

Arizona State Parks & Trails

Historic Preservation Heritage Fund

FY 2024 Grant Application
Instruction Manual



This manual supersedes all previous manuals.
September 2023

Arizona State Parks Board

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Dear Historic Preservation Heritage Fund Applicant:

Arizona State Parks & Trails is pleased to present the FY 2024 Grant Application Manual for the Historic Preservation focus of the Heritage Fund (HF). This manual is designed to provide applicants with guidance in preparing successful, competitive Historic Preservation grant applications for funding assistance from the HF. This manual supersedes all previous application materials prepared by Arizona State Parks & Trails. Manuals dated prior to FY 2023 should be recycled. All forms necessary to complete an application are available in this manual and may be reproduced.

The mission of the State Historic Preservation Office (SHPO) is to assist the state of Arizona with the preservation of its heritage assets in conformance with the vision outlined in the [State Historic Preservation Plan](#). Restored by the Arizona Legislature in 2020, the Historic Preservation focus of the HF provides a critical source of public funding for preservation planning and rehabilitation projects throughout the state. Good planning is a vital component of a successful historic preservation project. Documentation of how your project meets local planning objectives as well as the objectives outlined in the State Historic Preservation Plan is key to a successful application. The grant project must also be in compliance with the Secretary of Interior's Standards for Historic Preservation.

Applicants are encouraged to contact SHPO's Grants Coordinator, Jessica LaPota, with any questions about project eligibility and grant application scoring criteria (contact information follows).

On behalf of SHPO and State Parks staff, thank you for your good work to preserve our state's heritage!

Sincerely,

A handwritten signature in black ink that reads "Kathryn Leonard". The signature is written in a cursive, flowing style.

Kathryn Leonard
State Historic Preservation Officer

For further information and assistance:

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Introduction

The Arizona State Parks Board (Board), through the State Historic Preservation Office (SHPO), is responsible for the administration of the Historic Preservation (HP) focus portion of the Heritage Fund (HF). These grants are available for historic preservation projects for resources listed in or determined eligible for listing in the Arizona Register of Historic Places (ARHP) and National Register of Historic Places (NRHP).

Grant administration is accomplished through the development of application guidelines and a priority rating system, consultation with applicants, the execution of Participant Agreements and Preservation Conservation Easement Deeds with grantees, and the subsequent monitoring of administrative compliance, expended funds, and project work.

To assist the Arizona State Parks Board with this responsibility, SHPO works with the Arizona Historic Advisory Commission (AHAC), Arizona Outdoor Recreation Coordinating Commission (AORCC) and the Arizona State Parks and Trails (ASPT) Grants staff to develop application policies and criteria that enable the fair and equitable review of projects and competitive award of HP funds.

Heritage Fund Source and Available Funds

The Arizona State Parks Board Heritage Fund (A.R.S. § 41-503) was established in 1990 by Arizona voters. With passage of this law, state funding became available for historic preservation throughout Arizona. Revenue for the program was initially derived from the Arizona Lottery. The program was removed from statute in 2008.

The Heritage Fund was restored into statute in 2020 and was funded in 2023 by the Legislature in the amount of \$6 million. Thirty percent, or \$1.8 million of those funds, have been allocated for historic preservation projects. Grants can request up to 20% of the historic preservation fund, or \$360 thousand.

Grant Awards can be between \$5,000 and \$360,000.

Funding Eligibility

Eligible Applicants

Incorporated municipalities, counties, state agencies, tribal governments, public educational institutions, and non-profit organizations are eligible to apply for Historic Preservation Heritage Fund grants.

Eligible applicants may serve as a third party representative for interested ineligible applicants as described below.

Ineligible Applicants

Private property owners, religious institutions, and for-profit organizations may not apply directly, but may receive funds as a third party through an eligible third party applicant.

Federal agencies are not eligible to apply. In addition, projects occurring on lands managed by federal agencies are ineligible.

Grantees with an active HP grant may not apply for funds for the same historic resource unless the previous HP grant is completely closed.

To qualify for HF Historic Preservation grant assistance, projects must directly involve resources listed in the NRHP or ARHP or determined eligible for listing by SHPO.

Examples of Eligible Activities

Historic preservation projects eligible for funding include:

- ▶ Education and preservation program development
- ▶ Interpretation (planning, development and implementation) **
- ▶ Historic Property Surveys and Inventories **
- ▶ Historic Context Statements
- ▶ Historic Building Preservation Plan (HBPP) or Historic Building Condition Assessment (HBCA) **
- ▶ NRHP nomination preparation
- ▶ Bricks & Mortar rehabilitation projects **

** For unlisted properties, a nomination to the NRHP or ARHP must be included as an additional scope item in the project. Contact the SHPO Grants Coordinator with questions.

- ▶ Pre-award costs may be eligible if a competitive procurement process can be demonstrated and costs were incurred within three years prior to the approval of the grant award. If these costs are included, complete the Architecture & Engineering/Pre-Award (AEPA) form and send it to the Historic Preservation Grant Consultant. *Pre-approval is required.*
- ▶ AEPA - Architecture & Engineering consultant services (costs for architectural and engineering services) and Pre-Award (building assessment reports, appraisals, and construction documents) costs **COMBINED MAY NOT EXCEED 10% OF THE PROJECT COST.** Complete the AEPA form and send it to the Grants Coordinator.

PLANNING PROJECTS MAY INCLUDE THE FOLLOWING:

Historic Building Preservation Plan (HBPP) - a professional assessment by a qualified architect of a historic building, group of buildings, or other historic property. This document provides an analysis of those features that qualify the property for listing in the ARHP/NRHP, and priority for preservation.

Historic Building Condition Assessment (HBCA)- a professional report documenting the current condition of a historic building and an assessment of the requirements and associated costs for rehabilitation.

Education - Preparation of materials and/or training and events that promote public appreciation and understanding of the methods and objectives of historic preservation.

Interpretation - Preparation and/or execution of plans that promote a public appreciation of the significance of an ARHP/NRHP-listed historic property.

Survey and Inventory- a systematic, detailed examination of an area designed to gather information about historic properties sufficient to evaluate them against the ARHP/NRHP criteria of significance within specific historic contexts.

Historic Context Statements- A body of research that articulates a historic theme or themes that support an evaluation of a particular resource's eligibility for listing in the ARHP/NRHP under one or more of the four Register requirements.

ARHP/NRHP Nominations- Nominations prepared on National Park Service (NPS) Form 10-900 according to the guidance provided by the SHPO and the NPS [National Register Bulletin 16A, How to Complete the National Register Registration Form.](#)

BRICKS AND MORTAR PROJECTS MAY INCLUDE THE FOLLOWING:

- ▶ **Rehabilitation, restoration, stabilization, and protection.**
- ▶ **Non-structural alterations:** Installation of fire suppression systems and the improvement of electrical and plumbing systems are eligible scope items only if they are essential for the protection of the historic resource. When including these as scope items, applicants must include evidence of their necessity from a licensed professional, such as an architect, electrician, or plumber.
- ▶ **Roofs & Roofing:** Restoration, repair, or replacement of historic intent.
- ▶ **Foundations and Structural Elements:** Stabilization, restoration, or removal of non-contributing alterations.
- ▶ **Doors & Windows, Interior & Exterior Finishes, Floors, Light Fixtures Moldings & Trim:** Restoration or recreation of historic intent.
- ▶ **Americans with Disabilities Act (ADA); Heating, Ventilation, and Cooling (HVAC) Units; Insulation:** Alterations necessary in order to make the resource accessible and viable.

Examples of Ineligible Activities

- ▶ **Site work:** For example parking lots, trails, and landscaping are not eligible activities.
- ▶ **Landscaping:** Is only eligible if it is the restoration or recreation of a landscape eligible for listing in the ARHP/NRHP.
- ▶ **Tenant upgrades:** The purpose of the Historic Preservation fund is to protect and preserve the building; tenant fit-outs, whether historic or not, are not eligible. This includes the installation of cabling for communications systems (i.e. computer networks, telephone service etc.) and similar improvements not related to life-safety such as customized finishes and fixtures. Contact the HF Grant Coordinator for further guidance.
- ▶ **Archaeological mitigation:** This is an ineligible cost.

Ineligible Costs

- ▶ **Indirect costs**
- ▶ **Grant administration**
- ▶ **Grant application preparation costs**
- ▶ **Acquisitions**
- ▶ **Work done or costs incurred prior to receiving a signed agreement and Approval to Proceed (unless prior approval has been obtained as described on page 9)**

Matching Funds Requirement

Grants are awarded on a matching basis, where the applicant must provide at least 40% of the total project cost and the grant provides the remainder.

- ▶ Matching funds must be included within the eligible project scope according to the program guidelines and must be used within the approved project period, except for approved pre-award costs.
- ▶ The applicant's matching share must be secured at the time of application and must be certified on the Applicant Resolution.
- ▶ For awarded grants, reimbursement will be made according to the percentage match that is specified in the signed Participant Agreement.

Types of Match

Matching funds can be in the form of cash or in-kind contributions. Cash and in-kind match must be certified in the Applicant Resolution.

- ▶ **Cash match** represents the grantee's cash outlay of money and may not include a loan that places a lien against the property.

NOTE: Nonprofit and third party applicants must include a current bank statement in the grant application verifying the availability of matching funds. This information must be included and certified in the applicant resolution.

- ▶ **In-kind match** includes services, materials, and/or equipment donated to a project. Services, materials, and equipment claimed must be documented to contribute as a match.

NOTE: To calculate the value of labor donations, multiply the number of hours worked by \$31.80 per hour. If the donation is for skilled labor that requires specialized training or licensing, use the rate paid if the services were not donated. All donations must be stated in a signed letter from the donor and included in the application.

Expected FY 2024 Grant Cycle

Applications will be accepted on a rolling basis between August 2023 and May 2024. Applications will be reviewed in three (3) competitive review rounds as outlined below and contingent upon available funds.

Note: Round 2 and Round 3 cycles are contingent on the continued availability of funds allocated for HP projects after successful award of Round 1 grants and Round 2 grants.

Round 1: Applications received between August and November 3, 2023. Grants for this round of funding will be awarded in December, 2023.

Round 2: Applications received between November 4, 2023 and February 2, 2024. Grants for this round of funding will be awarded in March, 2024.

Round 3: Applications received between February 3, 2024 and May 3, 2024. Grants for this round of funding will be awarded in June, 2024.

Work must begin within six (6) months of the grant being awarded or the grant may be canceled .

How to Apply

Refer to the Application Materials Section of the HF Grant Manual for detailed instructions

Application Submission

- ▶ **DO submit completed pre-application** via the online application in WebGrants.
- ▶ **DO submit completed applications** via the online application in WebGrants.
- ▶ **DO submit completed application with electronic signature** by the person authorized as the agent to conduct all negotiations, execute and submit all documents necessary for the completion of the historic preservation project as certified in the Applicant Resolution.
- ▶ **DO use** the application checklist.
- ▶ **DO upload completed** applicable forms in the appropriate sections.
- ▶ **DO upload four color photos** in the application.
- ▶ **DO complete ALL** applicable sections of the online application and upload the required documents. Failure to do so may result in your application being deemed incomplete.
- ▶ **Do click on Submit** when the application is complete.

Every HP Application Will Be Evaluated Based Upon The Criteria Set Forth In This Manual. Applications will be accepted on a rolling basis and reviewed in three (3) rounds, contingent upon available funds.

Important Things to Know

General Compliance:

- ▶ All awarded grant projects must comply with applicable State statutes, regulatory requirements, and policies.
- ▶ The administration of all awarded grants is subject to the contents of the [Administrative Guidelines for Awarded Grants](#) published by ASPT.

Operation/Maintenance:

- ▶ The grantee is responsible for continued operation and maintenance of the resource.
- ▶ Grant funds are not available for operation and maintenance costs.

Project Time Period:

- ▶ An awarded grant must be completed within three years from the date the ASPT Executive Director or designee signs the participant agreement.
- ▶ It is acceptable for a project to finish before the three-year project period expires.
- ▶ Generally, costs associated with work undertaken prior to the execution of an agreement are not eligible project costs.
- ▶ Exceptions include approved pre-award costs. Whether alone or combined, the architectural services or engineering costs or pre-award (AEPA) costs may not exceed 10% of the total PROJECT request.

Commencement of Work for Awarded Grants:

- ▶ **SHPO review with a finding of “no adverse effect” must be completed prior to the start of any bricks and mortar project (visit <https://azstateparks.com/shpo> for more information).**
- ▶ Actual work must begin within six (6) months of the signed agreement.
- ▶ Actual work is defined as an executed agreement for studies, assessments, or architectural projects; an executed construction contract; or other documented evidence that a project has been initiated.
- ▶ Failure to meet this requirement may result in cancellation of the HF grant.

Participant Agreement:

- ▶ The Participant Agreement must be signed by the applicant and returned to ASPT within 30 days of issuance. Do not incur any expenses or start any work until you receive a signed agreement.

Preservation and Conservation Easement Deed:

- ▶ Participants are required to enter into a formal agreement to assume responsibility for maintenance of the property for a specified number of years, depending on the grant award.
 - \$ 10,000 or less, 5 years
 - \$ 10,001 to \$25,000, 10 years
 - \$ 25,001 to \$50,000, 15 years
 - \$ 50,001 to \$100,000, 20 years
 - \$101,000 or more, 30 years
- ▶ The Preservation Conservation Easement Deed must be recorded with the deed to the property and documentation of recordation returned to SHPO within 90 days after signing.
- ▶ **The Preservation Conservation Easement Deed must be signed and returned to SHPO before reimbursements will be approved.**
- ▶ If you already have a conservation easement on your property you may talk to the Grants Coordinator to determine if this is a necessary step.

Disagreements

- ▶ Should there be a disagreement with any decision or action concerning the application process not resolved to the satisfaction of the applicant, a request for review may be submitted to the SHPO within 30 days of the original decision. The SHPO will address the matter and respond to the applicant in writing within 30 days of receiving the request. If the disagreement is not resolved at the SHPO level, a written request for review may be submitted to the Executive Director of ASPT within 30 days. The Executive Director will respond in writing to the applicant within 30 days of receiving the request.

APPLICATION MATERIALS

The section contains documents for
Application Submittal

Application Checklist

A complete application includes the required items below. Please note that not all items apply to every application depending on the nature of your project.

- 1. **FY 2024 Historic Preservation Certified Grant Application Form**
- 2. **Applicant Resolution/Authority to Apply**
At a minimum, a draft Resolution must be included in the application. Include a Letter giving a date for the final resolution (must be within 60 days).
- 3. **Project Narrative, Professional Qualifications and Photos**
- 4. **Assurance of Compliance (ADA) Form**
- 5. **Additional Required Items for Third Party Applications**
 - Bank statement demonstrating available funds to be used as cash match
 - Consent Letter from Property Owner
 - Letter regarding Preservation and Conservation Easement Deed
- 6. **Additional Required Items for Nonprofit Organizations**
 - Certification
 - Previous and current year's operating budget
 - IRS determination letter evidencing tax exempt status
 - Most recent annual report to the Arizona Corporation Commission
 - Bank statement demonstrating availability of funds to be used as cash match
- 7. **Project Narrative**
- 8. **Budget Forms**
 - Estimated Project Cost Sheet
 - Scope Item Breakdown Sheet
 - Electronically signed Architecture & Engineering/Pre-Award (AEPA) Form (*when applicable*) **Electronically signed by Grant Consultant and included in application.**
 - Scope Item Timeline
 - Donations List

Instructions for Completing the FY 2024 HF Historic Preservation Pre-Application Form in WebGrants

Complete the Certified Grant Pre-Application Form in WebGrants using the instructions provided below.

Applicant. Enter the name of the eligible applicant.

Applicant Address. Enter the **mailing** address of the applicant.

Applicant Contact. Enter the name, title, telephone, fax numbers, and E-mail address of the individual who will administer the project.

Third Party. If the applicant is not the property owner and is sponsoring the application in cooperation with the property owner, enter the name of the property owner (third party).

Third Party Address. Enter the **mailing** address for the third party.

Third Party Contact. Enter the name, title, telephone and fax numbers of the individual associated with the third party who will be knowledgeable about the project.

Applicant Type. Check the appropriate applicant type.

Project Title. Enter the title of the project, including the resource name and principal preservation activity (stabilization, rehabilitation, assessment, etc.) to be undertaken.

U.S. Congressional District. Enter the number of the district where the project site is located. If you have questions, contact your County Recorder's office.

AZ Legislative District. Enter the number of the district where the project site is located. If you have questions, contact your County Recorder's office.

County. Enter the name of the county where the project site is located.

Brief Description of the Project. In three or four sentences, summarize the project description indicating the nature of the work to be accomplished.

Project Funding

Grant Request. Enter the amount of your grant request.

Match Amount. Enter the amount the applicant will be responsible for. This amount may be from city funds, third party funds, etc. The minimum percentage is 40% of the grant request.

Total Project Cost. Enter the total project cost. This equals the grant request plus the match amount.

Certification & Authorized Signature. The application certification form must be signed and dated by the individual authorized in the Applicant Resolution to act on behalf of the applicant in conducting all official business related to the project. Please print the signer's name and title below.

Applicant Resolution

Historic Preservation Heritage Fund

- ▶ A signed Applicant Resolution is required with all Historic Preservation grant applications.
- ▶ The Governing Entity of the applicant provides the authority to submit the application and ensures grant compliance with all appropriate procedures, guidelines, and requirements of the grant.
- ▶ The Resolution also certifies matching funds for the grant. When the applicant is submitting the grant for a third party, the funds must be secured at the time of application using an appropriate method established between the two parties.
- ▶ To be eligible for funding consideration, the applicant must certify authority to apply for the grant. The required components of the Applicant Resolution are listed.

Applicant Resolution

SAMPLE RESOLUTION

RESOLUTION NO. _____

RESOLUTION OF THE _____
(*Applicant Name*)

APPROVING THE APPLICATION FOR HISTORIC PRESERVATION HERITAGE FUNDS

(*Name of Project*)

WHEREAS, the Legislature under A.R.S. § 41-503 has authorized the establishment of the Historic Preservation Heritage Fund Program providing funds to the State of Arizona and other eligible applicants for the purpose of preserving historic and prehistoric resources; and

WHEREAS, the Arizona State Parks Board (BOARD) is responsible for the administration of the program within the State, setting up necessary rules and procedures governing application under the program; and

WHEREAS, said adopted procedures established by the BOARD require the applicant to certify by resolution the approval of applications, signature authorization, the availability of local matching funds, and authorization to sign a Participant Agreement with the BOARD; and

WHEREAS, the proposed project must be consistent with the Arizona Historic Preservation Plan; and

NOW, THEREFORE, BE IT RESOLVED THAT THE (*Applicant's Governing Body*) hereby:

1. Approves the filing of an application for an FY 2024 Historic Preservation Heritage Fund grant assistance; and
2. Certifies that (*Applicant name*) will comply with all appropriate state and federal regulations, policies, guidelines, and requirements as they relate to the application; and
3. Agrees to comply with all appropriate procedures, guidelines, and requirements established by the BOARD as a part of the application process; and
4. Certifies that (*Applicant or Third Party*) has matching funds in the amount of \$_____ from the following source(s): (*list source(s) of cash and in-kind match*); and

5. Appoints the *(Title & Name - may be more than one person)* as agent of *(Applicant's Governing Body)* to conduct all negotiations, execute and submit all documents including, but not limited to, applications, agreements, amendments, billing statements, etc. which are necessary for the completion of the aforementioned project.

PASSED, ADOPTED AND APPROVED by the *(Applicant _____)* this *(day)* of *(month)*, *(year)*.

I, the undersigned, _____, being the duly appointed and qualified *(Office Held)* _____ of *(Applicant)* _____, certify that the foregoing Resolution No. _____ is a true, correct and accurate copy of Resolution No. _____ Passed and adopted at a regular meeting of *(Applicant)* _____, held on *(month)* _____, *(day)* _____, *(year)* _____ at which a quorum was present and voted in favor of said *(month)* _____, *(day)* _____, *(year)* _____ Resolution.

Signed by:

Date

Approved As To Form:

Attorney:

Date

Project Narrative

Provide a narrative description of work for the proposed project. This description should demonstrate thoughtful planning and demonstrate how the project aligns with goals and objectives of the [Arizona State Historic Preservation Plan](#), local preservation planning goals, and the needs of the community. Competitive applications will provide direct reference to the Goals and Objectives articulated in state and local plans.

Include the name of the project, and list the project partners- including all consultants or anticipated consultants, a timeline of the work, and the desired outcome of the work. Describe the need in the community for the project, community support for the project, and how the project will benefit the community in the long-term.

If you are completing a “bricks and mortar” restoration or rehabilitation project, provide a detailed description of the scope of work as outlined below. Describe how design and execution of the proposed project is in conformance with the [Secretary of Interior’s Standards for the Treatment of Historic Properties](#) using the Standards applicable to your project (Preservation, Restoration, Rehabilitation, Reconstruction).

List the architectural feature(s) requiring work, the existing condition, and describe the proposed work to that feature and how it will be conducted (see the following example).

Examples:

Architectural Feature -	Façade brick
Approximate date of feature -	1880
Existing feature and its condition -	Hard pressed brick with butter joints in good condition. Mortar mostly sound but deteriorated and missing around the downspout at the east end of the façade.
Work and impact on existing feature -	Will selectively hand clean deteriorated joints and repoint with mortar and joint width to match existing.
Architectural feature -	Main staircase
Approximate date of feature -	1880
Existing feature and its condition -	Original stair exists between 1 st and 3 rd floors. Some balusters missing and treads worn.
Work and impact on existing feature-	Replace missing balusters with matching pieces. Sand painted banisters and balusters with varnish. Replace treads as needed. Sand and paint stairs.

Photo Documentation

Every application must include photographic documentation of the resource(s) involved.

Please include at least four or more color photos that best illustrate the project scope items in the applicable section of the application.

Photographs of the existing condition of the historic property should include exterior elevations of all sides of the building and all areas of proposed rehabilitation work, both interior and exterior.

Arizona State Parks Board

ASSURANCE OF COMPLIANCE

Title II, Americans with Disabilities Act of 1990

P.L. 101-336, 42 U.S.C. Chapter 126

All applicants must complete the information requested below.

(Name of Applicant)

THE UNDERSIGNED ACKNOWLEDGES AWARENESS OF AND THE RESPONSIBILITY TO COMPLY WITH THE FOLLOWING:

Title II, of the Americans with Disabilities Act, ("ADA") and federal department regulations on its implementation.

It is understood that recipients of state funds are required to comply with Title II of the ADA and those regulations of federal departments and agencies on its implementation. The ADA and federal department regulations mandate that: No qualified individual with a disability shall, on the basis of disability, be excluded from participation in or be denied the benefits of the services, programs or activities of a public entity, or be subjected to discrimination by any public entity. See 28 CFR Part 35.

This assurance is effective as of the date of state approval of funds and throughout the period during which real or personal property is used.

Signature of Authorized Official

Date

Applicant

(Applicant's Mailing Address)

Required Items for Third-Party Applicants

The following items are required for Third-Party Applications:

1) Bank Statement:

All third-party applicants must submit a current bank statement, with their name on the statement, demonstrating availability of funds to be used as cash match. These available funds must also be included and certified in the applicant resolution. Stocks/bonds and Money Market accounts cannot be used as a cash match. The eligible applicant and the third party should establish an appropriate method between the two parties.

2) Sample Consent Letter from Property Owner

The letter must be dated, signed, and contain the following paragraph: Dear Arizona State Parks Board:

As owner of the property located at (address, city, state, zip), I hereby authorize (Applicant) to submit a FY 2024 Historic Preservation Heritage Fund grant application to Arizona State Parks on my behalf. If there are any questions I may be contacted at (address and phone number).

Sincerely,

Property Owner's Signature & Printed Name

3) Sample Letter Regarding the Preservation and Conservation Easement Deed

The letter must be dated and contain the following paragraph:

Dear Arizona State Parks:

As a representative of the entity eligible to apply for the FY 2024 Historic Preservation Heritage Fund Grant, I understand that if awarded a grant, the (Applicant Name) is required to enter into a formally binding Preservation Conservation Easement Deed Agreement with the Arizona State Parks Board and is liable for the administration of the grant.

Sincerely,

Signature & Printed Name of Person authorized in the Applicant Resolution

Required Items for Nonprofit Organizations

The following items are required for Nonprofit Organization Applications:

- 1) Nonprofit Certification Statement (page 25).**
- 2) A copy of the previous and current year's operating budget for the organization.**
- 3) The IRS determination letter evidencing tax exempt status for the organization.**
- 4) The most recent annual report to the Arizona Corporation Commission or equivalent Tribal Commission Report if incorporated under Tribal Law.**
- 5) All Nonprofit Organizations must submit a current bank statement, with their name on the statement, demonstrating availability of funds to be used as a cash match. These available funds must also be included and certified in the applicant resolution. Stocks/Bonds and Money Market accounts cannot be used as a match.**

NONPROFIT CERTIFICATION STATEMENT
Sample Statement

I, _____, being duly sworn, depose, state and certify as follows:

- 1) I am the _____ of _____, a non profit corporation duly organized under the laws of the State of Arizona. (“Corporation”);
- 2) The Corporation is a valid, existing nonprofit corporation in good standing under the laws of the State of Arizona;
- 3) The Corporation has the full authority to enter into the foregoing Historic Preservation Heritage Fund Grant Application (the “Application”);
- 4) The Corporation has undertaken all actions necessary to enter into the Application and any and all contracts or obligations related thereto;
- 5) The Corporation is currently a tax exempt entity under the terms of the Section 501(c)(#) of the United States Internal Revenue Code;
- 6) The Corporation intends to maintain its status as a tax exempt entity under the terms of the Section 501(c)(#) of the United States Internal Revenue Code and shall take all actions necessary to maintain that status;
- 7) All materials, exhibits, attachments, forms, statements, certifications, question responses, answers and all other documents provided by the Corporation in the Application are true and correct;
- 8) The Corporation, if awarded a Grant, intends to comply with all terms and conditions of the Application and the contracts and obligations related thereto; and
- 9) I am executing this Certification under oath and voluntarily submitting the materials, documents, question responses and any and all other information with the knowledge that false or incomplete materials, documents, question responses or other information could result in criminal prosecution, denial or subsequent revocation of a Grant.

STATE OF ARIZONA _____)

County of _____)

THE FOREGOING CERTIFICATION was subscribed and sworn before me this _____ day of _____, 202__, by _____, the _____ of, _____ a Non-profit corporation, on behalf of that corporation.

Signature & Date

Notary Public Seal

PROJECT NARRATIVE/ RATING CRITERIA

Each of the rating criteria components must have a response.

These criteria are used to score your application.

FY 2024 Historic Preservation Rating Criteria

A. PLANNING	0 to 45 Points
1. Project Planning	0 to 25 Points
a. Comprehensive Planning	(0 to 10 Points)
b. Project-Specific Planning	(0 to 15 Points)
2. Relevant Preservation Goals/Objectives (Long Range Use)	0 to 10 Points
3. Project Team	0 to 10 Points
B. PUBLIC BENEFIT	0 to 45 Points
1. Community Impact	0 to 30 Points
a. Community Benefits	(0 to 27 points)
b. National Register Nomination	(0 or 3 pts)
2. Public Involvement and Support	0 to 15 Points
a. Involvement	(0 to 5 Points)
b. Support	(0 to 10 Points)
C. PAST ADMINISTRATIVE COMPLIANCE	0 to 10 Points
1. Administrative Performance	
a. Timely submission of Participant Agreement	0 or 3 Points
b. Timely recordation of Preservation Conservation Easement Deed	0 or 2 Points
c. Timely Quarterly Reports	0 or 3 Points
d. Timely Project Completion	0 or 2 Points

TOTAL 100 Points

FY 2024 Historic Preservation Rating Criteria

A. PLANNING

45 Points Available

This section will be evaluated based upon coordinated planning for the proposed project. The narrative responses and supporting documentation must demonstrate the proposed project is based upon conscientious planning and decision-making processes meeting the goals and objectives of the Arizona State Historic Preservation Plan and the historic preservation priorities of the local or regional community. A list of appropriate supporting documents for possible inclusion is provided on page 33.

1. Project Planning

25 Points Available

Projects demonstrating compatibility with the local or regional community's preservation goals are preferred. While planning the project, consulting with the planning and zoning office for the jurisdictional authority (such as the city, town, or county government) or the Chamber of Commerce is recommended. SHPO may be contacted to determine if a project is located within one of Arizona's Certified Local Governments (CLG). **Answer both questions a. and b., include supporting documentation, and reference the appropriate page number for the supporting documentation in the narrative.**

a. Comprehensive Plan (10 Points)

Describe how this project fits into the **community's local or regional comprehensive plans**. Upload relevant page(s) from the community plan(s) to show compatibility with the proposed project. If the project is not part of the community's comprehensive plan, explain why.

Zero to 10 Points will be awarded for describing and documenting how the project fits into the Community's plan and providing a copy of the appropriate plan(s).

b. Project Specific Plans (15 Points)

Describe the plans specific to this project that have been completed in preparation for this project. Reference and attach a copy of the page(s) from the relative plan(s) relating to the grant scope of work. Budget forms must support and reflect project narrative proposals. If a Historic Building Preservation Plan (HBPP) or Historic Building Condition Assessment (HBCA) has been completed for the building, include a copy with the application.

Up to 15 Points will be awarded for addressing and documenting the following types of plans pertinent to the type of project.

Type of Grant Project	Suggested Project-Specific Planning Document
Bricks and Mortar	Historic Building Preservation Plan (HBPP), Historic Building Condition Assessment (HBCA) or Historic Structures Report
Education	Interpretive Development Plan, Organization's Plan, Curriculum Materials

Building Condition Assessment	Organization's Plan, Town General Plan
Survey or Context Study	Town's Preservation Plan
National Register Nomination	General Plan, Survey, or Context Study

2. Goals/Purpose (10 Points)

Describe the intended use or result for the property or report after completion of this grant project. The end use must be a reasonable use of the historic resource. Explain how your project aligns with the [Arizona State Historic Preservation Plan](#). Provide available documentation to explain the intended use, if available. When documentation is not available explain the purpose of the project and why this is an important component of the plan. For example:

- ▶ **Historic Building Preservation Plan (HBPP)/ Historic Building Condition Assessment:** Describe the intended future use of the building and what the HBPP/HBCA will provide.
- ▶ **Education:** Describe the information to be conveyed to the public, how it will inform or influence, and why it is an important benefit to historic preservation.
- ▶ **Survey and Inventory:** Describe the data the survey will provide and why it is important to historic preservation and how it will benefit the public.

Documentation examples could include a strategic plan for your organization, business plans, regional comprehensive plans, etc.

Up to ten points will be awarded for projects with a clearly defined feasible use for the property, report, interpretative or educational materials.

3. Project Team (10 Points)

The [Secretary of Interior's Standards for Professional Qualifications](#) outline the minimum qualifications necessary to ensure qualified individuals will perform preservation work. If a team member has not been identified, discuss the responsibilities and qualifications being sought for this project.

Describe the composition of the project team, member responsibilities, and qualifications. For example:

- ▶ **Architect.** The minimum qualifications in architecture are a professional degree in architecture plus at least two years of full-time professional experience in architecture, or a state license to practice. Demonstrate that the Architect for this project meets the Secretary of Interior's Standards for Professional Qualifications by the narrative and supporting documentation.

Provide a list of the Project Team members and what they will contribute to the project. If qualified professionals are working on the project, discuss their

qualifications and historic preservation experience. If there is no professional assistance, discuss whether the applicant will identify and seek assistance from additional personnel and how those team members will help achieve project goals. Include copies of résumés, contracts and/or licenses if the team member has been identified. Describe the backgrounds and experiences of all known team members regardless of whether they meet the Secretary of the Interior's Professional Qualification Standards.

Up to ten points will be awarded for demonstrating compliance with the Secretary of Interior's Standards for Professional Qualifications, supplying supporting documentation, and referencing the appropriate page number in the narrative.

B. PUBLIC BENEFIT

45 Points Available

The applicant should demonstrate the proposed project fulfills a need expressed by the public and will benefit the public. The narrative responses and supporting documentation provided will be rated based on the extent of public involvement and support commensurate with the size of the project. (A suggested list of documents is provided on page 33).

1. Community Impact

30 Points Available

a. Community Benefits (27 Points)

Describe and provide evidence of the anticipated educational, economic, social benefit, and/or other benefits to the community from this project.

Proposed projects should anticipate a public benefit as a result of the completed project. These public benefits may fall under such categories as economic and community growth, public education, social services, or any other appropriate category of public benefit. Applicants should address as many categories as apply to the project and clearly state and document what type of benefit is anticipated.

The response to this question must quantify the anticipated public benefits. In order to make comparisons between communities of widely differing sizes and conditions, applicants must include in their quantification of public benefits measurements of those benefits proportional to the local population or economy.

Responses should reference research or other materials that support the benefits of this project. The application should also include a copy(s) of the relevant page(s) of the report discussed. Applicants should take advantage of studies done by public or private organizations. Such research may include feasibility studies, benefit-cost analysis, needs analyses, tourism studies, or other special studies appropriate to the nature of the project.

Example: A project in Town A involves a historic building being rehabilitated for use as a senior center. Town A might consider gathering data on the needs of the local community, including, but not limited to, the size of the local senior population, income levels, current levels of service, anticipated growth in demand for services, and the value of the services to the subject population.

Example: Town B is planning an educational program that anticipates annually serving 500 local elementary students; this could be 100 percent of the student population for a small community. The same project, in a larger city, may serve a smaller fraction of the potential student population.

Up to 27 points will be awarded according to the level of public benefit anticipated from the completed project. Applications must include documentation for studies cited in the narrative.

b. National Register Nomination (3 Points)

The National Register of Historic Places (NRHP, National Register) provides public recognition and validation that a property is worthy of preservation. By thoroughly documenting a property's significance, the National Register listing provides a basis for claiming a public benefit through preservation. Listing also facilitates access to a number of historic preservation incentives such as grants and tax benefits. A property listed in the National Register is more likely to be preserved. If the property is not already listed on the National Register of Historic Places, applicants will be awarded 3 points for completing a National Register Nomination as part of this grant project. The cost for completing the nomination must be included in the scope of work for this project.

Zero or three points will be awarded for a property currently listed on the National Register, in the process of being nominated, or if the nomination process is a scope item in the application.

Property is listed on the National Register of Historic Places.	0
If the property is not listed on the National Register of Historic Places.	3

**2. Community Involvement and Support
Points Available**

15

Community involvement and support are critical elements in the success and long-term benefits of a project. **Answer both questions a. and b., provide supporting documentation, and reference appropriate page number(s) in the narrative.**

a. How has the community been involved in the project? (5 Points)

Describe and provide evidence of community involvement in the planning of this project. Involvement is defined as attendance, community awareness, and opportunity to contribute and influence the project planning. Include documentation.

Evidence of involvement may include, public meeting attendance records/sign-in sheets, public meeting minutes, citizen advisory committee actions, neighborhood meetings, etc.

Zero to five points will be awarded for demonstrated involvement of the community in the planning phase of this project.

b. Does the community support the project? (10 Points)

Describe and provide evidence of community support for this project. Support is defined as positive feedback on the proposed project.

Evidence of support may include news articles, minutes of meetings, signed

petitions, donations of cash, labor, or materials, volunteer efforts, formation of volunteer or advocacy groups, letters of support, partnerships, etc. Clearly reference and include documentation.

Zero to ten points will be awarded based upon evidence of high levels of community support and supportive documentation.

C. ADMINISTRATIVE COMPLIANCE

0-10 points

- ▶ For FY 2024, all applicants will receive 10 points in this category. This category will be used for future applications to assign points based on past performance on administration of an awarded grant (see below for point award breakdown).
- ▶ This category is for applicants who have had an open Historic Preservation Heritage Fund Grant within the past 3 years.
- ▶ If the applicant has not had an open Historic Preservation Heritage Fund Grant within the past 3 years, all 10 points will be awarded.
- ▶ Dates will be calculated 3 years preceding the Grant Cycle due date. (i.e. last working day of May, last working day of December).
- ▶ **Staff will complete this section.**

ADMINISTRATIVE PERFORMANCE

- a. Up to 3 points will be awarded based on the timely submission of the signed Participant Agreement (45 days).
- b. Up to 2 points will be awarded based on the timely recordation filing and evidence of recordation for the Preservation Conservation Easement Deed (PCED) when applicable. When the grant does not require PCED recordation filing the 2 points will be awarded (90 days).
- c. Up to 3 points will be awarded based on the timely submission of quarterly reports.
- d. Up to 2 points will be awarded based on timely completion of the project within the original 2 or 3-year project period.

Supporting Documentation

- ▶ *Approximately one half of the rating criteria points are awarded based on the documentation submitted in support of the narrative*
- ▶ Provide attachments of only the specific pages of the document(s) referenced as directly related to the narrative
- ▶ Create a separate appendix for attachments and reference the appropriate page number for the supporting documentation in the narrative

e.g., supporting documentation for a planning/public involvement process could include one or more of the following:

- ▶ Adopted tribal or local government resolutions in support of the proposed project
- ▶ Approved long-range comprehensive land use/management plan that references or provides direction for the proposed project
- ▶ Regional, Tribal or Statewide plans that provide vision and support for the proposed project
- ▶ Notes, minutes, and decisions from internal agency or interagency meetings or Board Meetings that directly relate to the proposed project (show when, where, what was discussed or decided, and who attended)
- ▶ A bond action supporting the proposed project
- ▶ Public involvement research tools such as needs assessments, statistically valid surveys, questionnaires, and focus groups supporting the proposed project
- ▶ Documented approval of the proposed project by:
 - Citizens Advisory Committee
 - City or Town Council
 - Tribal Council
 - Board of Supervisors, etc.
- ▶ Documented local support of the proposed project
 - Informal survey results
 - Letters of support
 - Citizens speaking at public meetings
 - Citizen petitions, etc.
- ▶ Documentation of any public involvement activities with the proposed project
 - Public meeting notices
 - Agendas
 - Attendance rosters
 - Minutes of public meetings
 - Special events
 - Volunteer projects, etc.
- ▶ Public involvement and project support documented by local media (newspaper articles, etc.).
- ▶ Documented organizational support of the proposed project (show that organizations have been contacted, involved, and endorsed the project by letter, organizational meeting minutes, newsletters, etc.)
- ▶ An adopted capital improvement budget in support of the proposed project expenditures.
- ▶ A document specifying the community's historic preservation standards
- ▶ An existing Historic Building Preservation Plan (HBPP)/ Historic Building Condition Assessment (HBCA)
- ▶ Existing Historic Context Study or Multiple Property Documentation Form (MPDF)

PROJECT BUDGET FORMS

COMPLETING THE BUDGET FORMS

- ▶ Please use the format presented in the following pages to present your budget.
- ▶ The amounts on the Certified Grant Application Form and the Estimated Project Cost Form must match.
- ▶ Your budget must reflect the project narrative.
- ▶ The forms may be reproduced.
- ▶ Contact the Historic Preservation Grant Consultant for word files or questions about format.

Historic Preservation Heritage Grant Fund Program Project
Budget Forms

PROJECT SCOPE ITEM COST FORM

Complete and submit a Scope Item Cost Form for each Project Scope Item.

Breakdown	Quantity	Unit Type	Unit Cost	Total Cost	Match/In-kind
TOTAL SCOPE ITEM COST				\$	\$

- ▶ Complete and submit a “Project Scope Item Form” for each project scope item. On each Form list the components for the scope item.
- ▶ Enter the “QUANTITY and UNIT TYPE” as accurately as possible
- ▶ Enter “BREAKDOWN, UNIT COST and MATCH/IN-KIND”. Develop cost estimates based on the anticipated costs of completing the scope item
- ▶ Estimates should reflect realistic prices anticipated at the time the work would be done.
- ▶ Contingency costs should be included within the cost of the scope item as applicable, not listed as a separate component
- ▶ Work being done as part of one contract should be broken down and costs shown for each component of the project under the contract
- ▶ Enter the total scope item cost
- ▶ Use the “Total Scope Item Cost” amount on this form to calculate “Total Item Cost” on the Estimated Project Cost Sheet

**ARIZONA STATE PARKS HISTORIC PRESERVATION
ARCHITECTURE/ENGINEERING, OR PRE-AWARD (AEPA)
COSTS FORM**

This form should be received by the HP Grant Consultant at least two (2) weeks before the application due date. Include the signed AEPA Form with the application.

Architecture, Engineering, or pre-award (AEPA) costs are an optional scope item. These costs may be incurred up to three years prior to the grant application date or incurred after a grant is awarded and the participant agreement is executed.

When it is anticipated that AEPA costs will be charged to the project an AEPA form should be sent to the Arizona State Parks Historic Preservation Grant Consultant for approval and signature.

Any architecture, engineering, or pre-award (AEPA) costs combined are limited to 10% of the **PROJECT COST**. Reimbursement payments will be made according to the rate specified in the Certified Grant Application.

AEPA must be specific to this project and may include site planning, feasibility studies, design, construction drawings, specifications, and similar services.

Complete the AEPA form using the following formula to determine the allowable amount of AEPA costs:

- | | |
|--|---------------------------|
| 1. Total Cost of Development Scope Items
(Do not include the AEPA costs) | \$ _____
<i>line 1</i> |
| 2. Multiply line 1 by .10 (10%) (this is the eligible AEPA costs) | \$ _____
<i>line 2</i> |
| 3. Add line 1 and line 2 | \$ _____
<i>line 3</i> |
| 4. Enter the percentage of the total project cost expected to be paid
by Grant funds as a decimal (i.e. - .5 for 50% or .6 for 60%) | \$ _____
<i>line 4</i> |
| 5. Multiple line 3 by line 4 (this is the Grant Request) | \$ _____
<i>line 5</i> |
| 6. Subtract line 5 from line 3 (this is the amount of the Applicant Match) | \$ _____
<i>line 6</i> |

Project Name:

HP Grant Consultant Signature _____ *Date* _____

Estimated Project Cost Form Instructions

This form reflects the project component totals using the applicable completed supporting forms.

PROJECT TITLE

- ▶ Enter the title of the proposed project as it appears on the Certified Grant Application form.

1. PROJECT SCOPE ITEM COST FORM

- ▶ List the scope item total for the project. For example: Electrical total cost, Doors total cost. Use the total from the individual Scope Item Cost Form.
- ▶ In the "CASH/IN-KIND MATCH" column indicate the total amount of the participant's matching funds or donations to be applied to each scope item.
- ▶ In the "VALUE OF DONATION" column enter the total value of the donation to the project (must be from an outside source).
- ▶ In the "REQUESTED GRANT AMOUNT" column, indicate the amount of grant funds being requested for each scope item.
- ▶ In the "TOTAL ITEM COST" column enter the anticipated total cost of each scope item.
- ▶ Enter the GRAND TOTAL for all Project Scope Items.

2. ARCHITECTURE & ENGINEERING/PRE-AWARD (AEPA) COST FORM

- ▶ In the "AEPA COSTS" column enter the type of AEPA cost being requested (i.e. architecture/engineering/pre-agreement).
- ▶ In the "CASH/IN-KIND MATCH" column, indicate the amount of the participant's matching funds or donations to be applied to the AEPA costs.
- ▶ In the "VALUE OF DONATION" column indicate the value of the donation to the project (must be from an outside source).
- ▶ In the "TOTAL AEPA COST" column, indicate the total AEPA cost.

3. PROJECT TOTALS

- ▶ Enter the appropriate totals.
- ▶ Include the Match amount, Grant Request, and Total Project Cost amounts on the Certified Grant Application Form.
- ▶ **THE AMOUNTS ON THE CERTIFIED GRANT APPLICATION FORM AND THE ESTIMATED PROJECT COST FORM MUST MATCH.**

ESTIMATED PROJECT COST FORM

Project Name:

1. PROJECT SCOPE ITEM COSTS				
SCOPE ITEMS	CASH/IN-KIND MATCH	VALUE OF DONATION	REQUESTED GRANT AMOUNT	TOTAL ITEM COST
GRAND TOTALS	\$	\$	\$	\$

2. ARCHITECTURE/ENGINEERING/PRE-AWARD (AEPA) COSTS (10% of requested Project Amount)				
AEPA COSTS	CASH/IN-KIND MATCH	VALUE OF DONATION	REQUESTED GRANT AMOUNT	TOTAL AEPA COST
GRAND TOTALS	\$	\$	\$	\$
<i>10% APPROVED AEPA COSTS</i>				\$

3. PROJECT TOTALS	
Total Project Scope Items Costs	\$
Applicant Match Amount	\$
Grant Request	\$
AEPA (From line 2 of AEPA Form)	\$
Total Project Cost	\$

SCOPE ITEM TIMETABLE

Scope Item	Anticipated Start Date	Anticipated Completion Date
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		
12.		
13.		
14.		
15.		

- ▶ Complete the **Scope Item Timetable** including each project scope item
- ▶ Estimate when work on each scope item will start and be completed

DONATIONS LIST

Donations must be supported by a letter from the donor identifying the amount and terms of the donation.

DONOR/ITEM	NUMBER OF UNITS	UNIT COST	TOTAL VALUE
e.g. ACME Building Contracting, LLC Labor to remove loose plaster and prep for patching and painting	65 hours	\$ 35.00 per hour (Skilled)	\$ 2,275
TOTAL			

- ▶ Donations to the applicant, from any source, may include land, services/labor, materials, and/or equipment. The fair market value of such donations may be used as a matching share of the grant.
- ▶ The estimated values of land and other donations may be derived from appraisals, applicant’s pay scales, and formalized equipment use rates
- ▶ Donated labor is charged at the current independent sector volunteer rate, unless it is for a licensed or skilled trade, then it may be charged at the current market rate
- ▶ The donor and value of the donation must be clearly identified on the Donations List. A letter from the donor identifying the amount and terms of the donation must support donations
- ▶ The source of donations must also be identified in the Resolution/ Authority to Apply and the amount included as a component of the matching funds
- ▶ Costs associated with the initiation of development and/or the value of donations accepted by the applicant prior to approval of an application are not eligible project costs
- ▶ Contact Grant’s Staff for information on acceptable methods of assessing values of donations

VOLUNTEER/DONATION PLEDGE 2024 HERITAGE GRANT APPLICATION

I/we anticipate providing a donation to the following project:

- ❖ Printed/typed Name of Company/Individual:
- ❖ Type of labor to be volunteered:
- ❖ Approximate number of hours: Hourly rate: \$
- ❖ I work professionally in this trade as a: Hourly rate: \$
- ❖ Value of donation:
- ❖ Supporting project scope item:

Donated labor is charged at \$31.80 per hour, unless it is for a licensed or skilled trade, then it may be charged at the current market rate.

- ❖ Item to be donated:
- ❖ Supporting project scope item:
- ❖ Value of donation:

I certify that the above is true and correct to the best of my knowledge.

Signature: _____

Date: _____

**PLEDGES MUST BE SIGNED AND SUBMITTED
WITH THE GRANT APPLICATION.**

**A COPY OF THE PLEDGE PLUS DONATION VALUE IS TO BE SUBMITTED WHEN
CLAIMING AS IN KIND MATCH FOR GRANT PAYMENT REQUEST**

Hours volunteered _____ Hourly rate \$ _____ Value of donation \$ _____
 Item donated _____ Value of donation \$ _____

Supporting what project scope item? _____

SUPPLEMENTAL INFORMATION

Arizona Register of Historic Places Criteria for Evaluation Historic Preservation Heritage Fund

A.R.S. § 41-511.04 and A.R.S. § 41-861
Arizona State Parks Board Rules, R 12-8-206

The Arizona Register of Historic Places is the State's official record of prehistoric and historic properties worthy of preservation. It provides recognition and protection of Arizona's historic districts, sites, buildings, structures, and objects of national, state or local significance in the fields of architecture, history, archaeology, engineering, and culture. The Register is for use as a planning tool by federal, state, and local governments, private groups, and citizens.

1. Criteria for evaluation of potential Arizona Register properties generally encompass the quality of significance in Arizona history, architecture, archaeology, engineering, and culture. Such qualities may be present in districts, sites, buildings, structures, and objects that possess integrity of location, design, setting, materials, workmanship, feeling, association and also:
 - a. Are associated with events that have made a significant contribution to the broad patterns of history; or
 - b. Are associated with the lives of historically significant persons; or
 - c. Are the embodiment of a distinctive characteristic(s) of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic values, or that represent a significant and distinguishable entity whose components may lack individual distinction;
or
 - d. Yield, or may be likely to yield, information important in prehistory or history.

2. Properties that have achieved significance within the past fifty years shall not be considered eligible for the Arizona Register unless they are integral parts of districts that meet the criteria or demonstrate exceptional importance as individual properties.

Historic Building Preservation Plan (HBPP) Historic Preservation Heritage Fund

Any physical planning effort begins with an objective, and an assessment of identifiable constraints and opportunities for achieving that objective. In historic preservation planning, it is a matter of knowing what precisely is to be preserved and what can be changed – what features of the building may be modified and others left intact.

Of the four recognized treatments of historic buildings, the Standards for **Rehabilitation** serve as the overarching guide for almost all Historic Preservation projects. The Standard for **Preservation** is applicable to stabilizing a building in its current state, often with temporary shoring etc., until a new use is found. **Restoration**, which requires returning a building to previous historic appearance, is more appropriate to a house museum and is rarely employed. **Reconstruction** of an entire building is not recommended and is avoided.

But within any **Rehabilitation** project, certain features and spaces are of primary significance and must be **Preserved** or **Restored** to maintain the building's historical integrity; while the remainder, of secondary or tertiary significance may undergo considerable alteration and intervention to **Rehabilitate** the building in accommodation of extended or new uses.

The first step in preparing an HBPP is to designate, by zoning, the features and spaces by Primary, Secondary and Tertiary historical significance as indication of the appropriate treatment and level of allowable intervention.

For most buildings, in addition to the principal facades, treatment of the public and main circulation spaces are prioritized as the primary zone in which the appropriate treatment is **Preservation** and **Restoration**; the partitioning of the more private spaces are of secondary importance subject to a more liberal treatment in **Rehabilitation**, such as combining or subdividing rooms or creating new openings or closing others; while service areas of tertiary significance to the property's historic importance may be subject to the most alteration including redesign or replacement.

The State Historic Preservation Office (SHPO) offers the following:

- ▶ The HBPP is a professional assessment, done by a qualified architect, of a historic building, group of buildings, or other historic property.
- ▶ The HBPP is part of the planning process that provides an analysis of those features that qualify the property for listing in the National Register.
- ▶ Information should be consolidated in creation of “zones” based on appropriate treatment and levels of acceptable intervention. For example:
 - The public spaces and main circulation, stairs and corridors, would be a “**preserved**” zone of primary importance in which **preservation** and **restoration** are the primary treatments.
 - The existing partitioning of rooms is of secondary importance; and those spaces may be re-divided or combined to meet requirements of **rehabilitation** for the new uses.
 - Mechanical and service areas would be of tertiary importance to the preservation of the property's historical integrity; and considerable **rehabilitation**, alteration and intervention is allowable.

- ▶ This additional step in preservation planning serves to guide a design that is apprised of the property's constraints and opportunities.

For questions related to historic buildings, contact the Arizona State Historic Preservation Office (SHPO) Architect at azshpo@azstateparks.gov.

National Register Nomination/Eligibility

Historic Preservation Heritage Fund

In order to be eligible for funding with the Arizona State Parks Historic Preservation Heritage Fund program, grant projects must directly involve resources listed on the ARHP or NRHP, determined eligible for listing by the State Historic Preservation Officer (SHPO). If a property is not listed prior to project commencement, a National Register or Arizona Register nomination (NRN or ARN) is required as a scope item in the project. The property must be listed before the end of the grant period.

When including a NRN in a grant application, early consultation with the SHPO staff is highly recommended to ensure that all documentation requirements are understood and submitted timely.

After submitting the NRN to SHPO it will be evaluated by SHPO staff. SHPO will provide their comments and concerns to the applicant. After comments and concerns are resolved the NRN is forwarded to the Historic Site Review Committee (HSRC). The HSRC reviews the NRN and provides comments and concerns. After the comments and concerns are resolved, the SHPO signs a document placing the property on the State Register of Historic Places. The NRN is then forwarded for evaluation to the Keeper of the National Register of Historic Places.

Be aware that preparing and submitting a National Register Nomination takes time. The NRN requirement for a Historic Preservation grant will be considered met after SHPO signs the document placing the site on the State Register of Historic Places. This process could take two years or more to complete.

For questions and information regarding the National Register Program or National Register Nominations you can reach out to the Arizona State Historic Preservation Office at:

602-542-4009 or via email at azshpo@azstateparks.gov

For information on the National Register of Historic Places the web address is:
www.nps.gov/subjects/nationalregister

Permitting Requirements Historic Preservation Heritage Funds

ASPT-funded grant projects may involve doing work that requires permits and clearances from various state and federal agencies.

ASPT does not determine what—if any—permits or clearances are required for specific projects nor does it review permits or clearances for accuracy or appropriateness. Applicants are encouraged to arrange pre-application meetings with appropriate federal, state, and local government agencies to determine requirements, processes, time schedules and documentation required for proposed permit applications. See telephone numbers on the next page.

The applicant is responsible for conducting environmental assessments and obtaining all applicable permits and clearances no later than 6 months after the Participant Agreement is signed if awarded a grant. Construction funds will not be released until copies of all applicable permits and clearances are received in the Grant's office.

Review the items listed below to assist in determining whether or not a project may require permits and/or clearances.

Will the project:

- ▶ Affect any (a) federally listed endangered or threatened species or designated critical habitat or (b) species listed as wildlife of special concern in Arizona?
- ▶ Include introduction or exportation of any species not presently or historically occurring in the receiving location?
- ▶ Affect any recognized state natural area, prime or unique ecosystem or geologic feature, or other ecologically critical area?
- ▶ Involve habitat alteration or land use changes such as planting, burning, removal of native vegetation, clearing, grazing, water manipulation, or modification of public use?
- ▶ Involve any new or modified construction or development in floodplains or wetlands?
- ▶ Require ground or surface water through contract of acquisition for a long-term project viability?
- ▶ Include use of any chemical toxicants?
- ▶ Result in any discharge which will conflict with Federal (or State) air or water quality regulations?
- ▶ Require substantial consumption of energy to complete or maintain the project (heavy equipment, large vessels, etc.) or result in increased energy consumption by the public (new public use areas, etc.)?

- ▶ Affect any archaeological, historical or cultural site or alter the aesthetics of the subject area?
- ▶ Impact on designated wild or scenic river, wilderness area, national trail, or other protective national or state designation (i.e., Unique Waters, Area of Critical Environmental Concern, National Conservation Area, etc.)?
- ▶ Have any substantive environmental impacts not addressed above, or result in cumulative impacts which separately do not require assessment but together must be considered substantial?

References and Telephone Numbers for questions on permits

REFERENCES

1. Section 7, Endangered Species Act of 1973, as amended
2. Arizona Game and Fish Department Wildlife of Special Concern List
3. Executive Order 11987, Exotic Organisms; and 50 CFR 92
4. Executive Order 11988, Floodplain Management
5. Executive Order 11990, Protection of Wetlands
6. Administration of Clean Air Act of 1970 (P.L. 91-604) and Federal Water Pollution Control Act (P.L. 92-500), Executive Order 11738; and Clean Water Act Amendments of 1977 (P.L. 95-217)
7. Executive Order 11593, Protection and Enhancement of the Cultural Environment (P.L. 93-291), Archaeological and Historic Preservation Act, 5-244-74; and CEQ Guidelines, Federal Register 43(230), 11-29-78, § 1508.8
8. Wild and Scenic Rivers Act (P.L. 90-542)
9. Wilderness Act (P.L. 88-577)
10. National Trails Act (P.L. 90-543)
11. National Environmental Policy Act (NEPA), 1969; CEQ guidelines, Federal Register 43(230), 11-29-78, §§ 1507.3 and 1508.4; Federal Register 44(112), 6-8-79, pp. 33160-33162
12. Arizona Native Plants, A.R.S. § 3-901 to § 3-934

TELEPHONE NUMBERS

❖ U.S. Army Corps of Engineers	(602) 640-5385
❖ Arizona Game and Fish Department	(602) 942-3000
❖ Arizona Department of Environmental Quality	(602) 771-2300
❖ Arizona Department of Water Resource	(602) 771-8500
❖ State Historic Preservation Office, Arizona State Parks	(602) 542-4009
❖ U.S. Fish and Wildlife Service	(602) 242-0210

Secretary of the Interior's Standards for Professional Qualifications Historic Preservation Heritage Fund

These standards were developed by the federal government to assure that preservation work is being performed by qualified consultants. In the following definitions, a year of full-time professional experience may consist of discontinuous periods of full-time or part-time work that totals one year of full-time experience.

- ▶ **History** - The minimum qualifications in history are a graduate degree in history or closely related field; or a bachelor's degree in history or closely related field plus one of the following:
 - 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
 - Substantial contribution through research and publication to the body of scholarly knowledge in the field of history.
- ▶ **Archaeology** - The minimum qualifications in archaeology are a graduate degree in archaeology, anthropology, or closely related field plus:
 - At least one year of full-time professional experience or equivalent specialized training in archaeological research, administration or management;
 - At least four months of supervised field and analytic experience in general North American archaeology; and
 - 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.
- ▶ **Architectural History** - The minimum 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, art history, historic preservation, or closely related field plus one of the following:
 - 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
 - Substantial contribution through research and publication to the body of scholarly knowledge in the field of American architectural history.
- ▶ **Architecture** - The minimum qualifications in architecture are a professional degree in architecture plus at least two years of full-time professional experience in architecture, or a state license to practice.
- ▶ **Historic Architecture** - The minimum qualifications in historic architecture are a professional degree in architecture or an Arizona State license to practice architecture, plus one of the following:
 - At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or closely related field; or
 - At least one year of full-time professional experience on historic preservation projects.
 - Such graduate study or experience shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

Secretary of the Interior's Standards for Rehabilitation

The following Standards are to be applied to specific projects in a reasonable manner, taking into consideration economic and technical feasibility. Applications are subject to review by the State Historic Preservation Office (SHPO) to ensure compliance with the Secretary of the Interior's Standards.

1. A property shall be used for its historic purpose or be placed in a new use that requires minimal change to the defining characteristics of the building and its site and environment.
2. The historic character of a property shall be retained and preserved. The removal of historic materials or alteration of features and spaces that characterize a property shall be avoided.
3. Each property shall be recognized as a physical record of its time, place, and use. Changes that create a false sense of historical development, such as adding conjectural features or architectural elements from other buildings, shall not be undertaken.
4. Most properties change over time; those changes that have acquired historic significance in their own right shall be retained and preserved.
5. Distinctive features, finishes, and construction techniques or examples of craftsmanship that characterize a historic property shall be preserved.
6. Deteriorated historic features shall be repaired rather than replaced. Where the severity of deterioration requires replacement of a distinctive feature, the new feature shall match the old in design, color, texture, and other visual qualities and, where possible, materials. Replacement of missing features shall be substantiated by documentary, physical, or pictorial evidence.
7. Chemical or physical treatments, such as sandblasting, that cause damage to historic materials shall not be used. The surface cleaning of structures, if appropriate, shall be undertaken using the gentlest means possible.
8. Significant archeological resources affected by a project shall be protected and preserved. If such resources must be disturbed, mitigation measures shall be undertaken.
9. New additions, exterior alterations, or related new construction shall not destroy historic materials that characterize the property. The new work shall be differentiated from the old and shall be compatible with the massing, size, scale, and architectural features to protect the historic integrity of the property and its environment.
10. New additions and adjacent or related new construction shall be undertaken in such a manner that if removed in the future, the essential form and integrity of the historic property and its environment would be unimpaired.

For more information go to

<https://www.nps.gov/tps/standards/four-treatments/treatment-rehabilitation.htm>

GLOSSARY

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AEPA

The Arizona State Parks Heritage Fund Historic Preservation Grant terminology for Architecture, Engineering, and Pre-Agreement Costs.

Arizona Register of Historic Places

The list of Arizona's historic properties worthy of preservation. It serves as an official record of Arizona's historic districts, archaeological sites, buildings, structures and objects significant in this state's history, architecture, archaeology, engineering and culture. The Register is maintained by the State Historic Preservation Officer. Only the State Historic Preservation Officer can make determinations of eligibility.

Historic Building Condition Assessment (HBCA)

This is a professional assessment of the condition of a building. The current recommended method is the Historic Building Preservation Plan (HBPP) which incorporates the BCA into the preservation plan for the historic building.

Certified Local Government (CLG)

A local government that has enacted a historic preservation ordinance, established a historic preservation commission, conducts design review on locally designated historic properties. CLGs must be officially certified by the State Historic Preservation Office and the National Park Service.

Easement (Historic Preservation Conservation Easement Deed)

A non-possessory interest of a holder in real property imposing limitations or affirmative obligations for conservation purposes or to preserve the historical, architectural, archaeological or cultural aspects of real property.

For-Profit Organization

A business formed to make a profit.

Grant Consultant

An Arizona State Parks employee who administers grant programs for Arizona State Parks. The Consultant provides consultation services to grant participants and interested grant applicants and provides guidance for grant program policies, procedures, and guidelines.

Historic Building Preservation Plan (HBPP)

An assessment, conducted by a qualified architect, to identify and prioritize features and their relative importance; creation of "zones" based on appropriate treatment and levels of acceptable intervention. This Historic Building Preservation Plan document serves as a guide for the property's constraints and opportunities.

Historic Preservation

The act or process of applying measures to protect historic properties from destruction or deterioration, imposing limitations or obligations to preserve the historical, architectural, archaeological, or cultural aspects of that property.

Historic Property

Any prehistoric or historic district, site, building, structure, or object included in, or eligible for inclusion in, the Arizona or National Register of Historic Places. Historic properties are significant in state, regional, and national history, prehistory, architecture, engineering, archaeology, or culture.

In-Kind Match

Services, materials, and/or equipment donated to a grant project that contributes directly to the achievement of the project work. In-kind match may include volunteer support.

Inventory

A compilation of information based on properties in a survey that have been evaluated.

Maintenance

Long-term actions which may reoccur over a multi-year cycle and which are required to guarantee the preservation of a resource. Maintenance items include such things as repairing roof leaks, repairing or replacing gutters and downspouts, repointing masonry, or repainting woodwork. **NOTE:** Fundable maintenance does not include cyclical maintenance--routine or housekeeping actions completed on a periodic schedule in order to keep a property in use.

National Register of Historic Places

The nation's official list of properties determined to be of national, state or local significance and worthy of preservation. The Register affords recognition and protection for districts, sites, buildings, structures and objects significant in American history, architecture, archaeology, engineering or culture. The National Register is maintained by the National Park Service in Washington, D.C. and is administered at the state level by the SHPO. A property is automatically listed in the Arizona Register of Historic Places when the State Historic Preservation Officer nominates it to the National Register of Historic Places. The criteria for listing a property in, or determining a property eligible for, the Arizona and National Registers are identical.

Nonprofit Organization

Any group recognized by the Internal Revenue Service as being entitled to exemption under Internal Revenue Code; is not organized for profit and no part of the net earnings of which inures or will inure upon dissolution, to the benefit of any private shareholder or individual; is registered as a nonprofit corporation with the State of Arizona or under tribal law. Private nonprofit applicants must meet the criteria on page 25 in order to apply for HP Heritage Fund assistance.

Preservation and Conservation Easement Deed

A deed restriction limiting the owner's use of the property. Covenants are recorded with the property deed and must be signed by the owner(s) prior to the issuance of any grant funds. Terms of the covenant are for a period of 5 to 30 years, based on the amount of the grant award.

Rural Area

An incorporated community with a population of less than 10,000 people.

Sponsoring Applicant

An eligible applicant that applies for a grant that will benefit property owned or controlled by a third party not directly eligible for such a grant, such as a private property owner or church. The sponsoring organization shall ensure compliance of the third party with the terms of the Arizona Heritage Fund grant.

State Historic Preservation Office (SHPO)

The division of Arizona State Parks responsible for the identification, evaluation, and protection of heritage property or properties in Arizona. SHPO provides services to governmental entities, organizations, and the public in the following areas: survey and planning, preservation tax incentives, nomination of properties to the Arizona and National Registers of Historic Places, compliance with state and federal law, and preservation awareness and education.

Urban Area

An incorporated community with a population of more than 10,000 people.