



**Parks, Recreation
and Historic Preservation**

ANDREW M. CUOMO
Governor

ROSE HARVEY
Commissioner

**Hurricane Sandy
Disaster Relief Assistance Grant
For Historic Properties**

**Funded by the National Park Service,
Administered by the New York State
Office of Parks, Recreation and Historic Preservation**

**Program Guidelines
Round 2**

**Application Deadline
May 1, 2015**

Hurricane Sandy Disaster Relief Assistance Grants for Historic Properties

Background

After Hurricane Sandy struck in October, 2012, the Federal Emergency Management Agency (FEMA) issued major disaster declarations in the District of Columbia and twelve states; within those states, FEMA further designated individual counties eligible for assistance. Public Law 113-2 appropriated \$50 million from the Historic Preservation Fund (HPF) for historic preservation projects addressing damages caused by Hurricane Sandy in the District of Columbia, Connecticut, Delaware, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Virginia, and West Virginia.

Administering these funds on behalf of the National Park Service (NPS), the New York State Office of Parks Recreation and Historic Preservation (OPRHP) offers grant funding to provide technical assistance and emergency repairs to historic and archeological resources that were impacted by Hurricane Sandy. In New York State, the eligible counties are Bronx, Kings, Nassau, New York, Orange, Putnam, Queens, Richmond, Rockland, Suffolk, Sullivan, Ulster, and Westchester. The Commissioner of OPRHP is New York State's Historic Preservation Officer (SHPO) and the SHPO staff is a part of OPRHP's Division for Historic Preservation.

Eligible Applicants:

The applicant organization must be a Municipality (county, city, town, village, or school or other special district), Not-for-Profit corporation (a corporation formed pursuant to or subject to the Not-for-Profit Corporation Law and qualified for tax-exempt status under the Federal Internal Revenue Code) or State agency that has an ownership interest in an eligible property. Ownership interest may be outright ownership (fee simple) or a lesser interest, such as an easement or a long-term lease of duration equal to the period of OPRHP's oversight of the project.

Ineligible applicants:

- Federal Agencies
- Private Property Owners

Eligible Properties

To receive funding assistance, a property must be located within the thirteen eligible counties (listed above) AND must have sustained Hurricane Sandy related damage AND must be recognized by the National Register of Historic Places. For purposes of this program, National Register recognition includes properties listed on the National Register of Historic Places OR determined by the SHPO to be eligible for listing in the National Register of Historic Places. This includes properties listed (or determined eligible) individually and those contributing to the significance of a National Register (listed or eligible) historic district.

Ineligible Properties:

- Federally owned properties
- Privately owned properties
- Properties neither listed nor eligible for listing in the National Register of Historic Places

Eligible Activities and Costs – What We Fund:

Only hurricane-related damage is eligible for grant assistance.

• **Pre-development/Planning**

- Historic Structures Report
- Conditions Assessment including materials analysis
- Architectural/Engineering Plans and Specifications
- Engineering Study
- Landscape Study
- Archeological Survey
- Historic American Buildings Survey (HABS)
- Historic American Engineering Record (HAER) Recordation
- Economic Feasibility Study
- Survey and damage assessment
- National Register nomination for property that has been determined eligible
- Historic Resources Survey

• **Development/Construction**

- Archeological Stabilization
- Preservation
- Restoration
- Rehabilitation
- Stabilization
- Restoration, rehabilitation, preservation or stabilization of a documented historic landscape

Ineligible Activities and Costs – What We Don't Fund

- Acquisition
- Costs incurred prior to the contract start date that have not received prior approvals
- Costs incurred after the contract expiration date
- Architectural salvage
- Archeological salvage
- Total reconstructions

- Additions
- Routine maintenance
- Archival research
- Court actions
- Curation
- Moving buildings [Exception: see NPS Elevation Guidance]
- Fines or penalties
- Fundraising efforts including costs associated with writing this grant application
- General operating expenses
- Work funded by insurance and other recovery entities
- Hospitality expenses including food, beverages, entertainment
- New landscaping
- Interest payments
- Interpretive expenses
- Lobbying activities
- Nonconformance with the Secretary of the Interior's Standards for the Treatment of Historic Properties
- Political contributions
- Regranting
- Scholarships
- Software acquisition
- Travel

Required Documentation for All Applicants

The following documentation of eligibility will be required with the application (see Application Instructions for more information).

New York State Grants Gateway Compliance: All applicants must register with the Grants Gateway at grantsreform.ny.gov and Not-for-Profit organizations (NFPs) must be pre-qualified through the Grants Gateway.

Authorizing Resolution: Applicant organization must take official action authorizing the application and designating a person(s) to sign legal documents.

Ownership Interest: Property deed, lease, easement, etc. For Pre-development/Planning projects where the applicant does not have an ownership interest, written acknowledgement from the owner granting any necessary access to the property..

National Register recognition: National Park Service Identification Number of the National Register listing OR the formal determination of National Register eligibility from SHPO.

State Environmental Quality Review Act (SEQR) Compliance: Municipalities must undertake the review and submit documentation of the review process; NFPs must complete and submit an Environmental Review Form.

New for 2015

- ❖ \$4.9 million is available.
- ❖ All projects must be completed and all expenditures incurred and paid by 12/31/2018 when the funding expires.
- ❖ The minimum grant award for Pre-development/Planning only projects is \$5,000.
- ❖ The minimum grant award for Development/Construction projects is \$10,000.
- ❖ Sectarian entities are eligible to apply for both planning and construction projects.
- ❖ A National Register-eligible sectarian property owned by a religious organization must be listed on the National Register by 12/31/2018 if it receives construction funding. Grant funds can pay for the preparation of the National Register nomination.
- ❖ The National Park Service has issued “Guidance for Using Emergency Supplemental HPF Grants to Elevate Historic Properties” (Elevation Guidance), available at nysparks.com/shpo. Elevation of a historic property is an eligible grant activity only when done in conjunction with a larger Development/Construction project and only if the project complies with the Elevation Guidance.
- ❖ Retroactive expenditures made from October 26, 2012, through July 23, 2013, may be eligible for reimbursement provided all administrative/technical approvals have been obtained and work meets NPS preservation standards as approved by SHPO.
- ❖ Documentation of compliance with the New York State Grants Gateway is required to submit an application.
- ❖ Documentation of compliance with the State Environmental Quality Review Act (SEQR) must be submitted with the application.

General Program Information

For projects involving only Pre-development/Planning activities, the applicant need not have any ownership interest in the property, but must submit a statement from the owner acknowledging the application and granting the applicant any access necessary to complete the project.

For Development/Construction projects, all parties with an ownership interest in the property will be required to sign project documents and all lien holders must subordinate their interests to those of the State.

Applicants may apply for two types of funding: Pre-development/Planning and Development/Construction Grants. The maximum grant award will be capped at \$1,000,000.

These grants are reimbursement grants. If your project is funded, you must be prepared for upfront expenditures. While you will not have to complete the entire project before submitting a payment

request, reimbursements are made only after funds are expended and all contract payment requirements have been met. Applicants must plan their financial arrangements accordingly.

There is no match required for these emergency grant funds; however, applicants are encouraged to contribute matching funds to the project and applicant's commitment will be factored in the ratings. Funds can only be used for eligible Pre-development/Planning and Development/Construction activities.

The use of federal funds requires a maximum open and competitive bidding process.

All projects must meet The Secretary of the Interior's Standards for the Treatment of Historic Properties (1995), The Secretary of the Interior's Standards and Guidelines for Archeological Documentation and any other applicable Secretary of the Interior's Standards (collectively referenced as STANDARDS); any alterations to historic buildings must comply with the provisions of the Americans with Disabilities Act, and requirements regarding post-disaster recovery, specifically, the FEMA guidelines regarding rebuilding within designated floodplains. Grant recipients must follow all applicable federal, state and local statutes, laws, rules and regulations, including any local historic preservation requirements.

Preparation of pre-development documents and construction plans and specifications must be completed by a historic preservation professional or design consultant who meets the Secretary of the Interior's Professional Qualifications Standards as published in the Code of Federal Regulations, 36 CFR Part 61. For Development/Construction projects, plans and specifications must be reviewed and approved—by NPS for National Historic Landmarks or SHPO for all others—prior to work commencing. The preparation of these documents is an eligible activity under this grant program.

Pre-development/Planning projects require review of consultant Requests for Proposals (RFP's) and review and approval of the documents being prepared.

Development/Construction projects will require a Project Sign to be posted in a prominent location at the project site. The sign must identify the project, and the support of the NPS and OPRHP.

All Development/Construction projects come with long term protection through a Preservation Covenant on the property that is the beneficiary of funding from this program. The Preservation Covenant is conveyed to the State (OPRHP) and recorded against the deed to the subject property (a sample Preservation Covenant can be viewed at nysparks.com/shpo).

The term of the Preservation Covenant is determined by the amount of grant funds received to complete the project in accordance with the following schedule:

- Grant is \$0 to \$25,000 – 10 years minimum
- Grant is \$25,001 to \$50,000 – 15 years minimum
- Grant is \$50,001 to \$100,000 – 20 years minimum
- Grant is \$100,001 and above – 25 years minimum

Closeout materials, including a final report with photographs, a final on-site inspection from OPRHP, and an audit, will be required at the completion of the project. Based on the grant award and

complexity of the project, the audit will be in the form of either an Agreed Upon Procedure Review performed by a Certified Public Accountant or an Expense Summary Audit. Costs associated with the preparation of the final report and audits are eligible for reimbursement.

Applicants are advised NOT to begin planning or construction until awards are announced and a project contract has been fully executed. Certain conditions of award must be met before a contract can be executed. These will include environmental and historic preservation reviews (possibly including an archeological review) and OPRHP acceptance/approval of plans and specifications, bidding documents, evidence of competitive bidding procedures, solicitation of Minority and Women-owned Business Enterprises (MWBs), and any project-specific conditions. Proceeding without advance OPRHP approval will jeopardize grant reimbursement.

How to Apply

Applications and instructions are available for download on the OPRHP website at: nysparks.com/shpo.

For assistance, contact:

Merrill Hesch (212) 866-2599, Merrill.Hesch@parks.ny.gov OR

Stacey Matson-Zuvic (845) 786-2701, extension 220, Stacey.Matson-Zuvic@parks.ny.gov.

Due Date and Location:

The application package must be postmarked or received at the address below no later than **4:00 PM, May 1, 2015**. A complete application package will include: two (2) complete hard copies, each including the printed application, a full set of color photographic prints, and all necessary attachments, with original signatures, AND two (2) complete CDs, each including digital/scanned copies of all printed documents and a complete set of photographs. Only complete typewritten applications with all required attachments will be considered for funding. Applications materials should be submitted:

By U. S. Mail, to:

Ruth Pierpont, Deputy Commissioner
NYS Division for Historic Preservation
Peebles Island
PO Box 189
Waterford, New York 12188-0189
(518) 237-8643

By Private carriers such as Fed Ex, UPS, DHL, to:

Ruth Pierpont, Deputy Commissioner
NYS Division for Historic Preservation
Peebles Island
1 Delaware Avenue North
Cohoes, New York 12047
(518) 237-8643

Grant Selection and Scoring Criteria

The Hurricane Sandy Disaster Relief Assistance Grant for Historic Properties is a competitive grant program and each application will be scored according to a predetermined set of criteria. Projects will be reviewed in two separate funding categories: (1) Pre-development/Planning only and (2) Development/Construction (which may also include Pre-development costs). Each application will be

reviewed for eligibility and, if determined eligible, will be rated according to the Grant Selection Criteria noted below:

- Historic Significance of the property
- Project need, based on the degree and nature of the damage incurred
- Applicant's ability to complete the project promptly and successfully. Project planning, administrative structures and budget must demonstrate fiscal prudence and readiness to proceed.
- Ability of the project to address/correct the storm related damage and achieve a significant preservation objective
- Degree to which local historic preservation needs will be met and a public benefit achieved
- Completeness and accuracy of the grant application

Grant Award Notification

Applications will be rated by OPRHP staff and high-scoring applications will be recommended to NPS for full or partial funding. All applicants will be notified of the outcome of the selection process.

Project Period

The project start date is the date of OPRHP's letter notifying the applicant that the award has been recommended, subject to NPS approval.

All projects must be completed by December 31, 2018.

Grant Administration

Once a grant is awarded, applicants will enter into a grant contract with OPRHP that includes the budget, scope of work and performance timeline and standard clauses [see Master Contract for Grants at grantsreform.ny.gov]. These contracts must be signed and returned to OPRHP within 30 days of receipt.

OPRHP will reimburse grantees for allowable, documented expenses only. Grantees are required to credit the NPS and OPRHP in all print, audio, video, internet and publicity materials.

Administrative and Technical Review

The use of federal funds requires an open and competitive bidding process. Contractors cannot be preselected and no potential contractor can play any role in the design of the project or application.

Goods and services must be procured in a manner so as to assure the prudent and economical use of grant funds, to facilitate the acquisition of goods and services of maximum quality at the lowest possible cost under the circumstances, and to guard against favoritism, improvidence, extravagance, fraud and corruption. Grantees will be required to describe and document the procurement process and means used to obtain their proposed contractor(s) in a format prescribed by OPRHP.

Pre-development/Planning documents for Development/Construction projects must be preapproved by SHPO. Construction plans and specifications must be approved by SHPO (and NPS, in the case of National Historic Landmarks) before going to bid/construction.

All work must have prior approval of OPRHP. Any changes in the scope of work must be reviewed and approved by OPRHP prior to the work commencing. Failure to obtain approval may result in the cancellation of all or part of the grant award.

All reimbursements for historic preservation projects must be satisfactorily documented so that SHPO can ensure work was done to the STANDARDS. Failure to comply with these requirements could jeopardize full reimbursement.

A project sign is required at the project site; cost for the sign is an eligible expense.

Request for Reimbursement

In submitting for reimbursement, grantees must provide proof of expenditures with documentation such as copies of contracts, invoices, receipts and cancelled checks. Reimbursements can occur as the project proceeds or at the end of the project. Applicants are encouraged to secure full financing for their projects upfront (e.g., bridge loan, endowment funds, etc.) in order to avoid contract payment interruptions resulting from lag time between reimbursements.

Ten percent (10%) of the grant will be withheld until the project is complete and the grantee has submitted a close-out package to OPRHP for review and approval. Once all OPRHP approvals are in place, the remaining 10% of the award will be released.

Grant Cancellations

OPRHP has the right to withhold, reduce or cancel grants if a Grantee:

- Fails to comply with the terms of the grant contract.
- Does not start a project within 90 days of the grant contract execution.
- Demonstrates inadequate financial management or oversight.
- Does not properly credit NPS and OPRHP support.
- Makes unauthorized changes in the scope of work.
- Undertakes work without prior approval of OPRHP.
- Experiences significant delays in the grant project.
- Violates the STANDARDS.