

Indiana Department of Natural Resources  
Division of Historic Preservation and Archaeology  
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**HISTORIC PRESERVATION FUND**

**ARCHAEOLOGICAL**

**INSTRUCTIONS AND PRIORITIES**

**For Federal Fiscal Year 2025**

Grant Applications

**A PROGRAM OF THE U.S. DEPARTMENT OF THE INTERIOR,  
NATIONAL PARK SERVICE**

**ADMINISTERED BY THE INDIANA DEPARTMENT OF NATURAL RESOURCES,  
DIVISION OF HISTORIC PRESERVATION AND ARCHAEOLOGY**



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**IF YOU HAVE QUESTIONS:** Please contact the DHPA Grants Staff for general advice, further information, and/or clarification of these instructions:

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## **FY2025 HISTORIC PRESERVATION FUND ARCHAEOLOGICAL GRANT APPLICATION**

### **INTRODUCTION**

The Division of Historic Preservation and Archaeology (DHPA), part of the Indiana Department of Natural Resources, is the state agency responsible for the administration of the National Historic Preservation Act of 1966. This Act authorizes the Secretary of the Interior, through the National Park Service, to provide money from the Historic Preservation Fund (HPF) to the states for the purpose of carrying out historic preservation activities. In Indiana, a large portion of these funds are allocated as matching grants to various parties who agree to undertake specific projects that will assist the State in meeting its preservation goals and objectives.

The information on the following pages describes the grant program more fully and explains the process for requesting grant funds.

#### **Important Dates:**

**Application Deadline—Friday, October 4, 2024, 5:00 p.m.:** Grant applications for FY2025 will be accepted by the Division of Historic Preservation and Archaeology until 5:00 p.m. This is not a postmark deadline, all applications must be received by the DHPA by the deadline.

**Official Project Selection—January 2025:** After evaluation and scoring by DHPA Staff, the scored/ranked applications (except any that propose non-eligible activities) will be presented to the State Historic Preservation Officer for approval. This step is anticipated to happen in late-January.

**Tentative Notification of Funding Status—February 2025:** Applicants will be notified of the DHPA's decision regarding their project proposals no later than the end of February. This is normally a *tentative notification* until the DHPA has applied for Indiana's HPF allocation from the National Park Service and been approved.

**Project Start Date—July 1, 2025:** This is the earliest tentative start date for grants. Note that delays at the federal level may push the earliest possible start date later than July 1. No work can begin until a formal grant award has been offered to and accepted by the grant applicant, and a grant start-up meeting has been conducted between the DHPA staff and the grant recipient.

**Project End Date—June 30, 2027:** All grant projects **MUST** be completed by June 30, 2027 for an active grant period of about 24 months.

## **PART I: PROGRAM GUIDELINES AND REQUIREMENTS**

### **A. Eligibility Requirements for the HPF Program**

1. **Applicant Eligibility:** Eligible applicants include (a) private, non-profit organizations with tax exempt status (such as local historical societies or preservation organizations), (b) educational institutions (such as public and private schools, colleges, and universities), and (c) local governmental units (including city and county agencies and commissions funded by a consortium of local governments).
  - **Private, for-profit entities WILL be eligible to receive grant funds ONLY in the Archaeological Category; however, federal regulations prohibit grant recipients from making a financial profit as a direct result of the grant-assisted project. Only direct costs associated with the project will be eligible for reimbursement.** Note also that state and federal auditing and income tax regulations prevent the DHPA from making a grant award to an organization which is not incorporated, or which does not otherwise exist as a legal entity.
2. **Scope of Work Eligibility:** All proposed work must conform to the applicable “Secretary of the Interior’s Standards.” Work that does not conform to these Standards is not eligible for reimbursement under this program. All archaeological survey and investigation work must be performed in accordance with all state and federal guidelines, standards, and laws. The *Guidebook for Indiana Historic Sites and Structures Inventory—Archaeological Sites* is available on the DHPA website at <https://www.in.gov/dnr/historic-preservation/files/hp-archaeology-guidebook.pdf>. Eligible activities under HPF guidelines are listed in the “Archaeological Priorities.”

### **B. Allowable Project Types**

Federal program rules specify the types of preservation projects that are eligible for funding under this grant program. This application packet is designed specifically for **Archaeological** projects, which cover these activities:

1. Phase I survey activities for archaeological resources in the DNR-owned areas identified in the Archaeological Goals and Objectives, or in other DNR-owned properties that have been coordinated with the DNR Division and Property.
2. Public information programs (such as publications, workshops, or training sessions) that are conducted in correlation with Phase I survey projects . Public education programs should directly relate to the project and endeavor to explain state or federal archaeological preservation programs.
3. Phase I survey projects that address data deficiency priorities identified by the DHPA in the Archaeological Goals and Objectives.
4. Projects that will nominate archaeology sites to the National Register.

Please review the specific archaeological project requirements listed in Appendix D: HPF Project Requirements, and keep them in mind when planning your project’s scope of work, timetable, and budget.

### **C. Required Project Personnel**

Required project personnel include a Project Coordinator and a Principal Investigator that meets professional qualifications specific to the type of project being proposed. It is possible for one person to serve as both Project Coordinator and Principal Investigator, assuming that he or she has the necessary qualifications, experience, and ability. Contact the DHPA Grants Staff if you have questions about these positions.

**Project Coordinator:** this is the person authorized to represent the grant recipient/project sponsor in the day-to-day administration of the project. The Project Coordinator is responsible for ensuring the progress and timely completion of all work on the project, and for submitting progress reports and reimbursement requests to the DHPA. The Project Coordinator is also the DHPA’s contact for all correspondence relating to the project. While it is obvious that the Project Coordinator must be capable, reliable, and conscientious, there are no academic or professional requirements

for this position. Select a Project Coordinator who will be able to commit to the project for the duration of the grant and who will be available to undertake the responsibilities of the role.

**Principal Investigator:** this is the person who conducts or supervises the professional aspects of the grant project. It is the Principal Investigator that is held responsible for the quality of the final product, and who would be expected to perform any remedial work required by the State. **Note that the State is prevented by federal regulations from paying for work that does not meet professional standards.** The Principal Investigator must meet the requirements listed in 36 CFR Part 61 for the appropriate discipline and must be able to demonstrate previous experience in a similar project (see Appendix A). State-owned (DNR) properties have additional requirements for qualifications, noted below:

**DNR property:** Archaeology conducted under state statute requires a Principal Investigator who meets the qualification standards in Indiana Code 14-21-1 and 312 IAC 21-3-4 (b). The fieldwork will be directly supervised in the field by a qualified Principal Investigator and/or field supervisor under Indiana Code 14-21-1 and 312 IAC 21-3-4. Any archaeology conducted on state owned property requires a plan (Indiana Code 14-21-1-16) approved by the Department of Natural Resources' Division of Historic Preservation and Archaeology.

**Non-DNR property:** The Principal Investigator must meet the federal archaeology qualification standards. The Division of Historic Preservation and Archaeology prefers that the Principal Investigator have experience in Midwest archaeology. Archaeological investigation beyond Phase 1a [Phase 1b and 1c] requires a plan approved by the Department of Natural Resources' Division of Historic Preservation and Archaeology.

Additional staff for archaeology projects, such as Field or Lab Supervisors, also must meet state professional qualification requirements under 312 IAC 21-3-4 (see Appendix A).

#### **D. Required Matching Funds**

Funds distributed through the HPF program are awarded in the form of matching grants, and grant recipients must cover a certain percentage of the total project costs. Archaeological projects are eligible for grant funding in the amount of **70%** of the total project costs, and the grant recipient must cover the remaining 30% of project costs (70/30 funding ratio). The grant applicant must document that it has all of the required matching funds available in its own accounts at the time of application.

#### **E. Grant Category Funding Parameters**

The minimum grant amount that can be requested for an Archaeological project is **\$10,000** and the maximum grant amount that can be requested is **\$50,000**. It is the policy of the Division of Historic Preservation and Archaeology, when funding projects, to provide the maximum amount of financial support possible. Note, however, that under some circumstances, a grant providing a lesser amount of funding might be offered, with a request for a corresponding reduction in the proposed scope of work. It would then be up to the grant applicant, after consultation with the DHPA, to decide whether or not to modify the proposed scope of work, accept the grant award, and proceed with the project. Questions regarding funding levels should be directed to the DHPA's Grants Staff.

#### **F. Open and Fair Procurement**

Because federal HPF grants represent public funds, strict compliance with open and fair procurement standards is required for anything that will be purchased or services that will be contracted as part of the project budget. Each grant recipient must prepare a formal invitation to bid, allow a minimum 14-day bidding period, directly invite a minimum number of qualified bidders, may be required to place newspaper advertisements announcing the bidding opportunity, and must execute a formal contract. Contractors who provide an estimate to support the budget in the grant proposal cannot simply be hired outright without going through an open and fair procurement process. The DHPA Grants Staff will assist all grant recipients with meeting the state and federal procurement requirements. Contractors already hired on a fully executed pre-existing contract may be honored under certain circumstances; be sure to discuss this situation with the DHPA Grants Staff before you apply if you intend to pursue it.

### **G. Disbursement of Grant Funds**

HPF grant funds are not released in a lump sum at the beginning of the project; instead, they are paid out on a reimbursement basis as the project moves forward. The grant recipient must pay all project expenses as they are incurred, then seek periodic reimbursement under the grant. Grant disbursement payments are made by EFT direct deposit approximately 30 days after submission of a fully documented reimbursement request. Therefore, it is imperative that the sponsoring organization has adequate financial resources available to continue paying expenses while grant disbursements are being processed.

## **PART II: HPF GRANT APPLICATION FORMS AND SUBMISSION REQUIREMENTS**

Required forms for the Archaeological Category must be obtained from the DHPA website (State Form #50553): <https://www.in.gov/dnr/historic-preservation/financial-assistance/grants/apply/>. Instructions for each form are provided in Part III: Instructions for Applying for HPF Grant Funds. Some parts of the application, such as the Executive Summary, Letters of Support, and Resumes, are required, but there is not a specific form provided by the DHPA. Make sure to verify that ALL the parts listed on the Grant Application Checklist form are included in your proposal.

### **How to Assemble and Submit the Application**

- A. Obtain the grant forms required for the A&D category provided in the **HPF Application Forms Packet**.
- B. Use the **Administrative and A&H Category Priorities** in this packet to respond to the evaluation criteria.
- C. **Assemble the original documents** into one application packet that follows the order of the Grant Application Checklist Form (p. 8). This one application packet should contain each of the items listed on the checklist.
- D. **Create a digital version of the complete proposal**. This can be in Word or PDF format, but should include all the components of the application assembled in hard copy, according to A. above. This electronic file must be submitted with the proposal on a CD or USB/thumb drive. See Appendix G.
- E. **Secure the hard-copy proposal** with a staple or a binder clip in the top-left corner. Please do not submit applications in folders, plastic report covers, 3-ring binders, or staple or paperclip sections within the application.
- F. **Submit ONE hard-copy original application and ONE CD or thumb drive** (with the digital copy and any photos or attachments for the proposal) to the DHPA prior to the application deadline. See Appendix E for digital submission instructions.

### **Application Deadline**

Applications must be received in the DHPA **no later than 5:00 p.m. on Friday, October 4, 2024 – this is NOT a postmark deadline**. Applicants are strongly encouraged to submit their applications early. Please note that any application received after this deadline will not be considered for funding. Completed applications should be sent to:

**Grants Section  
Division of Historic Preservation and Archaeology  
402 West Washington Street, Room W274  
Indianapolis, Indiana 46204-2739**

Once the application is submitted to the DHPA, the Grants Staff will log-in the application and will verify that all of the required component parts are included. If any of the required parts of the grant application packet are missing, incomplete, or insufficient, the DHPA Staff will notify the applicant immediately. The applicant will then have approximately **seven (7) days** to submit any missing or incomplete parts. Any applications that remain incomplete at the time of Staff Review will have their scores reduced accordingly, or may be rejected altogether.

### **A Warning About Hand-Delivering the Application to the DHPA**

Please be aware that the Indiana Government Center South Building and the Department of Natural Resources close at 4:45 p.m. In addition, you must be prepared for downtown traffic, limited public parking, security screening to enter the building, and locating the DNR Executive Office once inside the building. You should plan to arrive at the Indiana Government Center **no later than 4:00 p.m.** to ensure you are able to enter the building and deliver your application. Late applications cannot be accepted.

**At the end of this application packet you will find additional helpful information:**

- **FREE ADVICE for Completing HPF Grant Proposals**
- **Five Easy Ways to Make Your Proposal Score More Points**
- **What to Expect if You Receive an HPF Grant**
- **Overview of the Procurement Process**

For additional information or advice on the HPF program, contact the DHPA Grants Staff:

Malia Vanaman	317-232-1648	<a href="mailto:mvanaman@dnr.IN.gov">mvanaman@dnr.IN.gov</a>
Steve Kennedy	317-232-6981	<a href="mailto:skennedy@dnr.IN.gov">skennedy@dnr.IN.gov</a>

## GRANT APPLICATION CHECKLIST FORM

**Please submit this completed checklist with the grant proposal.**

Assemble the grant proposal in the order of the list below and staple in the top left corner or secure with a binder clip. Please do not submit applications in folders, plastic report covers, 3-ring binders, or spiral-bound. There is no need to paperclip or staple components within the application. See page 7 for submission instructions.

For proper staff consideration, the grant proposal MUST include ALL of the following parts, forms, and documentation (unless indicated as optional):

- \_\_\_\_\_ Proposal Cover Sheet (*do not include cover letters or other summary sheets on top of cover sheet*)
- \_\_\_\_\_ Grant Application Checklist
- \_\_\_\_\_ Executive Summary
- \_\_\_\_\_ Statements on Meeting State Priorities – BOTH:
  - \_\_\_\_\_ Narrative responses to Administrative Priorities
  - \_\_\_\_\_ Narrative responses to Archaeological Priorities
- \_\_\_\_\_ Project Budget:
  - \_\_\_\_\_ Project Budget Form
  - \_\_\_\_\_ Project Budget Breakdown
  - \_\_\_\_\_ Estimates
- \_\_\_\_\_ Matching Share
  - \_\_\_\_\_ Signed Matching Share Form
  - \_\_\_\_\_ Signed Letters of Commitment (*ANY outside sources of funds, in-kind services, or labor*)
  - \_\_\_\_\_ Proof of Matching Share (*bank statements, municipal or university research budgets, etc.*)
- \_\_\_\_\_ Signed Statement of Understanding
- \_\_\_\_\_ Letters of Support (*20 maximum*)
  - ▶ ALL letters must be signed and submitted with the application.
- \_\_\_\_\_ Resumes of Key Project Personnel (unless on file for DHPA QP list)
  - ▶ Project Coordinator
  - ▶ Principal Investigator
  - ▶ Other Project Personnel (*field supervisor, lab supervisor, etc.*)
- \_\_\_\_\_ Written Documentation of Landowner Permission
- \_\_\_\_\_ Digital file of grant proposal (Word or PDF) included on CD or USB/thumb drive.



### **PART III: INSTRUCTIONS FOR APPLYING FOR HPF GRANT FUNDS**

Some of the forms required to apply for grant funds are found in the **State Form packet #50553**: HPF Grant Application Forms: Archaeological Category (<https://www.in.gov/dnr/historic-preservation/financial-assistance/grants/apply/>). Some required components (Project Description, Support Letters, Resumes) you will create or provide for the application. The State Priorities that require responses are provided in this packet. Please supply one (1) hard copy of the complete original proposal, and a digital copy (Word or PDF format) on a CD or a USB/thumb drive. Specific instructions for each of these items are contained in items A through I below. Please use the forms provided or photocopies of the original forms. To be properly evaluated and scored, grant applications **must** include all of the following:

- A. Proposal Cover Sheet Form (State Form #50553)
- B. Grant Application Checklist Form
- C. Project Description
- D. Statements on Meeting State Priorities – BOTH:
  - Administrative Priorities, **and**
  - Archaeological Priorities
- E. Project Budget Form (State Form #50553)
- F. Matching Share Form (State Form #50553)
- G. Signed Statement of Understanding Form (State Form #50553)
- H. Letters of Support (*20 maximum*)
- I. Resume(s) (*only if not available in QP file*)
- J. Landowner Permission (*if applicable*)
- K. Archaeology Plan Requirements
- L. Digital Application File on CD/USB thumb drive

#### **A. Proposal Cover Sheet Form**

Do not include other cover letters or summary sheets on top of the Proposal Cover Sheet Form. This form should be completed and signed by an authorized party. Specific instructions for completing each line of this form are given below.

1. The Project Title should be succinct and reflect the kind of project that the grant applicant has proposed in this application (for example, the “Huntington Downtown National Register Historic District Nomination”). Allowable project types can be found in Part I, Section B.
2. The Project Sponsor is the legal entity applying for the grant (municipal government agency, educational institution, or not-for-profit organization with tax exempt status). If the grant proposal is successful, it is the Project Sponsor who will be offered funding. The Project Sponsor also has the ultimate legal and financial responsibility for the project. Check the Certified Local Government box if the Project Sponsor is a CLG. If the CLG intends to designate a third-party administrator to receive the grant funds and execute the project, the information for that agency or organization should be included in the space provided. Contact the DHPA Grant Staff with any questions about CLG-sponsored applications.
3. The Federal Identification Number of the Project Sponsor. This is required as part of state and federal auditing and income tax regulations. (If the CLG is the primary Sponsor but designating a third party administrator, provide the Federal ID number of the third party entity).
4. The Unique Entity Identifier (or UEI) Number of the Project Sponsor. This is required as part of federal auditing and income tax regulations. (If the CLG is the primary Sponsor but will designate a third party administrator, provide the UEI number of the third party entity). For more information and to check or obtain a Unique Entity Identifier number, go to: <https://sam.gov/content/home>.
5. Give the U.S. Congressional District in which the project is located. This information is required by the National Park Service.

6. List the county or counties in which the project is located. This information is required by the National Park Service.
7. The name of the Project Coordinator. Indicate the individual designated by the Project Sponsor to administer the project. (See Part I, Section C, and submit the resume of this person, if a current resume is not on file with the DHPA's Qualified Professional List. Note that the Project Coordinator is not required to be a Q.P.)
8. The name of the Principal Investigator. Indicate the professional responsible for ensuring that the final product meets all applicable state and federal standards (see Part I, Section C.)
9. Indicate the amount of federal funding requested, the matching share, and the total project cost on the appropriate lines. Note that these figures must be consistent with those contained on the subsequent Project Budget and Matching Share pages of the application.
10. Indicate the start and end dates for the project schedule. The project cannot begin **prior to July 1, 2025**; due to federal delays, clearance to begin a project is sometimes not granted until June. Once grant awards are made, there are administrative requirements to complete before the project can begin, including a Start-Up meeting, review of bid documents, etc. (see pages 42-44 for more information). Note also that the ending date is to be **no later than June 30, 2027**. Please note that a COMPLETE DRAFT of the grant report will be due at least sixty (60) days in advance of the project end date. This allows the DHPA the required thirty (30) day review period and provides thirty (30) days for the project personnel to address any revisions necessary for the final product. Note that due to the two-tiered review (technical and substantive) of National Register nominations, the submittal schedule is different to accommodate both reviews.
  - All draft products must be submitted for review by the DHPA by **April 30, 2027** to accommodate the sixty (60) day review and revision period and be **completed and approved by June 30, 2027**.
  - **National Register nominations** require a Technical Review, followed by a Substantive Review. A nomination must pass Technical Review before moving forward. The majority of nominations, even those prepared by Qualified Professionals, do not pass the first Technical Review, and the majority also require more than one Substantive Review. Therefore, National Register nominations must be submitted to the DHPA for technical review no later than November 1, **2025** and must pass technical review by **January 31, 2027**, in order to allow sufficient time for both technical and substantive review and any revisions required for DHPA approval by **June 30, 2027**.
11. Supply the information specifically requested in lines A through C. All grant projects must produce recognizable (and preferably tangible) products that are commensurate with the funds to be expended. Contact the Division of Historic Preservation and Archaeology if there is any confusion regarding this item.

## **B. Grant Application Checklist Form**

After completing all parts of the grant application, check off the items on the Grant Application Checklist (page 8) to submit as part of the grant application. Refer to Part II for instructions on how to assemble the parts of the application, and how hard copies and digital versions that are required to be submitted (page 7).

## **C. Project Description**

Please supply a **brief** summary, of no more than **one (1) page in length**, that is as clear and concise as possible, but includes sufficient detail to fully define the proposed scope of work. The applicant **MUST** coordinate the project with the appropriate DNR Division and Property staff and provide confirmation that the proposal has been prepared in consultation with the DNR. The project description should include:

- A description of the property, the areas to be surveyed, and a general survey plan.
- Identify and quantify the survey area (number of acres, percentage of property acreage the survey covers, and an estimate of the number of archaeological sites likely to be identified by the survey)
- The research objectives, project goals and methodology, data collection, analysis (include a breakdown of acres by types of survey: pedestrian, shovel probe, geophysical, etc.). (All archaeology projects must adhere to the standards and requirements contained in the *Secretary of the Interior's Standards and Guidelines for*

*Identification, Evaluation, and Archaeological Documentation*, and the *Guidebook for Indiana Historic Sites and Structures Inventory for Archaeological Sites* (<https://www.in.gov/dnr/historic-preservation/files/hp-archaeology-guidebook.pdf>).

- Significance of the research, methodology, and project focus: how the project would benefit the DHPA and/or the DNR property, and what the project contributes to the archaeological knowledge of Indiana.
- Summarize any communication with appropriate tribal contacts or THPOs regarding the project.

#### **D. Statements on Meeting State Priorities (Administrative AND Archaeological)**

On the following pages are two different lists of priorities which the State has identified to help evaluate proposed grant projects. The priorities are based on federal requirements and recommendations, the Division's own established needs and plans, and public input from constituents throughout the state. **It is critical that applicants prepare thorough responses to BOTH the Administrative Priorities and the Archaeological Priorities when completing the application. The responses to these sets of priorities are what the DHPA Staff uses to evaluate and score your proposal. Without clearly detailed and thorough responses, your proposal may not score high enough to receive grant funding.**

Please contact the DHPA if there is any uncertainty regarding the specific priorities that are applicable to your project. It is unlikely that any single project will address every priority. Similarly, some projects may only partially address certain criteria. When a proposed project does not address a particular criterion, the applicant should respond with "Proposed project does not meet this criterion," or "Not Applicable."

Grant applicants should address this section of the application carefully and thoroughly, and should demonstrate to the greatest extent possible how the proposed project relates to the DHPA's criteria. Staff recommendations will be prepared based on the point scores earned through this exercise. **Grant awards will not be made to any applicant scoring fewer than 65.0 points on the Administrative Priorities.** Final authority on distribution of Indiana's HPF grant funds rests with the Indiana Historic Preservation Review Board. A copy of the Division's procedures for the grant selection process is attached ([Appendix C](#)).

## FY2025 ADMINISTRATIVE PRIORITIES

Instructions: Provide complete but concise answers for each of the priority statements below. Please be as specific as possible in your answers, and explain exactly how the proposed project will meet the priority issues. Most projects will adequately address several priorities, while only partially addressing others, and will be scored accordingly. No project will address every priority statement. When a proposed project does not address a specific priority, mark "NA" as the response.

Max.

Score: Priority will be given to:

- 16 pts 1. Projects that have a clearly defined and carefully explained project activity/activities and will result in valuable products or outcomes for the State. *Summarize the project activity/activities, goals, and methodology: how is the project going to be accomplished and what is the project going to produce? If applicable, list each product individually and include quantities. Note that the scope of work must be realistic and commensurate with the amount of grant funding requested.*
- 12 pts 2. Proposals for which the entire project area is located in a community or jurisdiction that has been designated by the National Park Service as a Certified Local Government (CLG) for the purpose of carrying out historic preservation activities. *The DHPA is required to pass-through 10% of HPF funds to CLG projects. Currently there are twenty-four (24) CLGs in Indiana: Bloomington, Carmel, Crawfordsville, Crown Point, Elkhart, Evansville, Fort Wayne, Hobart, Huntington, Lafayette, LaPorte, Logansport, Madison, Mishawaka, unincorporated Monroe County, Muncie, Nappanee, New Albany, Newburgh, Pendleton, Richmond, South Bend, unincorporated St. Joseph County, and West Lafayette. Applicants with projects located in these communities should communicate with the local government preservation office as early as possible to obtain a letter of co-sponsorship that designates the organization as the project's third party administrator. Any questions about properly structuring a CLG grant application should be directed to the grants staff. Indicate whether or not the project sponsor or co-sponsor is a Certified Local Government.*
- 6 pts 3. Projects for which applicants are under-represented (minority or disadvantaged) organizations. *Explain how the project sponsor (the applicant organization or a co-applicant) qualifies as a minority or disadvantaged organization or directly serves a minority or disadvantaged group (in terms of ethnic background, language, culture, religion, socio-economic conditions, gender, etc.) as one of its primary functions.*
- 16 pts 4. Projects for which applicants have an individual capable of grant administration and acting as Project Coordinator. *Provide the name of this person, list their qualifications and grant-administration experience (if any). Note that the past performance of Project Coordinators on DHPA-funded grant projects will be considered. Project Coordinators with past DHPA-funded grant experience are evaluated on all aspects of grant administration, including Progress Reporting, Procurement, Reimbursement, timeliness, responsiveness, and their overall performance of supervising and coordinating the project on behalf of the sponsoring organization. If a current resume or c.v. for the Project Coordinator is NOT on file at the DHPA (as part of the Qualified Professional list), please submit one with the proposal.*
- 16 pts 5. Projects for which applicants have an individual capable of acting as Principal Investigator (P.I.). *If the P.I. is already identified, select the appropriate response under 5-A. If the P.I. is "To Be Determined," select the appropriate response under 5-B. Respond according to the instructions below that best describes your situation. Use the appropriate underlined statement as the first sentence of your narrative response to this criterion. If the sponsoring organization's P.I. selection DOES NOT precisely match one of the options below, please contact the DHPA Grants Staff to discuss the situation and seek guidance.*

5-A) If the P.I. is already identified: Provide the name of the person, list his/her qualifications (they must meet applicable 36 CFR 61 qualifications), and describe any previous experience on grant projects. If a current resume or c.v. for the P.I. is NOT on file at the DHPA (as part of the Qualified Professional list), please submit one with the proposal. Note that past performance of Principal Investigators on DHPA-funded grant projects will be considered.

- The P.I. is currently a member of the sponsoring organization. If the P.I. is a paid member of the organization, be sure to indicate whether his/her salary is included in the project budget and local match.
- The P.I. will provide their professional services as an "In-Kind Donation." This means that the fair market value of their donated services is included in the project budget and will be used as part of the local match to leverage grant funds. However, the P.I. will NOT receive any payment for their donated services. The P.I. MUST document their pledged in-kind donation in writing on their letterhead, its value must be clearly explained, and this document must be submitted with this proposal.
- The P.I. is already under a "Pre-Existing Contract." This situation applies ONLY if the P.I. was hired already and is documented by a fully executed contract dated on or before the date of the grant application deadline. A copy of this pre-existing contract MUST be submitted as part of the application. Provide the name of this person, list their qualifications (they must meet applicable 36 CFR 61 qualifications), and describe any previous experience on grant projects.
- The P.I. will provide their services totally "Off-Budget." This means that no cost for the P.I. is included in the project budget, nor does it constitute any portion of the local match. In this situation, the sponsoring organization is free to hire anyone without undergoing "fair procurement." If the intended P.I. is known at this time, provide the name of this person, list their qualifications (they must meet applicable 36 CFR 61 qualifications), and describe any previous experience on grant projects. If the P.I. is not identified at this time, indicate "To Be Determined" in the appropriate space on the cover sheet and see 3-B instructions for this question below.

5-B) If the P.I. is unknown and To Be Determined: Indicate in the appropriate space on the cover sheet that the P.I. is "To Be Determined." On A&H applications, this situation will result in a maximum score of eight (8) points for this criterion. On A&D applications, this situation will result in a maximum score of four (4) points for this criterion.

- The P.I. will be hired as a result of the grant project and is to be paid from the grant. (This is typical in A&H applications, or when the P.I. is on-budget for an A&D application.) Provide an answer that will explain how the P.I. services will be obtained. Note that the sponsoring organization must hire a qualified P.I. through an open bidding process that follows state and federal rules and procedures for "fair procurement." This process CANNOT be initiated prior to the official grant award and start-up meeting. However, hiring of the P.I. is expected to be accomplished within the first ninety (90) days after the project start-up meeting.
- The P.I. is yet to be hired and will be totally "Off-Budget" from the grant project. Provide a detailed answer explaining how appropriate P.I. services necessary for the grant project will be obtained. This could include hiring a P.I. to be paid "off-budget" or obtaining an in-kind donation for services at a later date. Note that A&D applicants must obtain P.I. services from an architect or equivalent professional. Hiring of the P.I. is expected to be accomplished within the first ninety (90) days after the project start-up meeting.

16 pts

6. Projects that have realistic timetables. Include a detailed timetable that shows the approximate amount of time (days, weeks, or months) that will be devoted to each of the various phases, tasks, or components of the overall project. In general, the more detail and breakdown provided, the higher the score will be for this criterion. Start and end dates given in the timetable must match those entered on the application cover sheet.
  - Projects should not plan to begin prior to June 1st.
  - The timetable should account for grant start-up meetings and tasks necessary for procurement of the Principal Investigator and/or contractor services (this should include sufficient time for

*DHPA review of bidding documents, plans and specs, the minimum fourteen (14) day bidding periods, and contract negotiation and execution).*

- *A&H and Archaeology projects should account for required thirty (30) day DHPA review of draft products and thirty (30) day revision period for final products.*
- *National Register nomination projects should account for both Technical Review and Substantive Review procedures in their timetables.*
- *A&D projects should give a detailed breakdown of all construction activities.*
- *Projects must be completed and all final products must be submitted by June 30, 2026– this deadline is NOT negotiable.*

16 pts      7. *Projects that have realistic and reasonable budgets. Include a detailed budget breakdown, indicate exactly how the various budget figures (line items) were computed, and include copies of any estimates received. Provide a justification for any items that are unusually expensive or inexpensive (such as discounted or donated goods or services). Upon review of the proposal, the DHPA reserves the right to adjust or negotiate the scope of work or the grant request in cases where the project budget is out of line with the products to be created. In general, the more detail, breakdown, and documentation provided, the higher the score will be for this criterion.*

12 pts      8. *Projects for which applicants have 100% of the matching share on-hand AND documented. In addition to the signed Matching Share Form, provide copies of bank statements, university research program budgets, local government departmental budgets, or other documentation to demonstrate that the applicant has all of the matching share funds available in its own accounts. NOTE: The amount of required matching share is equal to the anticipated total project cost minus the grant funding requested. Applicants that claim to have 100% of the matching share but do not properly document it will NOT receive full credit. Documentation of cash donations pledged, but not yet collected, will NOT be counted as match on-hand. In-kind donations of goods or professional services, as well as any pledges of volunteer labor, MUST be documented in writing by the donors and be submitted with the proposal in support of the Matching Share Form. All matching funds MUST be from non-federal sources.*

4 pts      9. *Projects for which applicants will provide a matching share consisting of less than 10% in-kind and/or volunteer services. Maximum points will be given for a match consisting totally of cash, or a combination match that includes less than 10% in-kind/volunteer services.*

12 pts      10. *Projects for which applicants have not received funding commitment through the DHPA’s grants program within the last three annual grant cycles (consider only funding awards made in 2021-2023). Indicate whether or not the project sponsor has ever received funding in the past from the DHPA, and list the years in which any grant assistance was received*

10 pts      11. *Projects for which applicants can show evidence of broad-based community support by submitting formal letters of support endorsing the proposed project. Support letters should be sought from any other groups or individuals that might have an interest in the successful outcome of the project, such as: historical societies, neighborhood organizations, elected officials, local businesses, community service organizations, etc. Applicants must limit their support letters to a maximum of twenty (20). The number of points awarded will be based on the quality, variety, and number of support letters submitted.*

*Letters must be:*

- *Printed on appropriate organizational letterhead (unless submitted by private citizens);*
- *Original, and specific to the project and activities being proposed;*
- *Dated and current;*
- *Signed with either an original or electronic signature; and*
- *All letters MUST be submitted with the application.*

*The following WILL NOT be counted:*

- *Unsigned or undated letters;*
- *Generic letters that are not specific to the project or activities being proposed;*

- *Letters from any person or organization directly associated with the applicant or the project;*
- *Letters that are sent or delivered to the DHPA separate from the proposal;*
- *Form letters, signed petitions, and copies of e-mail correspondence; and*
- *“Thank you” letters or other correspondence that does not specifically support the current application.*

6 pts      12. Projects for which applicants have properly followed the proposal instructions and have also submitted a complete application. *The application must contain all the completed forms and required information, and must be received by the DHPA prior to the published grant deadline. Applicants are strongly encouraged to submit their applications early so that the DHPA Staff can verify that they are complete. Applications missing any parts after the application deadline or that did not follow instructions provided in the application packet will not receive full credit, and may receive reduced scores for other priorities as well.*

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142 Points Possible

Note: Proposals MUST score a minimum of 65.0 points on the Administrative Priorities in order to be recommended for funding.

## FY2025 ARCHAEOLOGY PRIORITIES

The Division of Historic Preservation and Archaeology continues to partner with land-owning divisions in the Department of Natural Resources to promote archaeological survey on state properties. To this purpose, the DHPA will prioritize grant proposals that will conduct Phase I archaeology in areas either identified specifically in the Archaeology Goals and Objectives, or that have been coordinated with the DNR division and property staff.

In addition, Phase I survey projects that address data deficiency priorities identified by the DHPA and projects that will nominate archaeology sites to the National Register will also be considered for funding.

### FEDERAL REQUIREMENTS FOR ARCHAEOLOGY PROJECTS:

#### Eligible and Priority Activities:

- Reconnaissance Survey (Phase Ia: “archival research and a field visit to determine the identity and location of resources present in an area. Such surveys should be systematic and designed so that a determination can be made from the results as to when it is worthwhile to obtain the additional level of documentation (through an Intensive Level Survey) necessary for a National Register nomination.”)
- Intensive Survey (Phase Ib and Phase Ic: “the systematic, detailed field (and archival) inspection of an area designed to identify fully architectural, archaeological, and historic properties; and calculated to produce a level of documentation sufficient, without any further data, to evaluate National Register eligibility.” Intensive survey also includes “controlled surface or shallow subsurface investigations” and methods such as “grid collection or sampling; detailed mapping; piece-plotting; systematic probing, coring, or auguring; use of remote sensing techniques.”)
- Phase I Resurvey Activities ONLY to modify documented boundaries, identify resources not included in the property’s previous eligibility determination, establish a property’s relationship with other resources as part of historic context development, or upgrade existing inventory data.
- National Register nominations ONLY for archaeological sites on the Special Topics List that have already been determined eligible and that do not require further testing.

#### NOTE:

- Phase II and limited testing will not be considered for funding.
- Written permission MUST be obtained and submitted as part of the grant proposal for ALL landowners with control over the site(s) to be surveyed and/or nominated.
- Projects that include activities that will directly impact areas or sites where known human remains or burials exist are discouraged. (Mounds or earthworks identified by the Preserve America initiative and listed as priorities under Part II are excepted).

#### Ineligible Activities:

- Any archaeological activities that do not meet the eligibility criteria described above;
- Curation of archaeological collections beyond the project end date;
- Exhibition of archaeological collections beyond the project end date;
- Mitigation (Phase III) activities.

### FUNDING RATIOS FOR ARCHAEOLOGY PROJECTS:

Phase I Survey Activities: 70% federal share / 30% local match

National Register Nomination (with or without Phase I activity) projects: 70% federal share / 30% local match

**Instructions:** Provide complete but concise answers for each of the priority statements below. Please be as specific as possible in your answers, and explain exactly how the proposed project will meet the priority issues. Most projects will adequately address one or more priorities, while only partially addressing others, and will be scored accordingly. If a proposed project does not address a specific priority, mark “NA” as the response.

Max.

Score: Priority will be given to:



- 30 pts 1. Provide a clear and detailed narrative description of the project’s research design and objectives, project goals, and data collection plans and methodologies (such as pedestrian survey, geophysical survey, magnetometry, ground penetrating radar, or shovel probes), if applicable. All archaeology projects must adhere to the standards and requirements contained in the *Secretary of the Interior’s Standards and Guidelines for Identification, Evaluation, and Archaeological Documentation*, and the *Guidebook for Indiana Historic Sites and Structures Inventory for Archaeological Sites* (<https://www.in.gov/dnr/historic-preservation/files/hp-archaeology-guidebook.pdf>). The narrative should include the following:
- *If the project includes a survey component, describe the project area(s) to be surveyed. Identify and quantify the survey area (number of acres, percentage of property acreage the survey covers, and an estimate of the number of archaeological sites likely to be identified by the survey).*
  - *Include topographic maps that clearly identify the survey areas and are keyed with the type of survey; additional maps, such as aerials, are encouraged. Maps should include legends, compass orientation, and legible color contrasts to allow for evaluation of the survey area, the types of survey proposed, and total acreage.*
  - *Identify the research objectives, project goals and methodology, data collection, analysis (include a breakdown of acres by types of survey: pedestrian, shovel probe, geophysical, etc.).*
  - *Indicate how the project methodology is appropriate and feasible for the topography or other property considerations, and include a breakdown of acres by types of survey.*
  - *Include the significance of the research, methodology, and project focus: Describe how it will benefit the DHPA and make a valuable or unique contribution to Indiana archaeological knowledge and any specific thematic, methodological, geographic or cultural area of data deficiency.*
  - *List and describe the products that will result from the project (e.g., technical report, public education materials, archaeological site forms, etc.).*
  - *Describe any communication or coordination with federally-recognized tribes.*
- 20 pts 2. Projects that will involve reconnaissance and/or intensive survey (Phase I) of previously unsurveyed areas or portions of Fish and Wildlife Areas, Nature Preserves, State Forests, or State Parks that have been specifically identified by the State (refer to the “Archaeological Goals and Objectives: Part I and Part II”), particularly areas that have a high probability for site locations, such as areas along major water courses, or that may need protection due to the possibility of increased visitation, use, erosion, or other potentially detrimental circumstances. *Specify the DNR property name and location and a description of the property. For DNR properties, scoring preference will be given to projects that propose to: survey the largest amount of acreage; survey the highest percentage of unsurveyed acreage within a property (allowing for topography considerations); complete all needed survey activities at a particular property.*
- 12 pts 3. Projects that will include field investigation of mounds or earthworks on DNR properties that were identified by the Preserve America Mounds Inventory Project and were recommended for field verification (specified in “Archaeological Goals and Objectives: Part II: Priority Mounds or Earthworks on DNR Properties”). *Provide information from the Preserve America Mounds Inventory and describe how this project will pursue verification of reported sites that are located on DNR properties. Include the percentage of the overall project that will focus on mounds and earthworks.*
- 16 pts 4. Projects not on DNR-owned properties, that will involve reconnaissance and/or intensive survey (Phase I) of areas with data deficiencies specifically targeted by the State (refer to the “Archaeological Goals and Objectives, Part III”) OR are threatened or will be impacted by imminent, specific, near-future development, redevelopment, or construction projects, or projects that will survey areas that have already been damaged by development, construction, erosion, flooding, or other forces. *Specify the property or area to be surveyed. If applicable, describe the natural or development threats to the area, or the types of damage that have already occurred. Provide a description of the area and its topography (for example: farm fields, forests,*

*watercourses, rockshelters, etc.), and an estimate of the number of sites to be recorded. The DHPA will assess and score projects based on the explanation of the data deficiency or threat and overall acreage to be surveyed.*

- 20 pts      5. Projects whose primary purpose is to prepare a National Register nomination for one or more of the “Special Topic Sites” (refer to the “Archaeological Goals and Objectives, Part IV”) or other site(s) already determined to be eligible for the National Register. Projects may include reconnaissance or intensive survey (Phase I) activities, if necessary as part of the nomination process. *Specify the sites for which a National Register nomination will be prepared and whether they are on the “Special Topic Sites” list. If the sites are not on the Special Topic Sites list, you MUST provide written verification that each site to be nominated has been determined eligible by the DHPA archaeological staff.*
- 12 pts      6. Projects that will contribute to meeting the State’s preservation goals and objectives. *Refer to the goal, objective, and strategy statements listed in the [Indiana’s Cultural Resources Management Plan](https://www.in.gov/dnr/historic-preservation/files/hp-indiana-cultural-resources-management-plan-2020-2026.pdf), which is available on-line at: <https://www.in.gov/dnr/historic-preservation/files/hp-indiana-cultural-resources-management-plan-2020-2026.pdf>. Describe how the proposed project will help meet the State’s identified goals, objectives, and strategies for preservation of cultural resources. Describe how it will benefit the DHPA and make a valuable or unique contribution to Indiana archaeological knowledge and any specific thematic, methodological, geographic or cultural area of data deficiency that will be addressed.*
- 12 pts      7. Projects that include a component to promote public awareness and knowledge of archaeology in Indiana by creating and implementing specific public education components. *Describe the plan for disseminating information and results of the project to public and professional communities. These may include: public education materials for use by the public and/or educators, scheduled public presentations in the county of the project, or proposals specifically geared toward work with avocational groups and volunteers. Describe the education component in detail, explain how it will promote public awareness and knowledge of archaeology in Indiana, and identify the target audience(s). Public education components that will coincide with Indiana Archaeology Month (September) and will be registered with the DHPA’s Archaeology Outreach Coordinator will receive higher points for this criterion. Note that products must be reviewed by DHPA for grant acknowledgement and issues of confidentiality.*

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122 Points Possible

## ARCHAEOLOGICAL GOALS AND OBJECTIVES

Project proposals that will be conducted on DNR properties must be coordinated with the DNR landholding division and specific property management staff. Project proposals for survey of non-DNR properties or to nominate sites to the National Register must provide landowner permission.

Projects should consist of reconnaissance and/or intensive survey (Phase I) of previously unsurveyed areas and focus particularly where there is a high probability for site locations, or that may need survey due to data deficiencies or the potential for increased visitation, use, erosion, or other potentially detrimental circumstances.

### **Part I: Targeted DNR Properties**

DNR Divisions have provided the following list of priority properties for survey. DNR properties not listed below will also be considered.

#### State Parks:

- Brown County
- Clifty Falls (Jefferson County)
  - The Civilian Conservation Corps camp.
- Lincoln (Spencer County)
- McCormick's Creek (Owen County)
  - The Peden Farm is a 19<sup>th</sup> century family farmstead with some extant features.
- Mississinewa Lake (Miami County) – *State/DNR-owned areas only*
  - Areas with potential for sites related to the Battle of Mississinewa, part of the War of 1812.
- Salamonie Lake (Wabash County) – *State/DNR-owned areas only*
- Turkey Run (Parke County)
  - The Lusk Home site was investigated in the early 1980s, but only in the immediate location of the house; further investigation of the family's homestead is warranted.

#### State Forests:

- Clark State Forest (Clark, Scott, and Washington counties)
  - Reconnaissance survey of portions of Clark State Forest. Parts of Clark State Forest fall within Scott and Washington Counties; both of these counties are under-represented in the archaeological record and additional surveys could expand the cultural history of the region.
- Harrison-Crawford State Forest (Harrison County)
  - Reconnaissance or Intensive survey of Cold Friday Hollow within the current borders of this State Forest. This area was home to the former community of Worth and further investigations to determine the extent of the settlement is warranted.
- Harrison-Crawford State Forest (Harrison County)
  - Reconnaissance or Intensive survey of Potato Run valley within the current borders of this State Forest. A post-contact tannery has been reported within this stream valley, but investigations are warranted to determine its location.
- Morgan-Monroe State Forest (Morgan County)
  - Reconnaissance or Intensive survey of Deadman Hollow located within the current borders of this State Forest. Secondary deposits recovered from the streambed indicates the potential for both pre- and post-contact period sites in the valley.
- Salamonie State Forest (Wabash County)
  - Reconnaissance or Intensive survey of the uplands that border the Salamonie River within the current borders of this State Forest.
- Frances Slocum State Forest (Miami County)
  - Reconnaissance or Intensive survey of the uplands that border the Mississinewa River within the current borders of this State Forest.

#### Fish and Wildlife Areas:

- Goose Pond (Greene County)
- Hovey Lake (Posey County)

#### Nature Preserves:

- Bluffs of Beaver Bend (Martin County) – this property contains mounds or earthworks, see **Part II** below.
- Conrad Savanna (Newton County)
- Moraine (Porter County)
- Portland Arch (Fountain County)
- Stoutsburg Savanna (Jasper County)

#### **Part II: Mounds and Earthworks on DNR Properties**

Note: Site numbers below beginning with “PA” indicate mound or earthwork sites that were identified during the DHPA’s Preserve America grant, but which do not have state site numbers. Any questions about mounds and earthworks on DNR properties, and how they are to be incorporated into proposed projects, should be directed to the DHPA.

- Bluffs of Beaver Bend Nature Preserve (Martin County):
  - 12Mn2
- Charlestown State Park (Clark County):
  - PA-CI-023
- Fairbanks Landing Fish & Wildlife Area (Sullivan County):
  - 12Su17
  - 12Su41
  - 12Su42
  - PA-Su-010
  - PA-Su-012
- Gray Pitcher Farm Fish & Wildlife Area (Posey County):
  - 12Po3
  - 12Po843
- Minnehaha Fish & Wildlife Area (Sullivan County):
  - 12Su503
- O’Bannon Woods State Park (Harrison County):
  - 12Hr13

#### **PART III: Target Areas**

Projects should seek to broaden the state’s archaeological database and assist our understanding of past human behavior and life ways. Consequently, the HPF Archaeology Category is keyed directly to prioritized target areas. The items listed below reflect data deficiencies in Indiana’s archaeological record as identified by the Division of Historic Preservation and Archaeology.

The Data Deficient Target Areas indicate those areas within the state for which we (a) have less archaeological data, and/or (b) are subject to some form of land-use impact (natural and/or mineral resource extraction, metropolitan and/or industrial development, natural impacts, and detrimental agricultural impacts) that may affect the known cultural resource database and/or destroy those resources that are yet to be discovered.

All of the geographic areas noted below require reconnaissance level surveys to locate, identify, and evaluate sites related to the entire cultural sequence and that of the subsequent Euro-American occupations.

#### Priority Areas:

- A. Stratified survey of unsurveyed landforms anywhere in the following data deficient counties: Scott, Pulaski, Starke, Fountain, Steuben, Clinton, LaGrange, Ripley, Warren.
- B. Unsurveyed areas threatened by development around the following communities: Whitestown and Zionsville, Boone Co.; Bargersville, Johnson Co.; Avon, Hendricks Co.; Winfield and St. John, Lake Co.; Elkhart, Elkhart Co.; Mishawka, St. Joseph Co.; and Evansville, Vanderburgh Co.

**Part IV: Special Topic Sites**

Special Topic Sites have been selected because the DHPA encourages nominating these eligible archaeological sites to the National Register of Historic Places.

Lockport Lock (12C76)  
Carroll County  
Wabash and Erie canal lock

Site 12Hr12  
Harrison County  
Shell midden

Roll Site (12Cr175)  
Crawford County  
HNF Property petroglyph

Ehler Site (12Hu1022)  
Huntington County  
Trade era

State Line Site (Indiana property)  
12D18  
Dearborn County

Car Ferry (12La642)  
Lake County  
Shipwreck

Oberting Site 12D25  
Dearborn County  
Multicomponent site with mounds and earthworks

Cedar Bluff Rockshelter Site (12Mn72)  
Martin County  
Rockshelter

Cummings Mound Site (12D514)  
Dearborn County  
Mound

All Seasons Site (12Mi225)  
Miami County  
Habitation

Site 12D486  
Dearborn County  
Habitation

Alton Site (12Pe171)  
Perry County  
Habitation

Reid Site (12F11)  
Floyd County  
Shell mound/midden

JD Marshall (12Pr723)  
Porter County  
Shipwreck

Breeden Site (12Hr11)  
Harrison County  
Shell midden

Cicott (12Wa59)  
Warren County  
Trading post

Little Pigeon Creek Site (12W340)  
Warrick County  
Village

## **E. Project Budget Form**

Complete the Project Budget Form (SF #50553: <https://www.in.gov/dnr/historic-preservation/financial-assistance/grants/apply/>). For information on allowable and unallowable costs, please refer to Appendix B of this application packet. Be sure to account for the total cost of the proposed project, not just the federal share. Please complete each line and insert “0” when the budget contains no costs for that particular line-item. If grant funding is offered, reimbursements may only be made for costs incurred in the line-items that include these original budget figures. The budget must be broken down as follows:

1. Personnel. This category refers only to persons on the regular payroll of the sponsoring organization. Persons employed on a contractual basis for the sole purpose of working on the grant-assisted project should be included in the “Contractual” line-item in the Budget.
2. Fringe Benefits. Fringe benefits for paid personnel are an allowable cost. To facilitate the budget process, fringe benefit expenses are often expressed as a percentage of the “Personnel” cost.
3. Volunteer Personnel. This category refers to persons who donate their time towards the completion of the grant-assisted project. Volunteer time is valued at minimum wage (\$7.25/hour) unless other arrangements are made in advance with the Division of Historic Preservation and Archaeology. Note that, in general, the State prefers to fund projects that include little or no Volunteer Personnel time, since it is often difficult for the Project Sponsor to keep volunteers working on a set schedule. (Volunteer is different than In-Kind, see p. 27 on Matching Share).
4. Travel. Travel expenses may not exceed the Indiana State Auditor’s rate of \$0.41 per mile (as of February 1, 2022, but subject to change). If the project involves travel outside the State of Indiana, please note this in the budget and provide a justification in the Project Description.
5. Supplies. Only those items necessary for the completion of the project may be purchased under this grant. Note that any single item costing more than \$250 is considered to be **equipment**, and not a supply item. Historic preservation grant funds cannot be used to purchase equipment without advance written permission from the Division of Historic Preservation and Archaeology.
6. Contractual. This category refers to the cost of professionals engaged to work on the project on a contractual basis. **Note that federal regulations require an open selection process in the hiring of all consultants and contractors connected with a federally-funded project.** The grant recipient must either advertise the activity/position or distribute a request for proposals to a minimum of five (5) qualified individuals and/or firms. After the open selection process, the Division of Historic Preservation and Archaeology must approve of the selected consultant or contractor before they may be hired by the grant recipient. No person employed as a consultant (or volunteering their professional services) will be reimbursed (or valued) at more than **\$60.00 per hour**. When hiring consultants or contractors for a grant project, the subgrantee must also provide evidence that:
  - The fee is appropriate considering the qualifications of the consultant/contractor, the fees which the consultant/contractor ordinarily charges, and the nature of the services to be provided; and,
  - That no consultant/contractor with equal experience and qualifications is available for a lesser amount.

The Division of Historic Preservation and Archaeology reserves the right to reject consultants and contractors selected by grant recipients to work on grant projects. Consultants who have failed to perform adequately on past preservation projects will not be approved (whether the Division of Historic Preservation and Archaeology either funded the project or merely reviewed the project in the course of administering state and federal preservation programs in Indiana). **The grant applicant is warned not to make any commitments to any parties prematurely, as this could make the applicant ineligible for grant funding.** An overview on the procurement process is included at the end of this application packet. Additional information on contracting with consultants may be found in the DHPA Grants Manual, which will be supplied to grant recipients with their award letter. The only exception is if a pre-existing, signed contract already exists and is provided with the grant application; please contact the DHPA Grant Staff to discuss this circumstance, if it applies. Contact the DHPA staff with any questions about contracts or procurement.

7. Curation. These costs are only allowable for artifacts on DNR property that will be provided to the Indiana State Museum for curation. One-time accession costs are \$250 per box (can't exceed 30 pounds), and are billed at the 70/30 ratio.
8. Printing/Publication: Costs associated with printing the technical report, copies of field notes or other expenses related to curation, or costs to pay for printing of any publications.
9. Other. Costs that do not fall into any of the above categories should be entered on this line. Examples of items often accounted for here include printing and publishing expenses. Indicate the nature of any expenses listed in this category.

**Note: Only direct project costs are allowable -- indirect costs are NOT allowable expenses under this program. The DHPA Staff will automatically eliminate indirect costs from project budgets whenever they appear. This may severely alter a proposed project's budget, and may jeopardize its ability to be properly executed should grant funding be awarded. The grant recipient must also keep accurate records of all expenditures. These records must be able to satisfy the requirements of a federal audit.**

#### **F. Matching Share Form**

Because HPF grant funds can provide only a portion of the total costs of a project (as explained in D. Funding Levels, page 20) and **must be matched** (at minimum) according to the ratio stipulated in the grant agreement, the grant applicant must make arrangements to provide the Matching Share. This the amount of funding that the Project Sponsor is responsible for having "up-front," equal to 50% of the total project cost (or 30% for Phase I survey projects). This can be done by having the grant applicant commit its own funds or services to the project, by arranging for donations of goods, services, and volunteer labor from interested third parties, or by a combination of these two methods. The Matching Share can be in the form of **cash, donated in-kind services and goods, volunteer time**, or any combination of these three categories. Information on the various types of Matching Share are provided below.

Please indicate the source of the matching share. If elements of the matching share are being provided by entities other than the sponsoring organization, attach copies of letters from those entities showing a firm and binding commitment to provide the promised donation. The "Certification of Matching Share" must be signed by the person legally authorized to commit the sponsoring organization and its funds. Documentation of the availability of matching funds must also be provided in order to receive the maximum score, such as: copies of bank statements, university department budgets, government department budgets, letters of commitment for in-kind services, etc.

Remember: Historic Preservation Fund grants are reimbursement grants. This means that the grant recipient may only receive money from the State after providing the DHPA Grants Staff with appropriate documentation showing that project costs have been incurred and that some portion of local matching funds have been expended.

Therefore, grant recipients must have the ability to begin their project with some cash or in-kind donations from the start of their grant in order to leverage HPF funds. In addition, **15%** of the total grant amount will be retained until the final product has been reviewed and approved by the appropriate DHPA Program Area Staff. Specific instructions on filing reimbursement requests are contained in the Grants Manual, which will be supplied to grant recipients during the initial meeting with DHPA Staff.

There are three categories of Matching Share:

1. Cash. When grant recipients use their own funds to purchase goods or services specifically for the grant project (i.e., goods or services that recipients would not otherwise be purchasing as part of their own on-going programs), or when a third party donates cash to the grant recipient for the same purpose, it is considered to be a cash donation to the grant project. This would include situations where grant recipients are using their own personnel or funds to perform some or all of the grant work, by drawing supplies from their own supply room, or to hire a temporary employee or a consultant solely and specifically to work on the grant project; where they use their own funds to purchase supplies for use on the project that are not ordinarily stocked in their own supply room; or where they receive cash from a third party to help them do any of the preceding activities.

2. In-Kind Services and Goods. When a third party provides professional services or supplies to assist the project, it is considered to be an in-kind donation to the grant project. **See** Volunteer Services to differentiate In-Kind Professional Services from general volunteers. Keep in mind that in-kind goods and services must still be documented for reimbursement. Some goods or supplies are difficult to document specifically (i.e. paper or toner for printing, phone use, computer use, etc.) and may not lend themselves to being included as match. Contact the DHPA with any questions.
3. Volunteer Services. When the grant recipient arranges to have individuals perform work on the project without any remuneration, it is considered to be a volunteer services donation to the grant project. Establishing the value of volunteer services can be difficult. If the volunteer is normally a paid professional in a given field of endeavor, and is providing free services in that same field, then it is usually possible to value the volunteer's time using their regular hourly rate of pay. In that case, the services are considered a Professional In-Kind donation and should be listed under "In-Kind." However, such an arrangement must be approved in advance by the Division of Historic Preservation and Archaeology. Ordinarily however, volunteer services are valued at minimum wage (\$7.25/hour). Accurate time sheets must be kept to document the amount of volunteer services performed.

Note that the grant applicant may use any combination of these three forms of match. Ordinarily, however, some amount of cash will be required to initiate the project, since grant funds are paid out on a reimbursement basis.

**Other Grant Funds Used As Match to the HPF Grant:** In some cases, it may be possible to use other grant funds as match against the HPF grant funds. However, such grant funds **MUST NOT** be funds from a federal source or pass-through funds that are federal in origin. If non-federal grant funds are to be used as match, be cautioned that the matching funds should be immediately available for the grant applicant to use. If the matching funds are from a reimbursement grant program (like the HPF), the grant applicant **MUST** have some amount of cash documented in the match in order to leverage both sources of federal and non-federal grant funds. If there are questions about the eligibility of matching funds, please contact the DHPA Grants Staff.

**Multiple Grants Used on the Same Project:** Most grant programs, whether public or private, will require some amount of local match. Be advised that in most cases, it is not allowable to use the same local funds as match against two separate grants, in effect, counting the same dollars twice. Ordinarily, each grant must have its own matching funds that are dedicated solely to that grant. If there are questions about using other grants within a project, please contact the DHPA Grants Staff.

**State Personnel Salaries and Fringe Benefits as Match:** While it is technically possible to use State personnel salaries and fringe benefits as match to an HPF grant, due to the complexities of this situation required by the Auditor of State's financial software, such match will not be permitted. State personnel may work on the subgrant project but may not code their time as match to the project, nor should the value of their salaries and fringe benefits be included anywhere in the project budget. If you have any questions about this situation, please contact the DHPA Grants Staff.

**Documenting Over-match:** Remember that the HPF grant amount cannot exceed \$50,000.00; therefore, if the total project budget requires additional match above the 30% required, the applicant must provide documentation of the "over-match" equal to any costs that exceed the maximum 70% HPF funds. Over-match must also be fully documented in order to be considered "available and on-hand" and receive full credit on Administrative Criterion #9.

#### **G. Statement of Understanding Form**

This form (page 21) must be signed by the person who is legally authorized to commit the applicant organization. Review these statements carefully before signing them and contact the DHPA if any questions arise. **A grant application cannot be considered for funding unless this form has been executed and submitted.**

#### **H. Letters of Support**

The DHPA strongly encourages grant applicants to supply letters of support from local elected officials, historical societies, community groups, business people, or other interested parties in order to demonstrate broad-based popular support for the proposed project. Letters of support must be drafted and dated and signed, so as to demonstrate that they concern a current and specific grant proposal. Copies of old support letters that were written for other purposes



or for previous grant applications will not be counted by the DHPA. Petitions, form/unoriginal letters and unsigned letters will not be counted. **Letters of support must be submitted with the grant application; letters sent or delivered separately to the DHPA will not be inserted into proposals and therefore will NOT be counted.** Note that the total number of current support letters accompanying the proposal earns points in the grant evaluation process. A maximum of twenty (20) support letters will be counted for evaluation points; do not submit more than twenty (20) support letters.

#### **I. Resumes**

If project personnel are listed on the DHPA's Qualified Professionals Roster, and resumes or curriculum vitae are on file, resubmission of these are not necessary. Please note on the checklist that current information is on file at the DHPA. Otherwise, please submit one (1) copy of the resume of the person who will act as Project Coordinator. If the grant-assisted project will include a Principal Investigator who is already a member of the Project Sponsor's staff, please include one (1) copy of this person's current resume with the project application. If no Principal Investigator will be used, or if a consultant will be hired later to serve as the Principal Investigator, it is not necessary to submit a resume for this position. If additional project staff, such as field and lab supervisors, will be participating in the project, copies of their resumes should also be submitted to verify they meet or exceed the State Professional Qualifications requirements (see Appendix A).

#### **J. Landowner Permission Form (if applicable)**

Archaeological field projects require the consent of the landowner. If the project proposed will require landowner permission, please submit written documentation of permission from all landowners on whose property surveys or investigations will be conducted. This documentation must be provided with the proposal.

#### **K. Archaeology Plan Requirements**

Per 312 IAC 22-2-3 (b) (2), an application to conduct an investigation or scientific investigation must be filed at least thirty (30) days before the proposed commencement of the project.

#### **L. CD or USB/Thumb Drive with Digital Application File and Property Images**

Create a digital version of the complete application proposal, PDF, to submit with the original hard-copy proposal. This file can be provided on a CD or USB/thumb drive. See Appendix E.

The DHPA will accept a CD with digital images to meet this requirement. Only **ONE (1)** CD is necessary. If applicable, digital images should be separate files in JPG or TIF format, please do not put images into Microsoft Word, Microsoft Publisher, PowerPoint, or other presentation software.

**Any and all photographs, CDs, and other materials submitted in support of HPF applications become the property of the DHPA. These materials cannot be returned to the applicant. For audit purposes, these materials must remain with the DHPA's program files, regardless of whether the proposal is funded or not.**

## APPENDIX A

### SECRETARY OF THE INTERIOR PROFESSIONAL QUALIFICATIONS STANDARDS (formerly 36 CFR PART 61)

In the following definitions, a year of full-time professional experience need not consist of a continuous year of full-time work but may be made up of discontinuous periods of full-time or part-time work adding up to the equivalent of a year of full-time experience.

#### **A. History**

The minimum professional qualifications in history are a graduate degree in history or a closely related field; **or** a bachelor's degree in history or a closely related field **plus** one of the following:

1. At least two years of full-time experience in research, writing, teaching, interpretation, or other demonstrable professional activity with an academic institution, historical organization or agency, museum, or other professional institution; **or**
2. Substantial contribution to the body of scholarly knowledge in the field of history through research and publication.

#### **B. Archaeology**

The minimum professional qualifications in archaeology are a graduate degree in archaeology, anthropology, or a closely related field, **plus**:

1. At least one year of full-time professional experience or equivalent specialized training in archaeological research, administration, or management; **and**
2. At least four months of supervised field and analytic experience in general North American archaeology; **and**
3. Demonstrated ability to carry research to completion.

In addition to these minimum qualifications, a professional in **prehistoric archaeology** shall have at least one year of full-time professional experience at a supervisory level in the study of archaeological resources of the prehistoric period. A professional in **historic archaeology** shall have at least one year of full-time professional experience at a supervisory level in the study of archaeological resources of the historic period.

#### **The State of Indiana also requires the following Professional Qualifications:**

The following information must be submitted or on file at the DHPA in order to document that project staff meet or exceed the professional qualifications and requirements for archaeologists working in the State of Indiana, as stated in Indiana Code (IC) 14-21-1 and 312 IAC 21.

312 IAC 21-3-4 Personnel qualifications  
Authority: IC 14-21-1-31; IC 14-34-4-10  
Affected: IC 4-21.5-3-8; IC 14

Sec. 4. (a) An individual who wishes to conduct an investigation under this article must submit a curriculum vitae to the division to satisfy the qualification standards of this section.

(b) A **principal investigator** must have the following:

- (1) A graduate degree in anthropology or a closely related field with a specialization in archaeology at the graduate level.

(2) Three (3) years of experience in anthropology or a related field, consisting of at least two (2) years as a supervisor in archaeological survey and excavation and one (1) year of laboratory cataloging and analysis and the preparation of a research-oriented monograph, thesis, or dissertation.

(3) Graduate course work, training, and experience in archaeology, including theory, methods, techniques, cultural areas, and field and laboratory techniques, under the direction of a qualified professional archaeologist.

(4) In addition to the requirements contained in subdivisions (1) through (3), the following requirements apply to a project in the areas specified:

(A) For a prehistory project, two (2) years of supervisory experience and research in Midwestern archaeology.

(B) For a history project, two (2) years of supervisory experience in Midwestern historic archaeology and archival research.

(C) For a marine project, two (2) years of supervisory experience in underwater archaeological techniques and research. Diving certification is also required from a recognized certifying organization (examples: NAUI, PADI, Red Cross, YMCA, and United States Navy).

(c) A **field or laboratory supervisor**, who is eligible to submit draft and final reports for field projects, must have the following:

(1) A master's degree in anthropology or a related field and one (1) year of supervisory experience in survey, excavation, or laboratory techniques.

(2) Instead of the requirements under subdivision (1), experience and training under a person who would qualify as a principal investigator and satisfaction of the qualifying examinations required toward a doctor of philosophy degree.

(3) Graduate course work, training, and experience in archaeology, including theory, methods, techniques, cultural areas, and field and laboratory techniques, under the direction of a qualified professional archaeologist.

(4) In addition to the requirements contained in subdivisions (1) or (2) and (3), the following requirements apply to a project in the specified areas:

(A) For a prehistory project, one (1) year of experience at the master's degree level in Midwestern prehistoric archaeological research.

(B) For a history project, one (1) year of experience at the master's degree level in Midwestern historic archaeological and archival research.

(C) For a marine project, one (1) year of experience in marine archaeology and underwater archaeological techniques and research. Diving certification is also required from a recognized certification organization (examples: NAUI, PADI, Red Cross, YMCA, and United States Navy).

(D) For a laboratory project, one (1) year of supervisory experience at a master's degree level in collections research, artifact analysis, curation, and artifact cataloging and classification. Depending upon the nature of the project, experience with prehistoric or historic artifacts is required.

(d) A **field or laboratory technician** is an assistant supervisor or field-crew member with experience in archaeological field techniques and methodologies. A laboratory technician must be experienced in all varieties of laboratory analysis and techniques and must hold a bachelor's degree in anthropology or a closely related field, with a specialization and course work in archaeology, or possess equivalent background, with one (1) year of field survey, excavation, or laboratory techniques experience under the direction of a qualified professional archaeologist. In addition, the following requirements apply to a project in the specified areas:

(1) For a prehistory project, one (1) year of experience in Midwestern prehistoric archaeological fieldwork.

(2) For a history project, one (1) year of experience in historic archaeology fieldwork.

(3) For a marine project, one (1) year of experience in classifying, cataloging, analyzing, data recording, and curation of artifacts.

(e) A **fieldworker** is a survey or excavation worker who:

(1) has completed one (1) archaeological field school;

(2) has field experience equivalent to one (1) archaeological field school; or

(3) has received or is receiving training in archaeological field, laboratory, or research methods under the direction of a qualified professional archaeologist.

### C. Architectural History

The minimum professional qualifications in architectural history are a graduate degree in architectural history, art history, historic preservation, or closely related field, with course work in American architectural history; **or** a

bachelor's degree in architectural history with a concentration in American architecture; **or** a bachelor's degree in architectural history, art history, historic preservation, or a closely related field **plus** one of the following:

1. At least two years of full-time experience in research, writing, or teaching in American architectural history or restoration architecture with an academic institution, historical organization or agency, museum, or other professional institution; **or**
2. Substantial contribution to the body of scholarly knowledge in the field of American architectural history through research and publication.

#### **D. Architecture**

The minimum professional qualifications in architecture are a professional degree in architecture **plus** at least two (2) years of full-time professional experience in architecture; **or** a State license to practice architecture.

#### **E. Historical Architecture**

The minimum professional qualifications in historical architecture are a professional degree in architecture; **or** a State license to practice architecture **plus** one of the following:

1. At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or a closely related field **and** at least one year of full-time professional experience on preservation and restoration projects; **or**
2. At least two years of full-time professional experience on preservation and restoration projects.

Experience on preservation and restoration projects shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

## **APPENDIX B**

### **ALLOWABLE AND UNALLOWABLE COSTS**

The following is a list of possible expenditures or costs associated with many projects. The National Park Service has determined which of these items are **allowable** and **unallowable** project costs. Only allowable costs may be included in the project budget and claimed for reimbursement. **Note** that some items **may be allowable** if certain conditions are met. These conditions must generally be spelled out in the project application and will be included in the Award Letter and Project Notification. Subgrantees may not claim for reimbursement any items or project costs that were not identified in the project proposal, the Award Letter, and the Project Notification, without written permission from the DHPA. If you have any questions about eligible or ineligible expenses, or how to include cost categories in your HPF project budget, please contact the DHPA Grants Staff.

#### **ALLOWABLE COSTS**

The following costs and categories are eligible for reimbursement and may be included in an HPF project budget. All costs must be incurred during the grant period (between project begin and end dates).

**Accounting:** The cost of establishing and maintaining accounting and other information systems required for the management of grant programs. This includes costs incurred by central service agencies for these purposes. However, the cost of maintaining central accounting records required for overall government purposes, such as appropriation and fund accounts by the Treasurer, Comptroller, or similar officials, is considered to be a general expense of government, and is unallowable.

**Advertising:** The advertising costs that are solely for:

- Recruitment of personnel necessary for the grant project;
- Solicitation of bids for the procurement of goods and services required for work on the grant project;
- Notices required by federal or state regulations pertaining to the grant; and
- Other purposes specifically provided for in the grant agreement.

**Appraisals:** For projects involving the acquisition of real property, the cost of necessary appraisals is allowable.

**Audit Service:** The cost of audits necessary for the administration and management of functions related to grant programs.

**Communications:** Communication costs incurred for telephone calls, postage, and similar expenses necessary for and directly related to the grant project. However, these costs must be adequately documented with copies of bills, receipts, or other documents that illustrate clearly the connection between the grant project and the charges incurred. If reimbursement for such charges is anticipated, contact the DHPA for specific instructions; **note** that many subgrantees find that it is not cost-effective to seek reimbursement for any but long-distance telephone expenses.

**Compensation for Personal Services:** Compensation for personal services includes all remuneration, paid currently or accrued, for services rendered during the period of performance under the grant agreement, including but not necessarily limited to wages, salaries, and supplementary compensation and benefits. The costs of such compensation are allowable to the extent that they are adequately documented and reasonable for the services rendered. For private nonprofit organizations and local governments, documentation will include time and attendance records for each employee's work on the grant. Educational institutions must document the efforts of employees who are paid on an hourly basis in the same manner but can use an OMB-approved time-distribution system to document effort of faculty members. In addition, all subgrantees must provide copies of payroll checks unless they are audited annually by the State Board of Accounts, and have worked out an alternative system of documentation with the DHPA under appropriate OMB standards. (See also "Employee Fringe Benefits").

**Employee Fringe Benefits:** Costs identified under the two items below are allowable to the extent that the total compensation for subgrantee employees is reasonable as defined in "Compensation for Personal Services" (above):

- Benefits in the form of regular compensation paid to employees during periods of authorized absences from the job, such as for annual, sick, court, or military leave, if:
  - a. They are provided pursuant to an approved leave system; and
  - b. The cost thereof is equitably allocated to all related activities, including grant programs.
- Benefits in the form of employers' contributions or expenses for social security, employees' life and health insurance plans, unemployment insurance coverage, worker's compensation insurance, pension plans, and severance pay, provided that such benefits are granted under approved plans and are distributed equitably to grant programs and to other activities.

**Exhibits:** The costs of temporary exhibits relating specifically to the grant project, its accomplishments, or results **may be** allowable, but written permission from the DHPA must be received before such costs are incurred. Permission of the National Park Service may be required. (Note that permanent exhibits normally cannot be funded).

**General Conditions for Construction Contracts:** This term, used in construction cost estimates, bids, and construction cost documents, refers to the general contractor's provisions and miscellaneous requirements for other contractors and subcontractors, which eliminate the duplication and expense of each trade providing its own temporary facilities. General conditions including, but not limited to, temporary heat, power, lighting, water, sanitary facilities, scaffolding, elevators, walkways and railings, construction office space and storage, as well as daily cleanup, security, and required insurance, permits, and surety bonds, are allowable when identified as a line item in the project application. (See also "Contingencies," which are unallowable).

**Insurance:** The costs of hazard and liability insurance to cover personnel or property directly related to the grant project and during the grant period.

**Interpretive Signs:** The costs of purchasing and installing (but not maintaining) a minimum number of interpretive or informational markers or signs at grant-assisted historic buildings and structures and archaeological sites **may be** allowable, but only with written permission from the DHPA. (See also "Project Signs")

**Landscaping:** For development projects, the costs of landscaping are allowable **only** if they fall under one of the following categories:

- The historically documented restoration or reconstruction of gardens, grounds, and grading in order to attain an historic appearance and a compatible setting for an historic property;
- Grading for purposes of drainage, building safety, and protection; or
- Improvements necessary to facilitate access for the disabled.

(Note that the costs of seeding, sodding, and installing decorative plantings are unallowable).

**Legal Expenses:** The cost of legal expenses required in the administration of a subgrant.

**Materials and Supplies:** The cost of materials and supplies necessary to carry out the subgrant project. Purchases made specifically for the grant project should be charged at their actual prices after deducting all case discounts, trade discounts, rebates, and allowances received by the subgrantee. Withdrawals from general stores or stockrooms should be charged at cost under any recognized method of pricing consistently applied. Incoming transportation charges are a proper part of material cost. Materials and supplies charged as a direct cost must include only the materials and supplies actually used for the performance of the contract or grant, and due credit should be given for any excess materials or supplies retained or returned to vendors.

**Payroll Preparation:** The cost of preparing payrolls and maintaining necessary wage records, as long as appropriate cost documentation is supplied.

**Personnel Administration:** The costs of recruitment, examination, certification, classification, training, establishment of pay standards, and related activities for the Historic Preservation Fund grant program.

**Plans and Specifications:** For development projects, the costs of producing architectural plans and specifications, shop drawings, and/or other materials required to document development project work according to the *Secretary of the Interior's Standards* are allowable. However, these should be identified as a discrete line item in the project budget and must be executed during the grant period.

**Procurement Services:** The costs of all procurement services, including the solicitation of bids, the preparation and award of contracts, and all phases of contract administration in providing goods, facilities and services for the subgrant are allowable.

**Project Signs:** The cost of making project signs that acknowledge state and federal grant assistance, and the cost of installing these signs at project sites, are allowable. (Note, however, that a project sign is normally provided to the subgrantee by the DHPA during the initial inspection and start-up meeting).

**Religious Institutions and Properties:** Religious institutions may participate in the Historic Preservation Fund Grant Program consistent with the National Historic Preservation Act (NHPA) Section 101(e)(4) (54 U.S.C. 302905), which authorizes certain grants for religious properties listed in the National Register of Historic Places. Religious properties listed in the National Register are eligible to participate in this grant assistance program because the federal government has a strong interest in preserving all sites of historic significance regardless of their religious or secular character; because eligibility for this program extends to a broad class of beneficiaries defined without reference to religion; and because the criteria for funding must be applied neutrally. These elements show that this grant program is aimed solely at preserving historic structures and does not constitute an endorsement of religion by the government.

**Rent:** Rental costs for space used to complete the project are allowable during the grant period **only** with prior approval from the DHPA and NPS. When only a portion of the rented space is used for grant activities, the allowable costs must be computed on a pro rata basis.

**Transportation:** Costs incurred for freight, cartage, express postage, and other transportation costs relating to goods either purchased, delivered, or moved from one location to another, when necessary for and directly related to the grant.

**Travel:** In-state travel costs are allowable when the travel involved is directly related to the accomplishments of the project, when the subgrantee's budget includes a line-item for this cost category, and when the costs involved are incurred and documented according to standards and practices acceptable to the State Board of Accounts. Subgrantees that are already audited by the State Board of Accounts on a regular basis (local governments and state universities) may use their established in-state travel regulations, except that mileage charges cannot exceed the Indiana State Auditor's rate of \$0.41/mile. Subgrantees not currently being audited by the State Board of Accounts may either adopt those regulations used by the DHPA, submit a set of proposed travel regulations for DHPA approval, or bill for mileage charges only at the rate of \$0.41/mile. Out-of-state travel costs of any kind are unallowable unless prior written approval is received from the DHPA. (See also "Conferences").

## **UNALLOWABLE COSTS**

The following costs and categories are not eligible for reimbursement and should not be included in an HPF project budget.

**Bad Debts:** Any losses arising from uncollectible accounts and other claims, and any collection costs.

**Bonus Payments:** Bonus payments of any kind.

**Conferences:** Costs associated with attendance at conferences and seminars, unless approved in advance by the DHPA. Such costs may be approved by the DHPA only when they provide necessary training for CLG staff or local commission members, or when the activity will provide a subgrantee with new or unique training that is directly related to and useful for the completion of the project.

**Contingencies:** Contributions to a contingency reserve or any similar provision for unforeseen events.

**Curation:** The cost of curation of artifacts, except in those cases where archaeological artifacts were discovered in the course of a grant-assisted project and attention is urgently required to prevent the deterioration or loss of the

artifacts. In such instances, limited curation costs may be allowable, but only with prior permission from the DHPA. In no case will the DHPA approve such costs in amounts greater than **10%** of the total project budget.

**Depreciation:** Subgrantees who have what they consider to be unusual situations should contact the DHPA.

**Entertainment:** The costs of amusement, social activities, refreshments, and related incidental expenses.

**Equipment:** Single tangible items costing in excess of \$250 are considered to be equipment. The purchase of equipment using grant funds or local matching funds may be allowable, **only** with prior written permission from the DHPA.

**Fines and Penalties:** The costs resulting from failure to comply with federal, state, or local laws.

**Fund Raising:** The costs associated with organized fund raising and solicitations.

**Furnishings:** The purchase of movable pieces of furniture is unallowable. For rehabilitation/restoration projects, the cost of furnishings may be allowable only when these furnishings are permanently attached items that are integral to building construction, are of documented historic design, and/or are reconstructed based upon documented original furnishings (e.g., ceiling and wall-mounted lighting fixtures, theater seats in a theater rehabilitation, etc.).

**Interest:** Interest on borrowings (such as mortgages and other loans), and the legal and professional fees paid in connection therewith, except when authorized by federal legislation.

**Lobbying:** The costs associated with activities or communications designed to influence in any manner a federal, state, or local legislator or official are unallowable.

**Meals:** The cost of meals for subgrantee employees, consultants, and volunteers, except when such persons are on approved travel status in conjunction with activities directly related to the grant project, and these people are being paid a “per diem” pre-approved by the DHPA. (See also “Travel”).

**Memberships:** The costs of memberships in professional or technical organizations, except when **all** of the following are true:

- The benefit from the membership is directly related to achieving grant program objectives;
- The expenditure is for agency membership, not individual membership;
- The cost of the membership is reasonably related to the value of the services or benefits received;
- The expenditure is not for membership in an organization that devotes a substantial part of its activities to influencing legislation.

**New Construction:** The costs of construction activities that are not rehabilitation, preservation, stabilization, or restoration are unallowable. (See also “Landscaping”).

**Pre-agreement Costs:** Costs incurred prior to the project starting date are unallowable, except with written approval of the DHPA and NPS.

**Revolving Funds:** The use of DHPA grant funds for revolving fund activities is unallowable.

**Training and Education:** Subgrantees are expected to possess the knowledge and skills necessary to complete their projects when the grant award is made. Consequently, training and education costs for employee development normally are unallowable. However, such costs may be allowable if the training is of a unique or unusual type not ordinarily available, and if the training is directly related to the grant project and will improve the quality of the final product. In addition, training for staff and commission members of Certified Local Governments may be allowable. In both situations, the subgrantee must have written approval of such costs before they are incurred.



## **APPENDIX C**

### **PROCEDURES FOR THE GRANT SELECTION PROCESS**

The DHPA Staff and the State Historic Preservation Review Board will follow these procedures to select grant projects for funding.

#### **I. DHPA Staff develops grant evaluation criteria and grant program guidelines.**

- A. DHPA Staff revisits the grant evaluation criteria and grant program guidelines from the previous year, considers appropriate or necessary changes, and drafts revisions to the evaluation criteria and guidelines for the next funding round to keep the program responsive to identified preservation needs in the state.
- B. DHPA Grants Staff posts the draft grant evaluation criteria and grant program guidelines on the division's website a minimum of sixty (60) days prior to the cut-off point of the public comment period.
- C. DHPA Grants Staff notifies the public of the availability of the draft grant evaluation criteria and grant program guidelines a minimum of sixty (60) days prior to the cut-off point of the public comment period.
- D. DHPA Grants Staff collects written comments on the draft criteria and guidelines up to the cut-off point of the public comment period.
- E. DHPA Grants Staff provides recommendations to the State Historic Preservation Review Board, indicating:
  1. Revisions to the grant program guidelines (if any);
  2. Revisions to the sliding scale funding guidelines for the three project categories (if any);
  3. Revisions to the grant evaluation criteria (Administrative, Architectural and Historical, Archaeological, and Acquisition and Development), including the point value of each criterion and the minimum Administrative score required to qualify for grant funding.
- F. DHPA Grants Staff summarizes any public comments received on the draft criteria and guidelines for the State Historic Preservation Review Board at its spring meeting.
- G. The State Historic Preservation Review Board reviews Staff's recommendations, considers public comments received, suggests or requests any appropriate changes, and formally approves the criteria and guidelines for the next funding cycle.

#### **II. DHPA Grants Staff solicits and accepts grant proposals.**

- A. DHPA Grants Staff prepares grant application materials that include the evaluation criteria and program guidelines approved by the State Historic Preservation Review Board and sets the date of the grant application deadline.
- B. DHPA Grants Staff posts the application materials on the division's website a minimum of sixty (60) days prior to the grant application deadline.
- C. DHPA Grants Staff advertises the availability of grant application materials a minimum of sixty (60) days prior to the grant application deadline.
- D. DHPA Grants Staff receives and records grant proposals up to the application deadline; late proposals are not accepted.

#### **III. DHPA Staff evaluates, scores, and ranks grant proposals.**

- A. DHPA Grants Staff conducts technical reviews of grant proposals to determine that each is complete; additional information or forms are requested from the proposal authors, if necessary; approximately ten (10) days are allotted for proposal authors to supply any missing information and/or forms.
- B. DHPA Grants Staff establishes a five-member or six-member review committee for each project category.
  1. Each committee includes two Grants Staff members who meet federal qualifications standards.
  2. Each committee includes three or four Program Area Staff members who meet federal qualifications standards in disciplines relevant to the work items allowed in the project categories.
- C. Review committee members read and score grant proposals independently, then meet as a group to discuss each project and the corresponding scores.
- D. The Grants Staff prepares the ranked list based on the committee members' scores.
  1. All reviewers' scores for each criterion are recorded.
  2. The highest score for each criterion is eliminated.
  3. The lowest score for each criterion is eliminated.
  4. The remaining scores for each criterion are averaged to one decimal place.

5. The sums of the averaged scores for the Administrative and categorical evaluation criteria are computed; projects that meet or exceed the minimum Administrative score will be recommended for funding; projects that do not meet the minimum Administrative score will not be recommended for funding. (See “Minimum Administrative Score” below.)
6. The Administrative and categorical evaluation criteria scores are added together to compute the total project score; the ranked list for each project category is prepared by arranging proposals from highest to lowest total project scores; any proposals not recommended for funding are automatically placed at the bottom of the list, regardless of their score. In the event of a tied score within a category, the proposal with the higher Administrative score will be ranked higher.

**IV. DHPA Grants Staff prepares funding recommendations for the State Historic Preservation Officer.**

- A. DHPA Grants Staff prepares an information packet for the State Historic Preservation Officer that summarizes the details of the HPF Program grant round, including:
  1. The overall demand for funds, a breakdown of the demand for funds by project category, and other pertinent statistical information.
  2. The amount targeted for distribution as subgrants, if known at that time.
  3. The amount proposed for distribution as subgrants to Certified Local Governments, if known at that time.
  4. The ranked list for each project category.
  5. A summary of each grant proposal that lists the name of the project, the name of the applicant, the total project score, the federal and non-federal shares of the project budget, the amount of grant funding recommended.
- B. DHPA Grants Staff provides the funding recommendations packet to the State Historic Preservation Officer.

**V. State Historic Preservation Officer formally approves grant funding awards.**

- A. DHPA Grants Staff presents the grant cycle summary and funding recommendations for Certified Local Governments, the Architectural and Historical Category, the Archaeology Category, and the Acquisition and Development Category to the State Historic Preservation Officer for review and approval.
- B. The State Historic Preservation Officer may direct questions about specific proposals, project categories, and the overall program to the DHPA Grants Staff.
- C. The State Historic Preservation Officer approves funding for the project categories; in the event that the amount of Indiana’s HPF allocation is unknown prior to the meeting, the ranked lists are approved so that grant awards can be made once the categorical funding levels are determined.

## **APPENDIX D**

### **HPF PROJECT REQUIREMENTS**

All projects are required to meet the requirements set forth in the *HPF Grants Manual*. Applicants are encouraged to review the manual, which can be found at <https://www.in.gov/dnr/historic-preservation/help-for-owners/financial-assistance/grants/>, for information on HPF Requirements and Procedures including: Procurement, Reimbursement, and Acknowledgments.

When planning your project's scope of work, timetable, and budget, keep in mind the following requirements:

#### **ALL Archaeological projects must:**

- Be conducted in accordance with the *Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation*;
- Be conducted in accordance with the most current version of the *Guidebook for Indiana Historic Sites and Structures Inventory -- Archaeological Sites*;
- Be conducted in accordance with **Indiana Code 14-21-1** and **312 IAC 21** and **22** concerning state plans for archaeological investigations and accidental discoveries;
- Per 312 IAC 22-2-3 (b) (2), an application to conduct an investigation or scientific investigation must be filed at least thirty (30) days before the proposed commencement of the project.
- Meet all applicable requirements of the *HPF Grants Manual* (available on-line at: [www.IN.gov/dnr/historic](http://www.IN.gov/dnr/historic) under Forms and Publications).
- Submit all public education materials (including website information, PowerPoint presentations, brochures, etc.) to the DHPA for review and approval;

#### **Archaeological Survey Projects Must:**

- Submit an archaeological report of investigations to the DHPA for review, comment, and approval. A draft of the report of the investigations must be submitted at least sixty (60) days before the project end date, to accommodate a thirty (30) day review period by the DHPA and allow a thirty (30) day compliance period by the applicant.
  - The report must include an abstract of no more than one (1) page that provides a complete summary of the project, including: number of sites investigated, number of hectares investigated at the reconnaissance and intensive level, methodology, conclusions and recommendations, and a list of products created under the grant project.
  - The report must include maps indicating all areas and sites investigated or discovered.
  - The report must also include all required state and federal acknowledgement information.
- Submit an archaeological site form entered into SHAARD for each site or cemetery investigated. UTM's must be included in each SHAARD site entry.
- Provide data necessary to incorporate sites investigated or discovered into the GIS component in SHAARD. This data may be provided to the DHPA in an Excel spreadsheet of UTM coordinates or shapefiles that are compatible with ARC GIS 10.1.
- Provide one (1) bound copy of the final report, and one (1) copy on CD to the DHPA. The final, approved grant report must also be uploaded directly into SHAARD.
- Curate artifacts from DNR-owned properties at the Indiana State Museum and Historic Sites (ISMHS). Curation of materials must be in accordance with the "ISMHS Guidelines for the Curation of Archaeological Field Collections." Consult the most up-to-date version from the Indiana State Museum. Transfer of artifacts must be complete with thirty (30) days of the project end date. Curation by the ISMHS will not require additional documentation. Cost information is provided in the Project Budget section.
- Complete a cemetery registry survey form for each cemetery, graveyard, or burial ground investigated or discovered, and submit completed forms to the DHPA (forms are available from the DHPA office or website).
- Produce, in digital format, a feature of three (3) to five (5) pages in length (single-spaced, not including references and images) for inclusion in the DHPA's on-line Indiana Archaeology Journal (<https://www.in.gov/dnr/historic-preservation/review-and-compliance/archaeology/publications/>). The feature must:
  - Focus on the HPF-funded activity; the feature's content may provide a summary of the project or highlight one or more sites or interesting results derived from the project;

- Be written for a target audience of the general public, as well as archaeology professionals;
- Include the project's research goals, and how they were addressed through the grant activity;
- Be carefully edited by the Principal Investigator of the project prior to submission to the DHPA;
- Be submitted in Microsoft Word;
- Be submitted with the draft report of investigations for review by the DHPA.

Contact the Editor of the journal, Amy Johnson (ajohnson@dnr.IN.gov), for additional specifications.

**IMPORTANT! Regarding the Discovery of Human Remains, Funerary Objects, and/or Cultural Items:** In the event that buried human remains are encountered during the project, the Department of Natural Resources, Division of Historic Preservation and Archaeology must be notified within two (2) business days of the time of the disturbance, per Indiana Code 14-21-1-27. If human remains are discovered on the surface of the ground, stop work and notify the DNR/DHPA. The human remains should be left in place until consultation with the DNR/DHPA has occurred. If human remains, funerary objects, and/or cultural items are discovered, the grant recipient organization must comply with the Native American Graves Protection and Repatriation Act ("NAGPRA"), "The Advisory Council on Historic Preservation Policy Statement Regarding Treatment of Burial Sites, Human Remains and Funerary Objects" (February 23, 2007), and relevant state statutes (including IC 23-14, IC 14-21-1, and 312 IAC 22). This includes preparing and publishing inventories, summaries, and notices with National NAGPRA. Failure to comply with this requirement may result in forfeiture of unpaid grant funds and rejection of future grant applications from the organization.

## **APPENDIX E**

### **DIGITAL / ELECTRONIC PROPOSAL SUBMISSION REQUIREMENTS**

**In addition to the hard copy of the grant application, applicants must provide an electronic or digital file on a USB drive or CD.**

If the applicant is unable to provide files on a USB drive or CD, please contact the DHPA Grant Staff to arrange to email or submit via file transfer via OneDrive. Due to cyber security concerns, access to external drop boxes is limited for state employees.

#### **Application Forms, Narratives, Supplemental Materials:**

- To save the fillable PDF forms for the proposal from the DHPA website (<https://www.in.gov/dnr/historic-preservation/financial-assistance/grants/apply/>), go to the Menu and select Print. Then select “Microsoft Print to PDF” and select only the form pages to save with a new document name.
- If possible, provide the entire application as one PDF file, in the order of the grant application checklist. Name the file according to the following convention: “FY25\_County Name\_Project Title.”
- If you have multiple files that make up the proposal, use the naming convention to identify the parts of the application. For example: “FY25\_County Name\_Project Title\_Admin Priorities.” It would make sense to have the application forms (Cover Form, Budget, Matching Share, etc. included in SF #50554 packet from the DHPA website) provided as fillable PDF files, and other components (Project Description, Priorities, Budget Justification, Estimates, Resumes) as separate Word or PDF files.

#### **Maps**

- Maps can be included within the application, as needed. It is also helpful to have maps provided as separate files for environmental review and 106 submissions, as well as submissions to NPS.
- Topo or aerial maps showing the survey areas, with relevant methodology indicated, if applicable.
- Name the files according to the naming convention, for example: “FY25\_County\_Project\_topo map survey area 2” in order to identify and describe the file.

## FREE ADVICE For Completing HPF Grant Proposals

The following advice for HPF applicants has been prepared by the DHPA Grants Staff. These points cover the areas or parts of the HPF grant proposal format that are most often found to be weak, incomplete, or inadequate. By following the advice spelled out below, it is likely that your proposal will be more polished and will score more points as a result. Remember, the HPF matching grants program is very competitive!

### **SOME BASIC “DOs AND DON’Ts” IN PREPARING THE PROPOSAL:**

- Do** Read the instructions carefully and follow them!
  
- Do** Consult the Grants Staff any time you have questions about preparing the proposal, particularly when there are questions involving the priorities, the project budget, or the matching funds.
  
- Do** Assemble the original hard copy of the proposal carefully following the order given in the Grant Application Checklist. Many times, proposals are assembled incorrectly or out of order. It is much faster and easier for the DHPA Staff to review proposals when they are all assembled in precisely the same manner. Provide an electronic version of the proposal (Word or PDF) on a CD or USB/thumb drive.
  
- Do** Give your proposal to someone else to read/proofread before submitting it. It is often advisable to have someone NOT connected with the project read over the proposal. If they are left with questions about the project, then the project description or the responses to the priorities may be too brief or too vague. You can then revise the parts of the proposal as necessary.
  
- Do** Submit your proposal early, if possible. This allows the Grants Staff to check your proposal and make sure that everything is in order. If parts are missing or incomplete, the Grants Staff will notify you immediately. If your proposal is submitted early, you will have extra time to make the necessary changes or additions; otherwise, you will have only seven (7) days after the grant deadline to put everything in order.
  
- Do** Ask for letters of support from local people and organizations that endorse your project. Try to solicit letters from a wide variety of community supporters and encourage them to write unique and original letters instead of form letters. Remember, letters must be submitted WITH the proposal. Letters received separately WILL NOT be considered.

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- Don’t** Wait until the last minute to begin preparing your proposal. Supporting documentation is extremely important and may take several weeks to collect or put together, especially budget information, matching share documentation, written estimates for proposed work, and letters of support. Proposals prepared at the last minute often lack the necessary details and documentation, and generally do not score very well because of it. Remember, this is an extremely competitive program so take the time necessary to put together a quality proposal!
  
- Don’t** Submit your proposal in a three-ring binder or a plastic folder cover, spiral bound with a wire or plastic comb, with section dividers between parts, or with the pages inserted in plastic sleeves. If the Grants Staff needs to reorganize the proposal, these covers, bindings, or dividers often make it difficult to take apart and reassemble the proposal. Divider pages between sections actually make it MORE difficult for the DHPA Staff to quickly find a certain page, while three-ring binders take up too much filing space, and pages inserted in plastic sleeves prevent the Staff from making notes directly on the proposal. The Grants Staff prefers that all proposals look the same, as they are much easier to handle and review. The score given to each project application is directly derived from the CONTENT, not the appearance, of the grant proposal.

## Five Easy Ways to Make Your Proposal Score More Points

By carefully following the advice given below, a grant applicant should be able to avoid the most common pitfalls of preparing a grant proposal. A quality grant proposal is the sum of many quality parts. One weak part of the proposal may mean the difference of several points, which in turn may mean the difference between the proposal being funded and not being funded. **If you have questions, don't be afraid to ask for advice or guidance!**

- 1. Include a thorough and detailed project description.** This project description should cover every item or task to be completed under the grant-assisted project. If the proposed grant project is a part, component, or phase of a much larger or comprehensive project, briefly describe the overall project and how the proposed grant project fits into the big picture. Then describe the proposed grant project in detail. List and describe every product that will result from the grant project and discuss any potential spin-off benefits of the project. A thorough and detailed project description generally should not exceed three (3) pages.
- 2. Include a detailed timetable for the proposed grant project.** This timetable should allow time for project initiation by DHPA Staff, procurement of goods and services (bidding), and should address every task, aspect, or component of the project. Break down the timetable by the number of days, weeks, or months necessary to complete each task or phase of the project. The timetable should set forth a clear, realistic, and reasonable schedule for the completion of the grant project. Simply providing begin and end dates for the project does not constitute an acceptable timetable. Proposals with vague, poorly detailed, or unrealistic timetables often score fewer than half of the points possible for this evaluation criteria. Projects must clearly be able to meet the June 30 completion deadline.
- 3. Include a detailed and documented project budget.** The budget should be broken down in detail on a separate page after the budget form. This breakdown should follow the budget categories or line-items on the budget form and should show how the total amount for each line-item was calculated. Be certain to include all project costs in the appropriate budget line-items. If grant funding is offered, reimbursements will only be made for those items included in the original project budget. Whenever possible, include written estimates from consultants or contractors for the goods and services to be used in the proposed project -- this is especially critical for Acquisition and Development proposals. This kind of documentation proves that the budget is reasonable and accurate. While submitting a budget breakdown page and other project cost documentation is not strictly required, including these items greatly improves the quality of the project budget and guarantees a higher score for the budget criteria.
- 4. Include documentation to support the applicant's matching share.** Obtaining copies of bank statements, or other financial documentation may take several days or even weeks, so be sure to allow enough time to accomplish this task prior to the project deadline. Submitting this documentation proves that the required funds are on-hand and available and that the project may begin immediately. Because HPF grants are "reimbursement grants" where the subgrantee is reimbursed for project costs (grant money is NOT distributed up-front), the project cannot move forward without the required matching share in place to leverage the grant funds.
- 5. Include detailed and accurate responses to the priorities.** There are two sets of priorities: Administrative and Categorical. The applicant's responses to these priorities are what the DHPA Staff uses to evaluate and score the proposal, so you should pay particular attention to this part of the proposal. In general, more clear and detailed responses will score better than vague or unclear responses. Please provide clear, thorough, and detailed responses whenever required by the wording of the priority statements. However, take note that many priorities require only simple and concise answers. Whenever a proposed project will not meet a specific priority, mark "NA" as the response and move on to the next item. No project will meet every single priority statement; however, providing adequate detail where necessary will give the DHPA Staff the best possible understanding of your particular project, which should result in the best possible score for your proposal.

## What to Expect if You Receive an HPF Grant

- 1. Tentative Notification:** You should receive a tentative notification of the award by the end of February. This only means that the DHPA expects to offer funding; however, it is not an official award. The DHPA must complete its annual application to the National Park Service before formal grant awards are mailed to applicants. DO NOT enter into any verbal or written arrangements for work that is to be paid as part of the grant project. Procurement and bidding must be overseen by the DHPA.
- 2. Formal Grant Award Packet:** You will receive a formal grant award packet, usually by the end of May. This packet will include your Award Letter, Project Notification, HPF Grants Manual, and other required forms. These materials are the basis of your project, which must be completed according to state and federal requirements and procedures.
- 3. Grant Acceptance:** You will provide formal acceptance of the grant to the DHPA, as explained in the grant award packet. This includes a letter specifically stating acceptance of the grant and its terms and conditions, as well as completed and signed forms that are included in the award packet.
- 4. Project Publicity:** The Department of Natural Resources and the DHPA will release a statewide press statement announcing all of the HPF projects that were awarded for the fiscal year. The DNR and DHPA request that grant recipients refrain from providing press releases until the State has had the opportunity to make a press announcement. In addition, there is specific information that must be included in a press release and the DHPA must review all publicity before it is released. If you receive unsolicited inquiries about your project, be aware that grant recipients are required to provide proper acknowledgment of the U.S. Department of the Interior, National Park Service, Historic Preservation Fund program, and the Indiana Department of Natural Resources and Division of Historic Preservation and Archaeology. This requirement is explained in the HPF Grants Manual.
- 5. Start-Up Meeting:** The DHPA will schedule a start-up meeting with the Project Coordinator and the Principal Investigator (if applicable). Start-up meetings are generally scheduled throughout May and June, depending on your project's begin date. You should allow at least 2 hours for a start-up meeting. Project Coordinators are expected to have reviewed their project paperwork and the HPF Grants Manual prior to the meeting. All start-up meetings are conducted at the DHPA office in Indianapolis or via a video conferencing program. For rehabilitation projects, the DHPA grant staff and historical architect will travel to the project site.
- 6. Project Initiation:** After the start-up meeting and your project's begin date, you may begin to work on your project. Depending on the type of grant activity, projects often begin with procuring, or hiring, consultants or contractors for the project. The DHPA staff will review procurement requirements with the Project Coordinator at the start-up meeting. Procurement must be accomplished through open and fair selection involving competitive bidding. The DHPA must review all bidding documents before they are released to potential contractors. Procurement is covered in detail in the HPF Grants Manual, and a brief overview is provided at the end of this packet. Failure to follow procurement requirements can result in significant issues with your project and potentially the reduction in grant funds or cancellation of the project.
- 7. Project Progress Reports:** Progress Reports are due throughout the project on a quarterly basis in July, October, January, and April. The Project Coordinator is responsible for completing progress reports, keeping the project on track, reporting any problems or delays, and overseeing reimbursement.
- 8. Project Reimbursement:** The HPF program is a reimbursement grant, and grant funds are paid out according to the funding ratio of the project (50%) based on reporting 100% of the project's costs on the HPF Reimbursement Request Form. Reimbursement requires documentation of proof of costs incurred (such as timesheets, contractor invoices, receipts, etc.) and proof of cost paid (pay stubs, copies of checks, payment vouchers, bank/credit card statements, etc.). Reimbursement requests can be submitted at any time during the grant, provided you are claiming a minimum of \$500.00. Reimbursement Requests are not tied to the quarterly reports and are at the discretion of the grant recipient and its financial situation. Reimbursement payments take approximately thirty (30) days. Current W-9 and Direct Deposit Authorization forms are required by the State Auditor's office (these forms are provided with the Grant Award Packet).



- 9. Project Schedule, Activity, and Budget:** The timetable, scope of work, and budget you provide in your grant application are the basis for the DHPA's expectations of your project. It is essential that these components are realistic and feasible in your project proposal so that you can carry out the project as planned if it is awarded!

However, it is not unusual for projects to encounter unforeseen problems, delays or unexpected activities and expenses. To the extent possible, the Project Coordinator should keep the project on schedule. If it becomes apparent that the scope of work, timetable, or budget need to be adjusted, the Project Coordinator should contact the DHPA immediately to discuss the changes. The DHPA has some flexibility to adjust the grant activities; however, significant changes to what was originally proposed may require presentation to the National Park Service.

Issues related to timetable must take into consideration the fact that HPF funding is a "use it or lose it" program and projects must be complete by the end of the federal fiscal year. This is a federal requirement and the DHPA has no recourse beyond the federal cycle.

Grant recipients can only be guaranteed the amount of money that they were originally awarded. If the project will cost more than the anticipated project cost, it is the responsibility of the grant recipient to cover the difference. In the event that a project goes over budget and the DHPA has additional funds at the end of the grant cycle, we will do our best to allocate additional funds to projects that need more assistance.

The DHPA will be happy to work with grant recipients to resolve these issues as they arise. However, grant recipients should be aware that issues resulting from failure on the part of the project personnel to follow grant guidelines and requirements, to initiate the project in a timely manner, or to communicate problems to the DHPA, are the responsibility of the grant recipient and project personnel and may jeopardize grant funding or result in termination of the project.

- 10. Project Review and June 30 Final Deadline:** All projects must be completed by the June 30 deadline. This means that all technical reports, nominations, publications, and other products have been reviewed and approved by the appropriate DHPA staff and final copies of products are complete. Most Architectural & Historical and Archaeology category products require a minimum review period of sixty (60) days, thereby allowing the DHPA thirty (30) days to review and comment and providing thirty (30) days for the subgrantee to make revisions and resubmit products. Grant products must be submitted no later than April 30 to accommodate the sixty (60) day review period. National Register nomination projects which must pass both technical and substantive review should anticipate an earlier submission. For Acquisition & Development rehabilitation projects, all grant-assisted construction activity must be finished by June 30, and ready for a close-out site inspection (although due to scheduling, the final site visit may occur after June 30). The DHPA is not likely to consider extensions to the project end date beyond June 30; grant proposals and funded projects must plan activities that can be completed within the HPF timeframe.

## An Overview of the Bidding & Procurement Process

Procurement is required for any personal or contractual services (i.e., architects, consultants, contractors) and for supplies and equipment that will be purchased using HPF grant or match dollars. If the cost is included in the HPF grant budget submitted with this application (known as being “on budget”), then procurement applies, even if the local sponsor identifies the cost as part of their match (HPF grants are considered “one pot of money” consisting of the federal funds and match dollars combined, which are then split based on the project funding ratio).

The basic steps and timetable for procurement are outlined below and should be considered for planning the proposed project.

- Recipient prepares bid documents based on guidelines provided in the HPF Grants Manual (this manual is provided with formal grant award paperwork but is available for viewing on-line). Bid documents must include a description of the scope of work, requirements for bidders to meet, payment schedule, deadline for submission of bids, deadline for project completion, federal boilerplate language, termination for breach of contract clause, and any other information necessary for the project.
- Recipient submits bid documents to DHPA for review and approval (generally, allow two (2) weeks).
- DHPA staff provides any revisions or suggestions. Note that bid documents must not be released until approved by the DHPA Grant and Program Area Staff. DHPA staff will advise as to whether resubmission is necessary, based on the nature of the revisions required.
- Procurement for contracts anticipated to be less than \$100,000 do not require newspaper advertisement; but recipients must solicit bids from a minimum of five (5) qualified bidders. Certified mail with return/receipt cards are recommended.
- Procurement for contracts anticipated to be \$100,000 or more must be formally advertised in newspapers, notices must be published three times (in any combination). Details are provided in the HPF Grants Manual.
- Bidding period consists of a minimum of fourteen (14) calendar days. Some projects should provide additional time in order to allow for potential bidders to respond.
- Recipient may select a contractor internally but should not notify or hire any contractor or sign any contract without DHPA approval. A request to hire packet and a draft of the contract must be submitted to the DHPA for review. Details are provided in the HPF Grants Manual.
- Once the DHPA has reviewed and approved the request to hire and the contract, the recipient may execute the contract and the selected bidder may begin work.
- Any change orders during the course of the contract must also be reviewed and approved by the DHPA prior to being accepted, to confirm that the change order is eligible for reimbursement.

Depending on the type and complexity of the project, procurement ordinarily can take four (4) to six (6) weeks from start to finish; although certainly some projects are able to complete it in less time. Either way, applicants should take this into account for their project timetables and budgets (procurement costs are eligible for reimbursement).

**Note** that written estimates obtained for the purposes of the grant application are not considered bids, and in the event that a grant is awarded, the applicant/recipient must follow required procurement procedures to obtain proper bids.

If you have any questions on procurement related to completing your proposal, contact the DHPA Grant Staff.