monthly progress reporting forms;
10. Forms for documentation of match.

The RECIPIENT will prepare and distribute the following products:

General requirements:

The Historic Preservation Commission will be responsible for furnishing the STATE and the public with draft copies of the project report for review and comment. The draft report must be complete when submitted for review. The STATE may request, and the RECIPIENT will supply, additional revised draft products (report, site inventory forms, etc.) for review and comment at no additional cost to the STATE. If additional, revised draft products are required, each will be due 30 days after the STATE requests the revisions. The final grant products will incorporate all of the changes requested by STATE. Comments made by the public will be incorporated in an appendix in the final report.

Additionally, commercial production of digital prints is acceptable for this survey project. Photographs will meet the requirements established by the documents for digital photography posted at: <http://www.iowahistory.org/historic-preservation/statewide-inventory-and-collections/iowa-site-inventory-form.html>

1. Following receipt of the Notice to Proceed and fully signed CLG Grant-in-Aid Agreement, the Project Director will complete and submit a progress reporting form to the STATE by the 15th of each month. The Project Director is encouraged to submit these monthly reports electronically.
2. Two (2) copies of the draft Request for Proposals (RFP); one (1) copy will be sent to the STATE for review and comment; one (1) copy of each will be retained by the RECIPIENT for its files.

3. Five (5) final copies of the final RFP; the final RFP will be sent to a minimum of three (3) qualified consultants; one (1) copy will be sent to the STATE (along with a list of consultants to whom it was sent) and the RECIPIENT will retain one (1) copy with list of consultants for its files.
4. Two (2) draft copies of the subcontract agreement with a qualified consultant; one (1) draft copy of the subcontract agreement will be sent to the STATE for approval, prior to execution with the consultant; the RECIPIENT will retain one (1) copy for its files.
5. Three (3) copies of the fully executed subcontract agreement with the Consultant: one (1) copy will be sent to the Consultant, one (1) copy will be sent to the STATE, and the RECIPIENT will retain one (1) copy for its files.
6. Two (2) copies of a research design that meets the Secretary of the Interior's Standards and Guidelines for Identification and Evaluation. One (1) copy of the research design will be sent to the STATE for review and comment and the RECIPIENT will retain one (1) copy for its files.
7. The RECIPIENT (Local project manager) will initiate a kickoff meeting with the consultant and the STATE project manager to discuss the project, research design, and schedule for work.
8. The title page of the draft and final reports and any other publications produced for this grant project will carry the following acknowledgments:

"The activity that is the subject of the *[fill in type of material/publication]* has been financed in part with Federal funds from the National Park Service, U.S. Department of Interior. However, the contents and opinions do not necessarily reflect the view or policies of the Department of the Interior, nor does the mention of trade names or commercial products constitute endorsement or recommendation by the Department of the Interior."

"This program received Federal funds from the National Park Service. Under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, as amended, the U.S. Department of the Interior strictly prohibits unlawful discrimination in Federally Assisted Programs on the basis of race, color, national origin, age or handicap. Any person who believes he or she has been discriminated against in any program, activity, or facility operated by a recipient of Federal assistance should write to: Director, Equal Opportunity Program, U.S. Department of the Interior, National Park Service, P. O. Box 37127, Washington, D.C. 20013-7127."

9. Consultant will prepare one (1) copy of survey report for review and comment by the Historic Preservation Commission (HPC); the report will be complete and will include the information typically found in a Multiple Property Documentation Form (MPDF) and comply with the *Guidelines for Archaeological Investigations in Iowa*, 1999. This draft will be accompanied

by five (5) to ten (10) fully completed typed Iowa Site Inventory forms for recorded properties.

10. Following the review of the draft survey report by the HPC, prepare three (3) revised draft copies of survey report; the report will include the information typically found in a Multiple Property Documentation Form (MPDF) and comply with the *Guidelines for Archaeological Investigations in Iowa*, 1999. This draft will be accompanied by five (5) to ten (10) fully completed typed Iowa Site Inventory and Archaeological Site Record forms for recorded properties. One (1) copy of draft report and inventory forms will be sent to the STATE for review and comment; one (1) copy will be available for public review and comment; and one (1) copy will be retained by the RECIPIENT for its files.
11. For properties with standing structures, take a minimum of one (1) photograph of each surveyed property; have two (2) prints made for each photograph.
12. For archaeological sites photographs should be taken to illustrate the survey and evaluation methodology used and to document the appearance and condition of each site, associated features, profiles, topography, and disturbances
13. For properties with standing structures, two (2) finished sets of completed, typed Iowa Site Inventory forms for each recorded property. One finished set of completed typed Iowa Site Inventory forms will be sent to the STATE. The other set will be retained by the RECIPIENT and filed in its property inventory.
14. For archaeological sites, three (one original and two copies) finished sets of typed University of Iowa - Office of the State Archaeologist Site Record forms for each new site located. For previously reported sites, an updated site record form will be prepared. One set of completed typed UI-OSA Site Record forms will be submitted to the University of Iowa - Office of the State Archaeologist. One (1) set will be submitted to the STATE and the RECIPIENT will retain one (1) set for its property inventory.
15. A minimum of ten (10) copies of the final project report, to include nine (9) bound copies and one (1) unbound, print-ready master copy;
16. Three (3) copies of one page report summarizing project results. Two (2) copies will be sent to the STATE and one (1) copy will be retained by the RECIPIENT for its files.
17. The final report will also include a results section which states the following information:
 - a. total number of properties surveyed during this project
 - b. types and numbers of historic resources previously surveyed (i.e., prior to this contract)
 - c. types and numbers of historic resources newly identified (i.e., not already in the Iowa Site Inventory or the Archaeological Site Records)
 - d. number of acres surveyed
18. A completed, typed National Archaeological Database (NADB) encoding form summarizing site information will be sent to the STATE.

19. One (1) completed, typed Historic-Architectural Data Base (HADB) encoding form for summarizing report information. The completed HADB form will be submitted to the STATE.
20. Final report saved to a CD which will be sent to the STATE; this document shall be a Word document converted into Adobe Acrobat PDF format. The CD and its case will be labeled with name of the project, county and state, CLG grant number, consultant's name and date. Information about requirements for digital photography can be found at:
<http://www.iowahistory.org/historic-preservation/statewide-inventory-and-collections/iowa-site-inventory-form.html>

C. SCHEDULE: ACTIVITIES AND PRODUCT SUBMISSION

Upon receipt of the Notice to Proceed and a Grant-in-Aid Agreement that has been signed by the RECIPIENT and the STATE, the RECIPIENT may begin work on the project. The RECIPIENT is expected to begin work on the project within 20 days of receiving the notice and the copy of the fully executed Grant-in-Aid Agreement. The Agreement will end on or before June 30, 20XX. Early completion of contract activities and submission of contract products is encouraged. Deadlines for contract activities are as follows:

February 15, 20XX

RECIPIENT will submit three (3) fully signed copies of the CLG-Grant-In-Aid Agreement to the STATE.

February 26, 20XX

The STATE will return one Agreement with original signatures and one copy of the Agreement, the Notice to Proceed, and the Local Project Director's Manual to the RECIPIENT. The Agreement with original signatures and the Notice to Proceed will be filed by the RECIPIENT. The Local Project Director will keep the copy of the Agreement and the Local Project Director's Manual.

March 7, 20XX

RECIPIENT will submit draft Request for Proposal (RFP) and consultant subcontract to STATE for review and comment.

March 15, 20XX

STATE will return draft RFP and consultant subcontract with recommended revisions, if needed.

March 26, 20XX

RECIPIENT will send final RFP to a minimum of three consultants.

April 30, 20XX

RECIPIENT will select consultant. If consultant is not on the STATE's Consultant list, RECIPIENT will submit the Consultant's vita to the STATE for review. RECIPIENT will notify unsuccessful bidders that another consultant has been selected for the project.

May 1, 20XX

RECIPIENT and consultant will sign subcontract and submit signed a copy of the fully signed subcontract to STATE.

Project Director, Consultant, and volunteers begin work on project.

May 18, 20XX

RECIPIENT submits project research design and schedule for work for STATE review, comment, and approval.

RECIPIENT schedules kick off meeting to discuss project, research design, and schedule for work. Consultant and RECIPIENT meet with STATE project manager to discuss project and schedule for work.

June 1, 20XX

RECIPIENT schedules a public meeting to discuss project.

June 15, 20XX

Training, fieldwork, and research begin.

January 15, 20XX

Consultant submits draft report and sample inventory sheets and photographs to the Historic Preservation Commission for review and comment.

February 15, 20XX

RECIPIENT sends consultant HPC's review comments.

February 28, 20XX

Consultant revises report based on comments provided by Historic Preservation Commission. Consultant submits draft report and sample inventory sheets and photographs to the STATE for review and comment. RECIPIENT provides the public with a copy of the draft report for review and comment.

April 1, 20XX

STATE sends the RECIPIENT review comments on draft products and indicates whether another draft will be required.

May 1, 20XX

If requested, RECIPIENT submits additional draft report(s) incorporating STATE comments for review and comment.

June 2, 20XX

If necessary, STATE sends the RECIPIENT review comments on any additional draft reports. Comments must be incorporated into the final report.

June 30, 20XX

RECIPIENT submits final products including report, inventory forms, HADB and NADB forms, contact sheets, photographs, Photograph & Catalogue sheets, one page summary report, and CD

to the STATE. The RECIPIENT retains copies of the final report, photographs, Photograph & Catalogue sheets, and one page summary report for its files.

RECIPIENT submits Request for Reimbursement with documentation to the STATE.

D. REIMBURSEMENT SCHEDULE

Payments by the STATE shall be made upon receipt of billing invoices from the RECIPIENT that relate expenses being billed to budgeted expenses identified in Exhibit D. Each payment request will be audited by the STATE to insure that sufficient progress has been made in support of the invoice. Timely submission of products is essential for reimbursement.

Claims for reimbursement must be accompanied by a progress report. Claims must be submitted to Paula A. Mohr, State Historical Society of Iowa, New Historical Building, 600 East Locust, Des Moines, Iowa 50319-0290, (515) 281-6826; paula.mohr@iowa.gov.

The following payment schedule will be used:

| | |
|----------------------------|--------------------------------|
| Approval of draft products | up to 70% of grant |
| Approval of all products | remaining balance of the grant |

E. COORDINATION

This project will be managed by the RECIPIENT in cooperation with the STATE. The RECIPIENT will be represented by the Project Director, Joi Bergman, 930 1st Street SW, Cedar Rapids, Iowa 52404; (319) 892-5118; joi.bergman@linncounty.org and the STATE will be represented by Doug Jones, State Historical Society of Iowa, New Historical Building, 600 East Locust, Des Moines, Iowa 50319-0290 at (515) 281-4358, doug.jones@iowa.gov and Ralph Christian, State Historical Society of Iowa, New Historical Building, 600 East Locust, Des Moines, Iowa 50319-0290; (515) 281-8697, Ralph.christian@iowa.gov Doug Jones and Ralph Christian will provide routine information and technical guidance.

The Recipient's Project Director, Joi Bergman will maintain continuous coordination with the STATE's Project Managers, Doug Jones and Ralph Christian, during the course of the contract. This will consist of written monthly progress report due on the 15th of each month. These reports will keep the STATE abreast of contract progress and serve as a vehicle for assessing performance of the contract. Progress reports shall be directed to the STATE's Project Manager, Doug Jones. The project manager is encouraged to send these reports via email.

EXHIBIT D

BUDGET

| <i>PROJECTED COSTS</i> | <i>CLG GRANT REQUEST</i> | <i>APPLICANT'S MATCH</i> | | <i>ROW TOTALS</i> |
|-------------------------------------------------------|-------------------------------|-------------------------------------|-------------------|------------------------------------------|
| | | <i>Cash</i> | <i>In-Kind</i> | |
| Personnel: | | | | |
| Consultant (166.66 hours @ \$60/hour) | \$10,000 | | | \$10,000 |
| Project Director (50 hours @ \$27/hour) | | | \$1,350 | \$1,350 |
| Commissioners (40 hours @ \$5.15/hour) | | | \$206 | \$206 |
| Volunteers (260 hours @ \$16.77/hour) | | | \$4360 | \$4,360 |
| Additional Consultant Labor | | \$2,000 | | \$2,000 |
| Consultant Per Diem: | | | | |
| Meals (9 days @ \$35/day) | | \$315 | | \$315 |
| Consultant Lodging: | | | | |
| Lodging (4 nights @ \$68/night + \$8 taxes per night) | | \$304 | | \$304 |
| Consultant Mileage: | | | | |
| 2,466 miles @ \$.445/mile | | \$1,097 | | \$1,097 |
| Photocopying: | | | | |
| 1,000 copies @ \$.10 each | | \$100 | | \$100 |
| Photography: | | | | |
| Printing | | \$200 | | \$200 |
| Artifact Curation: | | | | |
| 2 cubic feet @ \$350/cubic foot | | \$700 | | \$700 |
| | | | | |
| | | | | |
| | | | | |
| Subtotals | | Cash \$4,716 | In-Kind \$5916 | |
| TOTALS | CLG GRANT* \$10,000 | APPLICANT MATCH** \$7,611 | | TOTAL PROJECT COST \$20,632.00 |

CERTIFIED LOCAL GOVERNMENT
MONTHLY PROGRESS REPORT

| |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Grant Recipient: |
| Grant #: 2013- |
| Report for month of: |
| Contact Person: |
| Daytime Phone #: |
| Describe the progress made during this month toward accomplishing the goals of your project. Refer to work elements and products listed in the Exhibit C-contract scope of work. |
| Is the project currently on schedule? If not, please explain. Describe any significant problems encountered this month which may impede the successful and timely completion of your project. |
| Return by the 15th of each month to: (email is recommended) |
| Email Electronic Copy to the State Project Manager and CLG Coordinator: paula.mohr@iowa.gov |
| Or Mail Hard Copy to: State Historical Society of Iowa |
| New Historical Building |
| 600 East Locust Street |
| Des Moines, IA 50319-0290 |

(continued on the reverse side)

Itemized Project Match

| Category | Column 1 Match accumulated this month (hours, mileage, etc.) | Column 2 Value of match accumulated <u>this</u> <u>month</u> (Column 1 x unit cost) | Column 3 Total match accumulated <u>to date</u> (including this month) | Column 4 Amount of match committed to per contract (BUDGET) |
|------------------------------|---------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------|
| A. Volunteer hours | ____ hours | \$ | \$ | \$ |
| B. Staff/other hours | ____ hours | \$ | \$ | \$ |
| C. Mileage | ____ miles | \$ | \$ | \$ |
| D. Room use and rental | | \$ | \$ | \$ |
| E. Contributed Materials | | \$ | \$ | \$ |
| F. Contributed Communication | | \$ | \$ | \$ |
| G. Contributed Services | | \$ | \$ | \$ |