



Delaware Division of Historical and Cultural Affairs
State Historic Preservation Office
 21 The Green, Dover, DE 19901
 (302)736-7400 • (302)739-5660 (fax)

GRANT APPLICATION GUIDELINES FOR CERTIFIED LOCAL GOVERNMENTS

ALLOCATION OF FUNDING IN DELAWARE

Each year, the Congress appropriates a federal grant to each of the states in support of various preservation activities allowable under the regulations implementing the National Historic Preservation Act of 1966, as amended. In Delaware, this grant is administered by the Division of Historical and Cultural Affairs (HCA), whose Director acts as the State Historic Preservation Officer (SHPO). One of the requirements of this federal grant is that a minimum of 10% of the annual grant award must be sub-granted to Certified Local Governments (CLGs). Because the federal grant award to the state varies from year to year, the amount awarded to CLGs also varies.

Only local governments which have been formally certified as a CLG prior to January 1 of any calendar year are eligible to apply for CLG grant funding in that year. In order to submit an application for these grants, CLGs must submit their annual report for the prior year prior to the date on which grant applications are due.

Each CLG who submits an application that is consistent with program guidelines will receive grant funding. Delaware’s CLG allocation formula provides for a minimum allocation of \$2,000 plus an additional allocation based on population to make up a yearly Basic Program Allocation (BPA).

Funding Category	Equivalent Population	Minimum Allocation	Population Factor	BPA
1	Less than 3,500	\$2,000	+ \$1,000	= \$3,000
2	3,500 – 10,000	\$2,000	+ \$2,000	= \$4,000
3	10,000 – 40,000	\$2,000	+ \$3,000	= \$5,000
4	Over 40,000	\$2,000	+ \$5,000	= \$7,000

The six current CLGs have been placed in Funding Categories in accordance with their 2010 census populations and are assigned points equivalent to that Funding Category. These points are a factor in determining awarding any grant funds that exceed the BPA.

Certified Local Governments	2010 Census Population	Funding Category	Points
Delaware City	1,695	1	1
Milton	2,576	1	1
Lewes	2,747	1	1
Dover	37,366	3	3
Wilmington	70,851	4	4
New Castle County	538,479	4	4
Total Points			14

The 10% annual set-aside from the federal grant has consistently exceeded the total of the BPAs for all CLGs. Additional funds are allocated in accordance with a funding formula in which the total number of points assigned to all of the CLGs (currently 14) is divided into the difference between the total monies assigned in accordance with the BPA allocation (currently \$28,000), and the total amount in that year's CLG set-aside. The CLG total award is the amount calculated using this formula times the points factor for each CLG plus their BPA. A cover letter sent with these guidelines at the time of announcement of the grant availability provides each CLG with their estimated grant award and their required minimum match.

The federal grant award may not exceed 60% of the project budget, and the applicant match must make up a minimum of 40% of the total project budget. A CLG may collaborate with a non-profit or a contractor to provide all or part of the non-federal (matching) funds for a project. Two or more CLGs may collaborate and pool their awards to allow for a greater project budget to accomplish common goals. If, for whatever reason, the requests for federal grant awards are less than the funds available, the SHPO will determine how to equitably distribute the additional federal funds.

GRANT REQUIREMENTS

Each CLG must fulfill certain programmatic and administrative requirements in order to obtain a grant award. The programmatic requirements are:

- As noted in the discussion of eligible grant activities, some projects require a Principal Investigator whose professional qualifications are consistent with the Secretary of the Interior's professional qualification standards (http://www.cr.nps.gov/local-law/arch_stnds_9.htm).
- Projects must result in tangible outcomes which address a preservation goal, and which are consistent with the appropriate Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation (http://www.cr.nps.gov/local-law/arch_stnds_0.htm).
- All written material must acknowledge receipt of federal funding as well as include a non-discriminations statement.
- For each approved application, a Letter of Agreement (LOA) must be signed by an Authorized Official (e.g. Mayor, Town Manager, or other government staff with oversight responsibility) of the CLG before any federal funds may be disbursed. The LOA contains the approved scope of work; budget, project period, detailed performance schedule, list of activities to be accomplished, and references to the performance standards, stipulations, and federal regulations appropriate to the project, including: non-discrimination, political activities, disclosure of information, conflict of interest, insurance, handicapped accessibility, and record retention and accessibility.
- The start date of the grant should be July 1 and the end date should be the following June 30. All activities and expenses should take place between these dates. Exceptions for an earlier start date or an extension to the end date require pre-application approval of the HCA Grant Manager.
- The project budget must indicate a local match, either in cash or in kind, equal to a minimum of at least 40% of the total project costs. CLGs may not charge for grant-funded programs except to cover associated direct costs, such as for meals during workshops.
- CLG grants are funded on a reimbursable basis and requests for reimbursement of project costs are made either on a quarterly basis, or at the close-out of the grant. Each request for reimbursement which contains evidence of grant approved expenditures will be reimbursed up to 60% of the documented expenditures, but in no case will the reimbursement of expenses exceed the grant award. Up to 20% of the awarded grant funds may be retained until the tangible grant outcome is achieved/produced. The last date on which the CLG may submit a request for reimbursement of grant expenses is August 30.

The administrative requirements, as certified to by an authorized representative of the CLG in Attachment 3, are to ensure:

- A satisfactory record of integrity, judgment, and performance especially related to performance of grants and contracts;
- Adequate financial resources for performance, as well as the necessary experience, technical qualifications, and facilities;
- Adequate accounting system and auditing procedures to provide effective accountability and control of property, funds and assets sufficient to meet federal audit requirements;
- Financial and compliance audits in accordance with the Single Audit Act Amendments of 1996, and OMB-Circular A-133, and submission of the audit report which covers the period of the grant to the HCA Grant Manager;
- Conformance with federal debarment requirements as well as statutes relating to non-discrimination; and
- Compliance with provisions of the Hatch Act which limits political activities of employees whose principal employment responsibilities are funded in whole or in part with federal funds.

ELIGIBLE GRANT ACTIVITIES

Certain broad categories of projects have been approved for CLG grant funding. Within these categories, the CLG may choose specific activities which align with their local needs. Applicants are encouraged to discuss their proposals with the HCA Grant Manager prior to submittal. For collaborative projects, prior notification of the HCA Grant Manager is required. The allowable grant activities and the requirements related to each are outlined below:

- **Historic Property Surveys:**
 - An historic property survey project should reflect a defined area, and may be conducted at either identification or evaluation level.
 - Identification surveys identify and gather data on a community's historic resources. They require the preparation of standard forms, maps and a report. Evaluation surveys build on the identification survey by developing contexts under which the significance of properties can be determined. The boundary of the property which has been determined to have adequate significance and integrity to be eligible for listing in the National Register of Historic Places as well as all contributing buildings/structures will be specified in the final report.
 - For previously surveyed areas, there must be some expectation that a significant number of un-surveyed properties will be located within the bounds of the proposed survey area.
 - Survey projects must produce a survey report which meets the applicable federal standards and state guidance contained in the "Guidelines for Architectural Surveys in Delaware."
 - The application's project narrative must indicate the type of survey (identification or evaluation); a written description and a map of the area to be surveyed (including a map); the number of acres to be surveyed and the estimated number of properties.
 - The required survey report must be submitted to the HCA Grant Manager in written and digital formats and must contain associated maps.
 - Historic Property Survey projects require oversight by a Principal Investigator (PI) who meets the professional qualification standards contained in 36 CFR 61. If the PI for this project is a staff member or intern employed by the CLG, then their resume should be attached to the application. If the CLG will hire a consultant to carry out this project, then the resume of the PI should be provided to the HCA Grant Manager when the consultant has been determined.

- **National Register Nominations or Amendments:**
 - A National Register project may consist of the preparation of a National Register nomination, or an update to an existing nomination.
 - The name of the property/properties to be nominated or updated need not be known at the time of application. However, before making a final determination on which property will be chosen, the CLG should invite the HCA National Register Coordinator to make a site visit to the property to assess the property's eligibility for listing on the National Register and discuss the research criteria that would be required to support the nomination.
 - The application's project narrative should indicate the name of the property/properties to be nominated, if known; the type of nomination (individual property, district or portion of district, multiple property nomination); the estimated number of contributing properties in each nomination; the estimated acreage.
 - The nomination must be submitted to the HCA Grant Manager electronically on a National Register form, and must be accompanied by appropriate photographs and maps.
 - Project oversight should be provided by a Principal Investigator (PI) who meets the professional qualification standards contained in 36 CFR 61. If the PI for this project is a staff member or intern employed by the CLG, then their resume should be attached to the application. If the CLG will hire a consultant to carry out this project, then the resume of the PI should be provided when the consultant has been determined.
- **Preservation Planning Assistance:**
 - A planning report may address any preservation related topic which is of concern to the CLG. Some examples of planning projects are: preparation of the historic preservation component of a municipal or county comprehensive plan; development of an historic context; and development of or revisions to an historic zoning ordinance.
 - Planning projects must produce a report or draft document which meets applicable Standards. The project narrative should indicate the type of planning document to be produced; the geographic area of impact; for contexts, the theme, time period and geographic zone; and if the project will produce a new or revised document. The report must be submitted to HCA Grant Manager in both written and digital formats.
 - Preservation Planning projects generally require oversight by a Principal Investigator (PI) who meets the professional qualification standards contained in 36 CFR 61. If the PI for this project is a staff member or intern employed by the CLG, then their resume should be attached to the application. If the CLG will hire a consultant to carry out this project, then the resume of the PI should be provided when the consultant has been determined.
- **Outreach to Public on Preservation Issues:**
 - Outreach projects may include, but are not limited to: technical or informational workshops or seminars; brochures addressing issues such as design review guidelines, local zoning laws, driving or walking tours; or may produce web pages on the aforementioned topics.
 - The CLG may want to discuss specific public outreach proposals with the HCA Grant Manager to ensure that the topic is eligible for grant funding, and for written activities, to determine the number of copies required. In the application, the following questions should be answered, as appropriate.
 - 1. Who is the intended audience for the project and why is that constituency targeted?

2. If a program/workshop/conference is proposed, how many people are expected to attend? [Programs must be held at handicapped accessible locations and any associated fees must be limited to only covering associated costs.]
 3. If published materials are an element of a project, how many copies will be produced? What form will they take? [Published materials may consist of web pages, brochures, pamphlets, monographs, reports, books, newsletters, videos or slide/tape/CD presentations. The number of copies of published materials should be adequate to disseminate the information it contains to the intended audience. Published material must be distributed without charge.]
- Project oversight by a consultant or a staff member who meets the professional qualification standards is not required for many outreach efforts, but may be essential to other efforts. If such professional assistance is part of the project, the application should indicate this. Public Outreach projects also often involve volunteers. See Appendix 1, under Donated Time for further information on how volunteer time is compensated.
- **Training for Commission Members of CLG Staff:**
 - CLGs may seek grant funding to send commission members and commission staff to training which assists them in fulfillment of their responsibilities or furthers their knowledge of preservation issues.
 - Cost of basic registration (no tours), transportation, and a maximum of two nights lodging are allowed.
 - Advance approval from the HCA Grant Manager for attendance at each training/workshop is required. Such approval may be obtained at time of grant initiation or may be requested during the grant period. The request for approval must contain the name of the workshop/training, the date, the location, who will attend, and how it will benefit those attending. If such approval is not obtained prior to the workshop/training event, costs related to it will not be reimbursed.
 - **Support for 36 CFR 61 Qualified Staff or Intern:**
 - Projects which support staff positions should reflect the activities of such staff through projects which fit the approved categories above or technical assistance to the CLG as described in the list of activities below. Approved technical assistance activities are:
 - administering the project, including all required reports;
 - providing information on state or local preservation plan goals and priorities to the public and those within their governmental agency;
 - educating themselves, those within their agency, and their boards and commissions regarding historic preservation issues;
 - explaining the goals and objectives in the Historic Preservation State Plan to those within their governmental agency and the public;
 - providing information to their agency regarding preservation goals for inclusion in local land use or agency plans;
 - distributing information regarding federal or state historic preservation tax incentives or other federal programs which might meet constituent's needs;
 - assisting the public by determining whether their property is potentially eligible for listing in the National Register of Historic Places;
 - explaining the meaning and use of State-defined survey or National Register work;
 - training interns to carry out architectural surveys or to provide the planning information for previously surveyed properties;
 - providing review or advice on historic preservation rehabilitation standards to those within their governmental agency or to the public;

- making determinations of eligibility and identifying projects of archaeological concern or NR-eligible historic structures within their jurisdiction;
 - reviewing demolition permits and land use changes for their impact on historic properties; and
 - providing assistance to those within their governmental agency and federal agencies with whom they interact in regard to the Section 106 compliance process. [*Note: Costs associated with mitigation activities performed as a condition or pre-condition of obtaining a federal permit or funding by other federal programs are not allowable.*]
- The resume of the 36CFR qualified staff person or consultant to be supported in whole or in part by grant funding must be attached to the grant application. In addition, the application must state the categories of technical assistance that will be included in the grant and for each category, must indicate the estimated number of cases.

GRANT APPLICATION PACKET

The Authorized Representative/Chief Elected Official for each CLG will be notified annually of grant availability. This letter will indicate the tentative award amount and the due date for grant applications which is generally in April. Without prior approval in advance, no late submissions will be accepted and any assigned grant funds will be re-assigned in accordance with the criteria outlined above. Application submittals may be emailed as a scanned pdf, submitted by mail, or hand-delivered. Hand-deliver or mail to: SHPO Grant Manager, Division of Historical and Cultural Affairs, 21 The Green, Dover, DE 19901. Submit by email to: joan.larrivee@state.de.us. Upon receipt, applications will be reviewed to determine if they meet the requirements outlined in these guidelines. The Project Coordinator listed on the application cover form will be contacted if there are any questions regarding the proposed project.

The CLG grant application packet consists of four main sections. Attach any supplementary materials required to support the project as outlined in the Grant Activities section above.

1. **CLG Grant Application Packet Cover Form (Attachment 1):** Indicate the name of the project, the project contacts, and provide a short description of the project.
2. **Project Narrative:** A detailed description of the project which should be limited to no more than three typed pages and which should address the questions outlined below for each project activity to be included as part of the project.
 - What:** What will be achieved as a result of the project? All projects must result in some tangible outcome. [See the Eligible Grant Activities section for further guidance on this.]
 - Where:** Where is the geographic area that will be impacted by the project? [Provide a map to clarify, as needed.]
 - Why:** Why is the proposed activity important to your community? What benefit to the historic properties in your community would result from the project?
 - How:** How will the activity be undertaken? What methods will be employed to achieve your objectives? What is the time table for the completion of the project work?
 - Who:** Who will be involved in the project? Provide the names and/or titles of all personnel who are to be involved in the project indicating their role. For known project personnel who will serve as a Principal Investigator, provide a resume.
 - When:** What is the time frame for the project? If there are events, when will they happen? If there are reports, when will they be completed?

3. **Project Budget (Attachment 2/2A or equivalent):** Project budget information which indicates all costs associated with the project on Attachment 2. (See Appendix 1 for information on allowed grant costs) as well as information related to the donor, source, kind, and amount of non-federal (matching) funds for the project on Attachment 2A. (See Attachment 2A for guidance on defining applicant match which may be contributed by the applicant or a third party). Applicants may use Attachments 2/2A to provide the budget information or may create their own project budget forms as long as they contain equivalent information.
4. **Statement of Assurances for CLG Grants (Attachment 3):** Certification that the CLG is in compliance with the administrative requirements of the grant program. It must be signed by the authorized representative of the CLG.

ALLOWABLE COSTS FOR CLG GRANTS

The list below includes many of the allowable costs associated with CLG grants. A number require discussion with the HCA Grant Manager.

1. **Advertising** – If the advertising is directly related to project activities.
2. **Books** – If directly related to project objectives and after discussion with HCA Grant Manager.
3. **Personnel Compensation (including wages, salaries and fringe benefits)** – These may be paid from the grant or may be matching share as long as the personnel are directly involved with grant activities or administrative or fiscal oversight. In addition to salary, employer's contributions or expenses for social security, employee's life and health insurance plans, unemployment insurance coverage, workmen's compensation insurance, and pension plans are allowable provided such benefits are granted under approved plans and are distributed equitably. Note that benefits in the form of regular compensation paid to employees during periods of authorized absences from the job, such as for annual leave, sick leave, court leave, military leave, and the like, are allowable only if the cost is equitably allocated.
4. **Capital Expenditures** – With prior approval from HCA Grant Manager if over \$300.
5. **Donated Time** – Volunteer time may be used as a part of the matching share if it is integral and necessary to the project. The application should indicate the estimated number of hours and the hourly rate claimed for each volunteer. Rates claimed for volunteer services within their area of professional expertise (e.g. lawyer's performing legal services) must be consistent with rates paid for similar work in State government, up to a maximum of \$50 (Contact HCA Grant Manager to discuss rates). For all others, the Delaware minimum wage rate must be used.
6. **Exhibits** – If the exhibit is temporary and the topic is related to grant objectives.
7. **Indirect Costs** – If developed in accordance with applicable indirect cost principles and based on a current provisional rate awarded by a federal agency in accordance with an approved cost allocation plan. Include a copy of the indirect cost plan approval, and documentation of the approved rate, the time period which it covers, and the cost categories covered by the rate.
8. **Materials and Specialized Supplies** – If these supplies are directly related to project goals; general stationary and office supplies are excluded.
9. **Mileage** – If one of the approved grant activities travel and then only at a rate per mile that coincides with the approved state mileage rate (Discuss the HCA Grant Manager).
10. **Postage and Shipping** – If directly related to project objectives.
11. **Printing and Reproduction** – If directly related to project objectives (includes blueprinting, photo reproduction and duplication, and photocopying).
12. **Professional and Consultant Services** – Professional services may be sole-sourced if under \$50,000 and reimbursed at a maximum rate of \$74 an hour, but contracting is to be conducted in a manner that provides maximum open and free competition (Discuss with HCA Grant Manager).
13. **Registration** – For attendance at conferences/workshops (Basic registration only – no special tours) (HCA Grant Manager must approve attendance in advance).
14. **Travel** – Costs of transportation to and from the conference at the rate of 40 cents per mile between the attendee's home and the conference location. Public transportation is reimbursed at cost when receipts are provided. A maximum of two nights lodging at the federally-allowed per diem rate is also allowed. (Contact HCA Grant Manager for federal lodging per diem rate).

The activities funded under the CLG grant program are financed in part with federal funds from the National Park Service, U.S. Department of the Interior. However, the contents and opinions do not necessarily reflect the views or policies of the Department of the Interior.. 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 or age in its federally assisted programs. If you believe you have been discriminated against in any program, activity funded by this Program, or if you desire further information, please write to: Office of Equal Opportunity, National Park Service, 1849 C Street, N.W., Washington, D.C. 20240.

CLG GRANT APPLICATION PACKET COVER FORM

CLG Applicant: _____

Contact Person	Responsible for Program Management	Responsible for Fiscal Management
Name Title		
Address		
Phone		
Email		

Indicate Attachments:

- Project Narrative (maximum of 3 pages)
- Project Budget (Attachment 2 or equiv.)
- Applicant Match (Attachment 2A or equivalent)
- Statement of Assurances for CLG Grants (Attachment 3)
- Resume of PI, if known, and required
- Other _____

Eligible Grant Activities (check all that apply):

- Survey
- National Register
- Planning
- Commission/Staff Training
- Public Outreach
- Support for CLG Staff

Short summary of the application’s goals and activities including the time frame of the project:

PROJECT BUDGET FORM
 (Complete applicable sections; round to nearest dollar)

<u>COST CATEGORIES</u>	<u>COSTS</u>	<u>TOTALS</u>
Personnel Salary and Fringes		
_____ # of hrs. _____ (Rate \$ _____)	\$ _____	
_____ # of hrs. _____ (Rate \$ _____)	\$ _____	
_____ # of hrs. _____ (Rate \$ _____)	\$ _____	
_____ # of hrs. _____ (Rate \$ _____)	\$ _____	
	Personnel Total	\$ _____
Volunteers (This must be listed in Attachment 2A)		
_____ # of hrs. _____ (Rate \$ _____)	\$ _____	
_____ # of hrs. _____ (Rate \$ _____)	\$ _____	
_____ # of hrs. _____ (Rate \$ _____)	\$ _____	
_____ # of hrs. _____ (Rate \$ _____)	\$ _____	
	Volunteer Total	\$ _____
Consultant Services (Name, if known, and rate/hr.)		
_____	\$ _____	
	Consultant Total	\$ _____
Supplies and Expenses (List specific cost categories)		
_____	\$ _____	
_____	\$ _____	
_____	\$ _____	
_____	\$ _____	
_____	\$ _____	
_____	\$ _____	
	Supplies and Expenses Total	\$ _____
Indirect Cost Rate (See Appendix 1) (\$ _____ X _____ %)		
		\$ _____
TOTAL PROJECT COSTS		\$ _____
FEDERAL SHARE REQUESTED		\$ _____

Attachment 2A

APPLICANT MATCH
(To be provided by applicant or a third party)

Donor:	_____	Donor:	_____
Source:	_____	Source:	_____
Kind:	_____	Kind:	_____
Amount:	_____	Amount:	_____

Donor:	_____	Donor:	_____
Source:	_____	Source:	_____
Kind:	_____	Kind:	_____
Amount:	_____	Amount:	_____

TOTAL MATCH: \$_____ (Must equal or exceed 40% of the total project costs)

Definitions to be used to complete the information above:

Donor: Indicate applicant's name or list name(s) of other donor(s)

Source: Indicate the source of the funds (examples: operating funds, private donation, appropriated funds)

Kind: Indicate the kind of match (examples: cash, applicant personnel or in-kind services, donated/volunteer time, or indirect costs (with a federally approved indirect cost plan))

Amount: For each kind of applicant match indicate the dollar amount

STATEMENT OF ASSURANCES FOR CLG GRANTS

As a duly authorized representative of the government which is applying for this CLG Grant, I certify the following statements to be true.

1. The applicant has a satisfactory record of integrity, judgment, and performance, especially with prior performance of grants and contracts.
2. The applicant will be able to comply with the proposed completion schedule for the project.
3. The applicant has adequate financial resources for performance, as well as the necessary experience, technical qualifications, and facilities.
4. The applicant has an adequate accounting system and auditing procedures to provide effective accountability and control of property, funds and assets sufficient to meet federal audit requirements.
5. The applicant will perform the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996, and OMB-Circular A-133.
6. The applicant is in conformance with all federal statutes relating to non-discrimination, and will execute a U.S. Department of the Interior Civil Rights Assurance of Compliance as part of their Letter of Agreement.
7. The applicant will comply with provision of the Hatch Act which limit political activities of employees whose principal employment responsibilities are funded in whole or in part with federal funds.
8. The applicant is not debarred from receiving federal funds.
9. The applicant will comply with the Grant Requirements outlined in application guidelines, and with the Secretary of the Interior’s Standards and Guidelines for Historic Preservation Projects, as applicable.

Signature of CLG Authorized Representative

Date

Typed Name and Title of Authorized Representative

Applicant (Municipality or County)