HISTORIC LANDMARKS BOARD AGENDA
REGULAR MEETING
CITY OF SAUSALITO

COMMUNITY DEVELOPMENT DEPARTMENT / 420 LITHO STREET / SAUSALITO, CA 94965 / (415) 289-4128

MEETING DATE: Wednesday, March 14, 2012
MEETING TIME: 6:30PM
LOCATION: *Conference Room*, 420 Litho Street, Sausalito

1. **CALL TO ORDER**
   Morgan Pierce, Chair *Vicki Nichols, Secretary* *Carolyn Kiernat* *John Flavin*

2. **PUBLIC COMMENTS ON ITEMS NOT ON THIS AGENDA**

3. **APPROVAL OF AGENDA**

4. **OLD BUSINESS**

A. OATS-KNOWLES GARAGE/ 33 FILBERT AVENUE (DR/VA/EA/TRP 11-273) Staff: Thornberry-Assef
Geoffrey Butler Architects(Applicant)
Emmett Oates and Kirsten Knowles (Owners)

PROJECT: 50-Year memo to determine the historical significance of 33 Filbert Avenue.

B. HORIZONS/ 558 BRIDGEWAY (DR/MUP/VA/SP 11-330) Staff: Schinsing
Don Olsen and Associates(Applicant)
Bob Freeman (Owners)

PROJECT: Review doorway modification and provide a recommendation regarding the requested change to the Community Development Director.

5. **NEW BUSINESS-**

A. Certified Local Government Grant Funding Application

6. **APPROVAL OF MINUTES-** February 22, 2012

7. **COMMUNICATIONS**

ADJOURNMENT OF MEETING TO WEDNESDAY, MARCH 28, 2012 IN THE CONFERENCE ROOM

APPEALS: Any decision of the Historic Landmarks Board may be appealed by filing an appeal form and the required appeal fee with the Community Development Department within ten (10) calendar days of the date of the decision. If you challenge a decision of the Historic Landmarks Board in court you may be limited to raising only those issues you or someone else raised at the hearing or on appeal to the Planning Commission and City Council.

SPECIAL NEEDS: In compliance with the Americans with Disabilities Act (29 CFR 35.102-35.104 ADA Title 11), if you need special assistance to participate in this meeting, please contact the Community Development Department at 289-4128. Notification 48 hours prior to the meeting will enable the City to make reasonable arrangements to ensure accessibility to this meeting.

AGENDAS are available on the Friday prior to the Historic Landmarks Board meeting at the City Hall entrance at 420 Litho Street.

City of Sausalito
Community Development Department
420 Litho Street
Sausalito, CA 94965
(415) 289-4128
www.ci.sausalito.ca.us

CITY OF SAUSALITO
PLANNING DIVISION
MEMORANDUM

Date: March 14, 2012
To: Historic Landmarks Board (HLB)
From: Alison Thornberry-Assef, Assistant Planner
Subject: **HLB 50-year Memo for 33 Filbert Avenue (APN: 064-212-04)**

50-Year Memo

The review of the 50-year memo was continued to the March 14, 2012 Historic Landmarks Board meeting in order to allow of additional staff and HLB research regarding to properties associated with notable persons when a structure has lost its integrity.

Staff will present its finds research and findings at the March 14, 2012 meeting.

I:\CDD\PROJECTS - ADDRESS\F\Filbert 33\DR-EA-VA 11-273\50yr Review Staff Memo 3-14-12.doc

MEMORANDUM
CITY OF SAUSALITO

TO: Historic Landmarks Board (HLB)

FROM: Lilly Schinsing, Associate Planner

DATE: March 14, 2012

SUBJECT: 558 Bridgeway Requested Door Modification

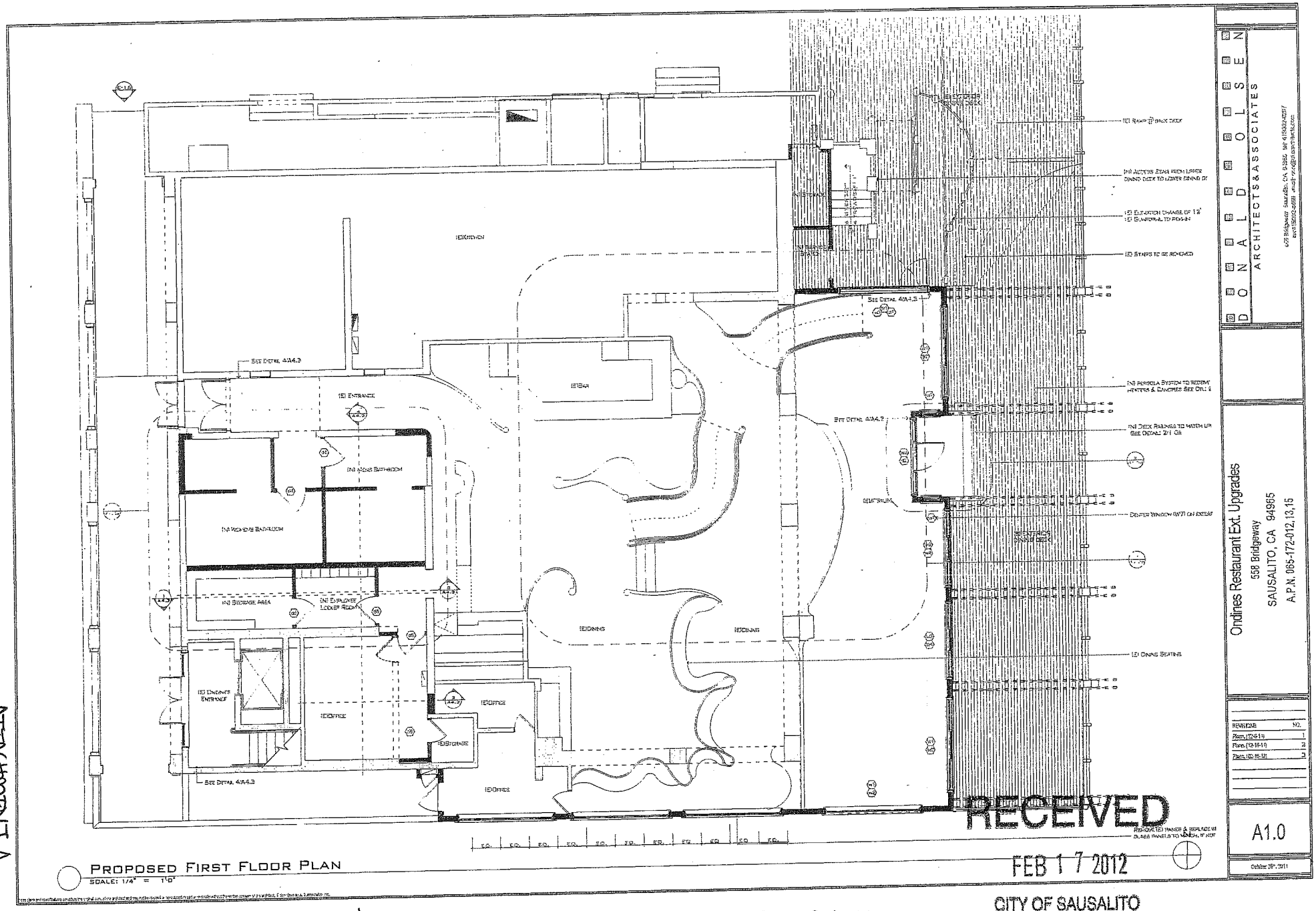
Eric Long, the applicant for the dining deck/façade improvements at 558 Bridgeway recently approved by the Planning Commission and Historic Landmarks Board on January 4, 2012 is requesting a modification to the eastern façade (see requested change on Sheets A1.0 and A2.0 of the plans date stamped February 17, 2012). The request is to inset the eastern doorway on the lower level dining deck (serving the Trident). The inset is requested in order to provide an exterior landing as required by the building code and still maintain a dining area immediately in front of the doorway.

Due to the minor nature of the request, the Community Development Director is reviewing the inset modification at an administrative level and is requesting HLB advice and recommendation regarding the floor plan and architectural elevation change.

Staff Recommendation: Review the modification and provide a recommendation regarding the requested change to the Community Development Director

Attachments:
A- Proposed plans date stamped February 17, 2012 (sheets A1.0 and A2.0)
B- Approved plans date stamped December 19, 2012 (sheets A1.0 and A2.0)
C- Existing plans date stamped December 19, 2012 (sheets A1.0 and A2.0)

I:\CDD\PROJECTS - ADDRESS\B\Bridgeway 558\DR-MUP-VA-SP 11-330\2012 Amendments\memo to HLB.doc



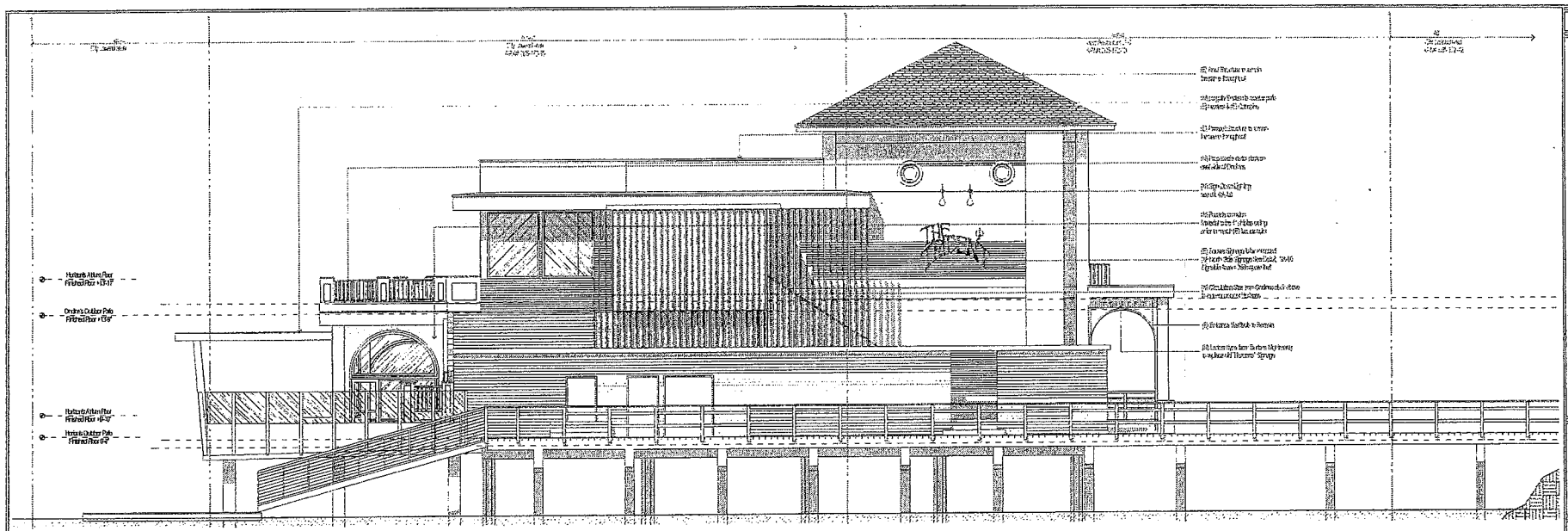
RECEIVED

FEB 17 2012

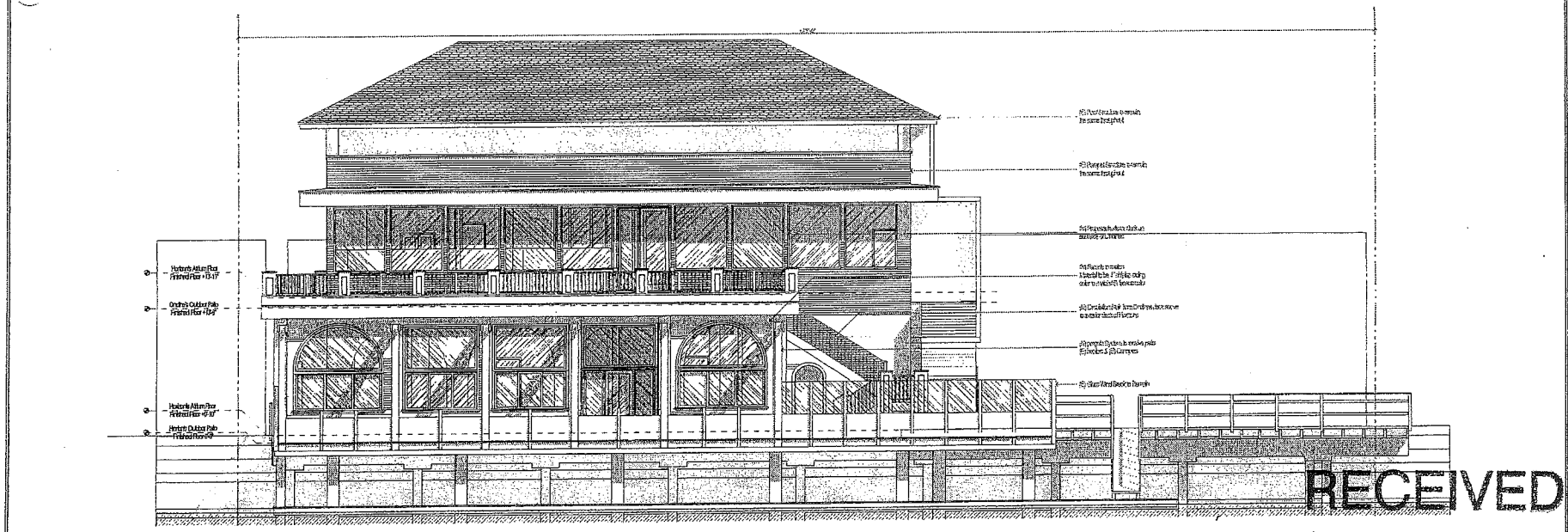
CITY OF SAUSALITO
COMMUNITY DEVELOPMENT

ATTACHMENT A
(2 PAGES)

3/14/12 REQUESTED MODIFICATION TO FIRST FLOOR PLAN



1 PROPOSED NORTH EELVATION
SCALE: 3/16" = 1'-0"



2 PROPOSED EAST ELEVATION
SCALE: 3/16" = 1'-0"

DONALDSON ARCHITECTS & ASSOCIATES

Ondines Restaurant Ext. Upgrades
558 Bridgeway
SAUSALITO, CA 94965
A.P.N. 065-172-012,13,15

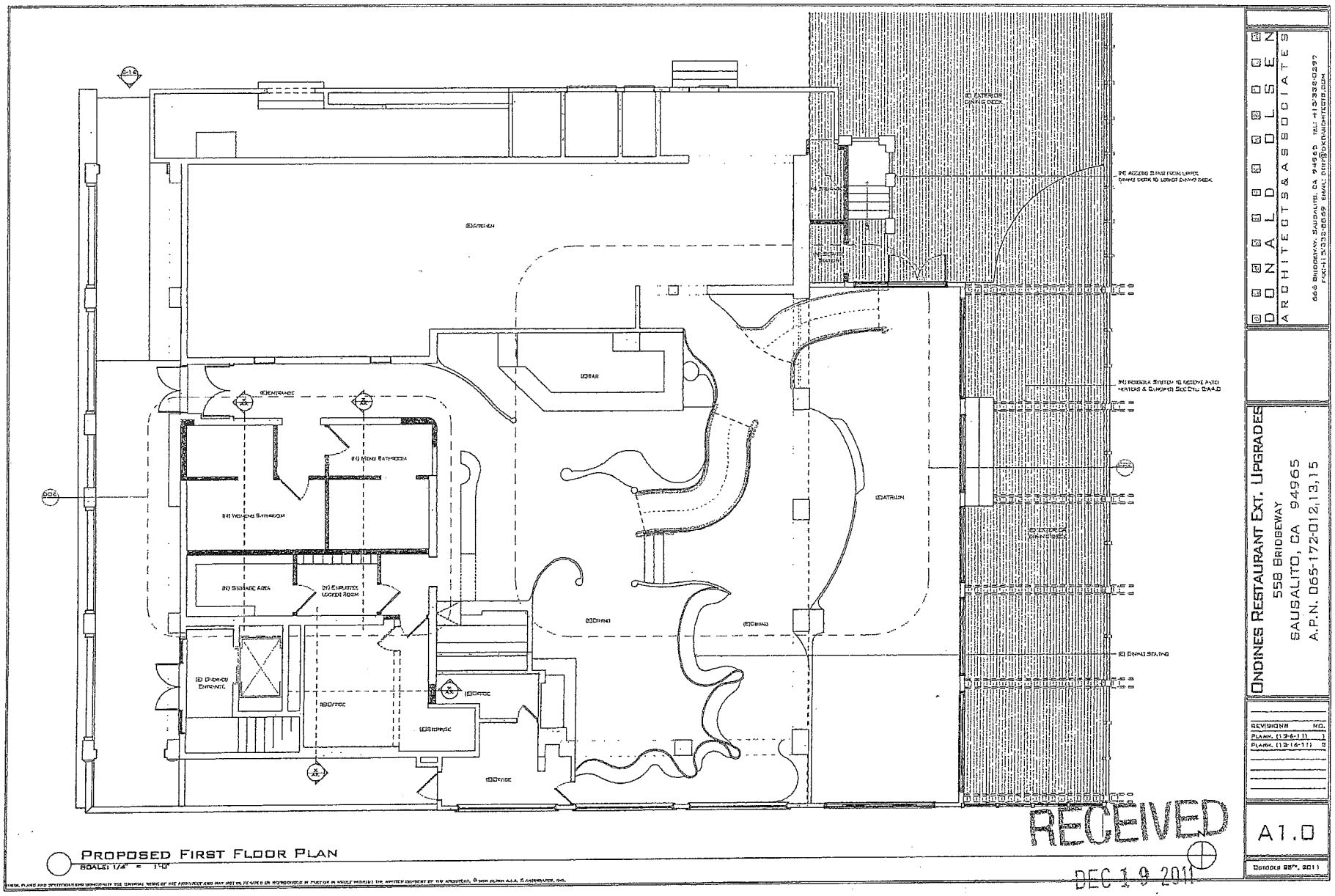
REVISIONS	NO.
Plans, 12-8-11	1
Plans, 12-15-11	2
Plans, 12-16-11	3

A2.0

October 28th, 2011

RECEIVED
FEB 17 2012
CITY OF SAUSALITO
COMMUNITY DEVELOPMENT

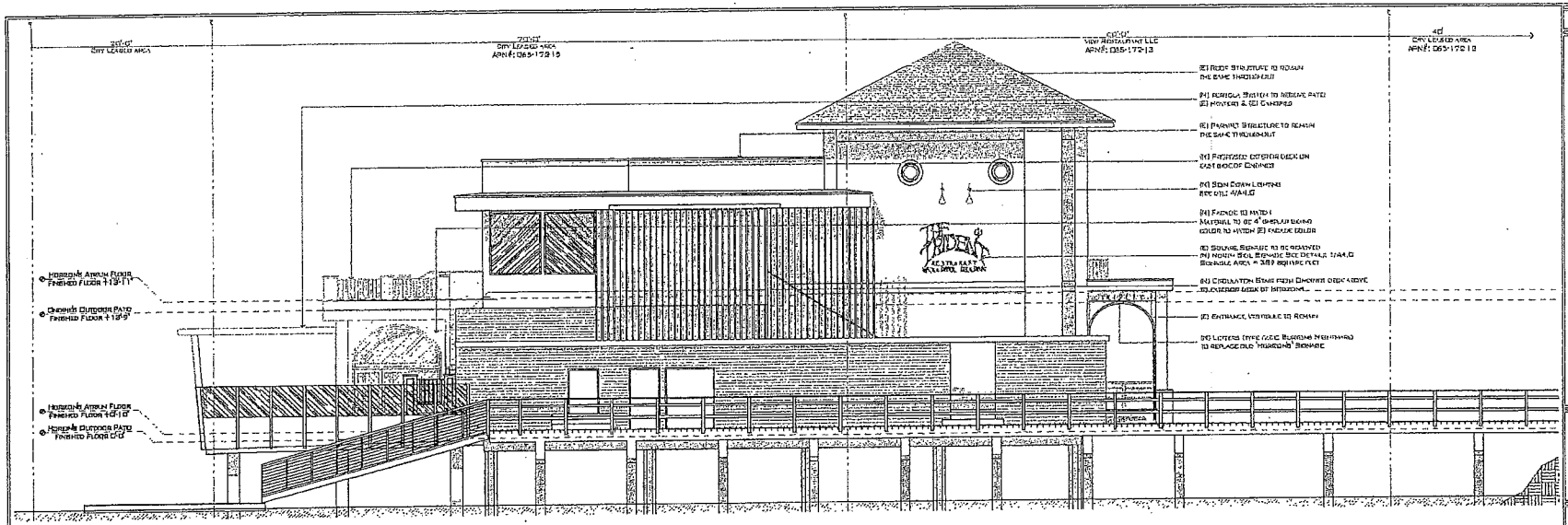
* 3/14/12 REQUESTED MODIFICATION TO EAST ELEVATION *



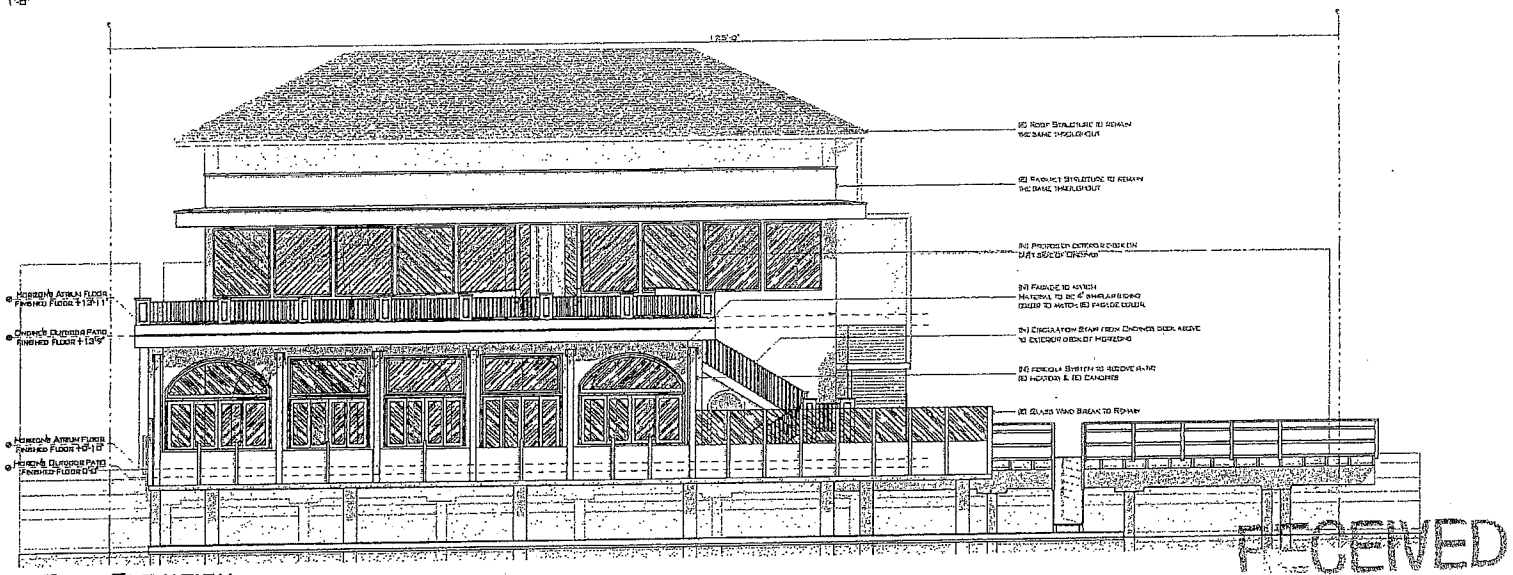
RECEIVED
DEC 19 2011
CITY OF SAUSALITO
COMMUNITY DEVELOPMENT

1/4/12 PLANNING COMMISSION AND HISTORIC LANDMARKS BOARD APPROVED FIRST FLOOR PLAN

ATTACHMENT B
(2 PAGES)



1 PROPOSED NORTH EELVATION
SCALE: 3/16" = 1'-0"



2 PROPOSED EAST ELEVATION
SCALE: 3/16" = 1'-0"

THESE PLANS ARE SPECIFICATIONS CONSISTENT OF THE ORIGINAL WORK OF THE ARCHITECT AND MAY NOT BE REPRODUCED OR REPRODUCED IN PART OR IN WHOLE WITHOUT THE WRITTEN CONSENT OF THE ARCHITECT, © DON GLENN A.I.A. & ASSOCIATES, INC.

DONALD OLSEN
ARCHITECTS & ASSOCIATES
558 BRIDGEWAY, SAUSALITO, CA 94965 TEL: 415-332-0297
FAX: 415-332-8869 EMAIL: DON@DONALDARCHITECTS.COM

ONDINES RESTAURANT EXT. UPGRADES
558 BRIDGEWAY
SAUSALITO, CA 94965
A.P.N. 065-172-012,13,15

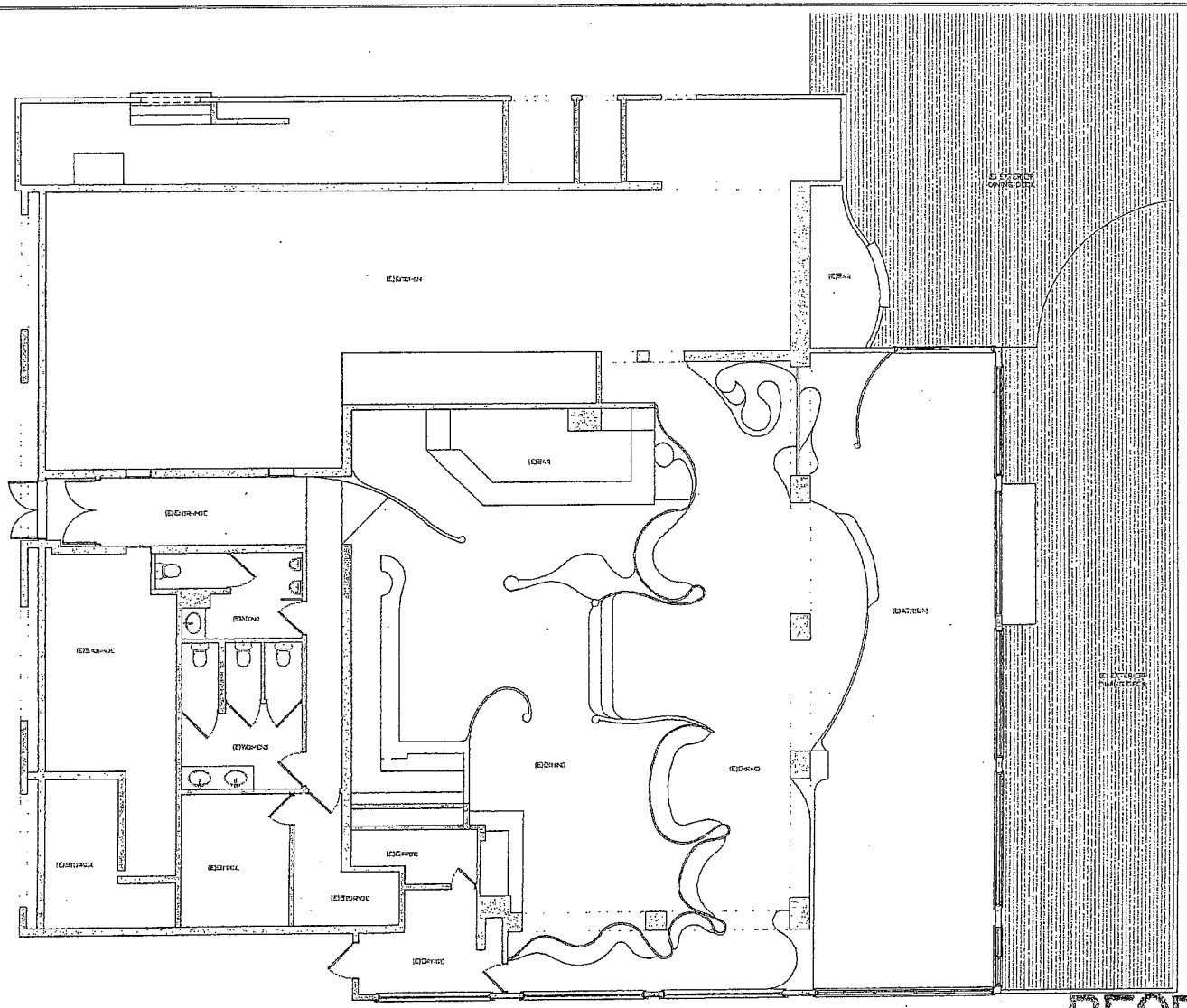
REVISIONS	NO.
PLANN. (12-6-11)	1
PLANN. (12-16-11)	2

A2.0

OCTOBER 25TH, 2011

RECEIVED
DEC 19 2011
CITY OF SAUSALITO
COMMUNITY DEVELOPMENT

* 1/4/12 PLANNING COMMISSION AND HISTORIC LANDMARKS BOARD APPROVED EAST ELEVATION *



EXISTING FIRST FLOOR PLAN
SCALE: 1/4" = 1'-0"

THESE PLANS AND SPECIFICATIONS REPRESENTING THE ORIGINAL WORK OF THE ARCHITECT AND MAY NOT BE REUSED OR REPRODUCED IN PART OR IN WHOLE WITHOUT THE WRITTEN CONSENT OF THE ARCHITECT. © 2011 DONALD OLSEN & ASSOCIATES, INC.

DONALD OLSEN
ARCHITECTS & ASSOCIATES
566 BRIDGEWAY SAUSALITO, CA 94965 TEL: 415-332-0297
FAX: 415-332-8869 EMAIL: DON@DONALDOLSENARCHITECTS.COM

ONDINES RESTAURANT EXT. UPGRADES
558 BRIDGEWAY
SAUSALITO, CA 94965
A.P.N. 065-172-012,13,15

REVISIONS	NO.
PLANN. 11-8-11	1
PLANN. 11-16-11	2

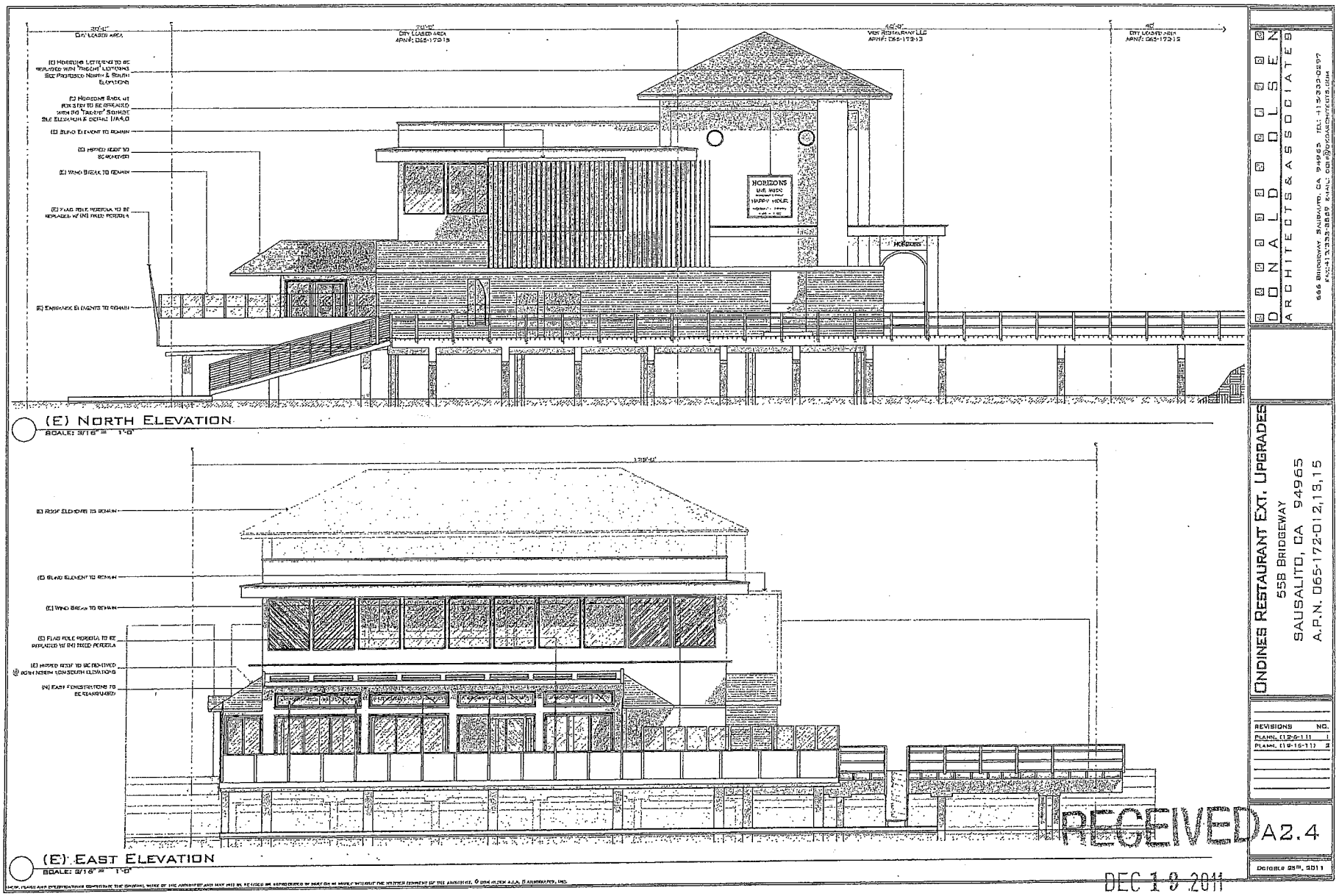
A1.5

OCTOBER 25TH, 2011

RECEIVED
DEC 19 2011
CITY OF SAUSALITO
COMMUNITY DEVELOPMENT

EXISTING FIRST FLOOR PLAN

ATTACHMENT C
(2 PAGES)



RECEIVED
DEC 19 2011
CITY OF SAUSALITO
COMMUNITY DEVELOPMENT

EXISTING EAST ELEVATION

CITY OF SAUSALITO
PLANNING DIVISION
MEMORANDUM

Date: March 14, 2012
To: Historic Landmarks Board (HLB)
From: Heidi Burns, Associate Planner
Subject: **HLB Minutes from February 22, 2012**

The draft minutes from the February 22, 2012 meeting will be presented at the March 14, 2012 meeting.

I:\CDD\Boards & Committees\HLB\Minutes\New Folder\memo re minutes 3-14-12.doc

CITY OF SAUSALITO
PLANNING DIVISION
MEMORANDUM

Date: March 14, 2012
To: Historic Landmarks Board (HLB)
From: Heidi Burns, Associate Planner
Subject: **Certified Local Government Annual Grant Funding Opportunity**

The State of California Office of Historic Preservation has released its Certified Local Government (CLG) grant application manual and forms (see Attachment). The City of Sausalito has qualified to apply for a grant to conduct projects such as a City-wide Historic Context Statement, nomination of the Downtown Historic Overlay Zoning District onto the National Register, a Historic Context Statement for Mid-century Houses within the City, etc. Applications are due at OHP by 5pm, Monday, April 23, 2012. Activities funded by the grants will cover the period October 1, 2012 – September 30, 2013.

The purpose of the agenda item is to determine if the HLB would like to apply for a grant and if so, which project would the HLB like to pursue. Please note, the CLG grants require matching funds. Therefore, selection of one of the existing historic priorities may be beneficial since the City Council has already committed to such funds.

I:\CDD\Boards & Committees\HLB\CLG Grants'\2012\CLG Grant Memo 3-14-12.doc

2012 California CLG Grants Manual

Prepared by Local Government Unit Staff
Office of Historic Preservation

GRANT APPLICATIONS MUST BE RECEIVED BY *5 pm*
Monday, 23 April 2012
OHP will not accept facsimile (FAX) or electronic mail submissions.
Incomplete application packages will not be reviewed.
Postmarks are not acceptable.

NOTE: This manual and all related documents and forms are available on **OHP's website** on the **CLG Grant Program** web page.

Live links in this manual are indicated by blue text which is underlined. Clicking on a live link should take you to the appropriate web page or online document. Should there be a problem with a link in this document, refer to the documents listed individually on the **CLG Grant Program** web page.

Information about the **Office of Historic Preservation** (OHP)

or the

Certified Local Government (CLG) Program

is available online

This publication has been financed in part with Federal funds from the National Park Service, Department of the Interior, under the National Historic Preservation Act of 1966, as amended, and administered by the California State Office of Historic Preservation. The contents and opinions do not necessarily reflect the views or policies of the Department of the Interior, nor does the mention of trade names or commercial products constitute endorsement or recommendation by the Department of the Interior.

Under Title VI of the Civil Rights Act of 1964 and Section 504 of the Rehabilitation Act of 1973, the U.S. Department of the Interior strictly prohibits unlawful discrimination on the basis of race, color, national origin, age, or handicap in its federally assisted programs. If you believe you have been discriminated against in any program, activity, or facility as described above, or if you desire further information, please write to:

Office for Equal Opportunity
National Park Service
1849 C Street, NW
WASHINGTON D.C. 20240

TABLE OF CONTENTS

ADMINISTRATIVE INFORMATION 4

STAFF CONTACTS 5

WHO MAY APPLY? 6

HOW MUCH MONEY IS AVAILABLE? 6

HOW ARE GRANT RECIPIENTS SELECTED? 7

BONUS POINTS *7*

WHAT WILL BE FUNDED? 10

General Plan Historic Preservation Elements *11*

Ordinance Revisions *11*

Historic Contexts and Surveys *12*

National Register of Historic Places Nominations *14*

Archaeological Preservation Plans *15*

Design Guidelines for Historic Properties *17*

Preservation Education and Outreach Programs *17*

Historic Structure Reports (HSR) and Mini-HSR Preservation Plans (HSRPP) *18*

Information Management *19*

WHAT WILL NOT BE FUNDED? 20

WHAT ARE THE SELECTION CRITERIA? 20

GOOD GRANT MANAGEMENT 23

CONFORMANCE WITH THE SECRETARY OF THE INTERIOR'S STANDARDS AND GUIDELINES *23*

CREATING A BUDGET 24

CONSULTANTS AND CONTRACT SERVICES *27*

Per Diem Rates *28*

LOCAL GOVERNMENT APPROVALS *28*

GRANTEE'S LEGAL OBLIGATIONS *29*

SELECTING AND MANAGING CONSULTANTS *31*

PREPARING AN RFP *31*

RFP CHECKLIST *32*

REQUESTING REIMBURSEMENTS *33*

CLG GRANT APPLICATION CHECKLIST 34

CLG GRANT APPLICATION 35

2012 GRANT APPLICATION NARRATIVE TEMPLATE 36

APPENDIX 38

FORMS TO BE INCLUDED IN APPLICATION PACKET *38*

ONLINE RESOURCES *38*

ADMINISTRATIVE INFORMATION

Administration

Grants will be administered in accordance with the *National Park Service Historic Preservation Fund Grant Manual,* October 1997; Office of Management and Budget Circulars A-87, A-122, A-102, or A-128; and this manual.

Grant Period

Work to be funded must be performed within the grant period, 1 October 2012 to 30 September 2013. Project planning, including drafting the RFP, may begin before your grant is awarded and a project agreement signed, **however**, you cannot be reimbursed for costs incurred before 1 October 2012.

Application Package

The grant application template and required forms are included in this guidance document and are available **online** as separate electronic documents. A complete application package consists of **3 sets** of the following documents:

- Grant Application Checklist
- Application Form with an original signature (one original and two copies of the form must be included in the package)
- CLG's General Plan Preservation Element, if available
- Résumés
- Signed certification forms (**One set must have original signatures; the other two may be copies.)**
- Any applicable maps, photographs, significance statements required for survey and National Register or California Register nomination grant applications (see "What Will Be Funded" section)
- **Applications will be prepared with no less than 12 point font.**

Deliver **3 copies** of the application to:

Office of Historic Preservation
Local Government Unit
ATTN: Lucinda Woodward
1725 23rd Street
Sacramento, CA 95816

STAFF CONTACTS

Need Help? OHP staff members are available to discuss your grant proposals. The following staff names, area of expertise, and their telephone numbers and email addresses are provided for your convenience:

Archeological Preservation Plans	Lucinda Woodward lwoodward@parks.ca.gov	(916) 445-7028
Budget/General Administration	John Thomas jthomas@parks.ca.gov	(916) 445-7024
Design Guidelines	Lucinda Woodward lwoodward@parks.ca.gov	(916) 445-7028
Historic Contexts & Surveys	Marie Nelson mnelson@parks.ca.gov	(916) 445-7042
Historic Structure Report	Lucinda Woodward lwoodward@parks.ca.gov	(916) 445-7028
Information Technology	Shannon Lauchner slauchner@parks.ca.gov	(916) 445-7013
Ordinance Revisions Preservation Elements	Lucinda Woodward lwoodward@parks.ca.gov	(916) 445-7028
Preservation Education & Outreach Programs	Lucinda Woodward lwoodward@parks.ca.gov	(916) 445-7028
Registration Programs	Jay Correia jcorr@parks.ca.gov	(916) 445-7008
Sustainability	Mark Huck mhuck@parks.ca.gov	(916) 445-7011

Additional Help: Two PowerPoint presentations are available online which provide important information about applying for and managing CLG grants.

How to Write a Great CLG Grant Application (PowerPoint)
How to Manage CLG Grants (PowerPoint)

WHO MAY APPLY?

Only local governments that have been certified by the grant application deadline, 23 April 2012, are eligible to compete. In addition, applicants must have completed their 2010 - 2011 annual end-of-year reports, which were due in the Office of Historic Preservation 31 January 2012.

- A CLG may submit more than one grant application; however a separate application must be submitted for each proposed project.

- Two or more CLGs may collaboratively propose a project that benefits more than a single CLG. This would enable the participating CLGs to leverage limited financial (cash and in-kind match) and staff resources and may, under certain circumstances, make it possible to exceed the $25,000 cap on single grants. One CLG must be designated as the lead agency for the purposes of the grant.

HOW MUCH MONEY IS AVAILABLE?

The Office of Historic Preservation (OHP) is required by federal law to pass through at least 10% of its annual Federal Historic Preservation Fund (HPF) allocation to Certified Local Governments for Historic Preservation Fund-eligible activities. California has elected to distribute this money to CLGs through the competitive CLG grant program. As of the publication date of this guide, the federal government had not approved the 2012-2013 Heritage Preservation Fund (HPF) appropriation. The exact amount of money that will be available for CLG grants is contingent on the amount OHP receives from the Federal Government. OHP anticipates that at a minimum, $170,000 will be available to fund grants for CLG projects in amounts from $2,500 - $25,000.

NOTE: Because OHP is required to pass through a specific amount of money as a condition of HPF funding, if one or more CLG grant recipients default or withdraw during the project period, OHP is placed at risk for failing to comply with the provisions of its contract with the NPS. Undistributed funds must be returned to the NPS at the end of the project period. This denies the citizens of California, in general, and CLGs, in particular, of the full benefit of federal funds allocated for their use, penalizes OHP, and threatens future funding levels for California. Thus it is critical that grant recipients inform OHP staff immediately should situations arise that have the potential to interfere with completion of the project and expenditure of funds as contracted. OHP can then attempt to redistribute the funds to other CLGs before the end of the grant period.

HOW ARE GRANT RECIPIENTS SELECTED?

Grants are awarded to CLGs on a competitive basis through a review process which considers the proposed scope of work, the plan to administer the project, the benefits of the proposed project to the community, and the budget. The State Historic Preservation Officer (SHPO) will convene an application review committee made up of both fiscal and program staff from the OHP. The committee will rank applications in order of their scores and recommend to the SHPO awarding grants for the highest ranked applications. The SHPO will seek the concurrence of the chair of the State Historic Resources Commission. The SHPO reports the results of the grants selection at the next regular commission meeting.

NOTE: *In recent years, OHP has awarded grants to CLGs who subsequently requested a reduction in the scope of work because the consultants who responded to the RFPs were unwilling to complete the project for the allotted amount of money. Because this action could be interpreted by federal auditors as a fraudulent act to secure a grant under false pretenses,* ***it is critical that applicants determine a realistic scope of work for the funds available for the proposed projects before submitting a grant application****.*

BONUS POINTS

Bonus points may be awarded for projects that address emerging issues or are consistent with the goals and objectives outlined in the ***California Comprehensive State Plan 2006-2010 Update*** *as* listed below.

Sustainability/Energy Conservation
Preservation is inherently a form of sustainable development. Goals identified by the Sustainable Preservation Coalition, which includes the California Office of Historic Preservation, include building reuse, reinvesting in older and historic communities, and retrofit of existing building stock. This approach preserves embodied energy and reduces demand for new infrastructure. Bonus points will be given for proposals that demonstrate the local government's commitment to the role of preservation in sustainability.

Examples of grant proposals include development of a brochure or public workshop that focuses on energy conservation techniques for historic buildings; preparing ordinance or code language that recognizes the role of preservation in the local government's strategy for sustainability, or development of an incentives program for retrofit of historic buildings that are consistent with the Secretary of the Interior's Standards for Rehabilitation or locally adopted preservation standards.

Disaster Preparedness and Response Planning: Fires and other recent natural disasters have demonstrated the need for inventories of cultural resources for disaster planning and response. Bonus points will be given for projects such as surveys, GIS mapping, and establishing protection criteria for historical and archaeological resources located in areas with a high potential for natural disasters. Proposals seeking bonus points in this area must indicate how the information will be made available to first responders.

Cultural and Ethnic Diversity: California has witnessed the growth and development of the most diverse collection of peoples and cultures found anywhere in the world. California is the first state since the abolition of slavery where more than half the population is non-white. OHP identifies the preservation and stewardship of historical and cultural resources associated historically with a culturally, ethnically, socio-economically diversified state population representing all levels of the spectrum as a shared goal among Californians.

Do you have a neighborhood historically associated with an ethnic community or individual resources such as a Portuguese Hall that warrant identification and evaluation? Ethnic context studies may develop from extant surveys, or in other cases, may lead to new survey efforts. Perhaps an individual building merits an historic structures report (HSR) to assist in preservation planning.

- For example, The City of San Jose has used CLG Grants to assist in developing a historic context for and surveying **Japantown** which is available online.

- The City of Marysville completed a Historic Structure Report for the **Bok Kai Temple**, the only Taoist temple surviving in the United States. Constructed in 1880 by Chinese immigrants, the Temple was listed by the National Historic Preservation Trust as one on the 11 most endangered places in the US. The HSR is available online.

Does your community have an agricultural background? You may want to survey properties historically associated with particular ethnic groups that have made up the farm labor population.

- For example, the City of Ontario used CLG grants to develop a context for and survey 8500 acres of the Agricultural Preserve recently annexed to the City. Comprised primarily of dairies operated by Portuguese, Dutch and Basque farmers, this area is slated for development as the New Model Colony. The context and survey data are used to inform General and Specific Plans. The **Dairy Industry context** is available online.

Note: *Bonus points in this category will be given only if the project addresses* ***historical*** *cultural or ethnic diversity. For example, a survey of a neighborhood which has become an "ethnic" neighborhood only in the last 15 or 20 years would not qualify for bonus points. On the other hand, a survey of a neighborhood that was built and predominately occupied by a cultural or ethnic minority more than 50 years ago may.*

Cultural Resources of the Modern Age: With the turn of the 21st century, a vast new landscape of property types opened up for consideration as potentially significant historic resources, represented in both high design and the vernacular and crossing all property types. These resources include: auto and roadside related properties; subdivision and tract housing; cold war properties; modern landscape design; and corporate and public architecture. Today there is a feeling, a sense of urgency, that if we do not begin to study and understand what is significant, we will lose important and irreplaceable modern resources through demolitions and alterations. OHP's website provides more

information and examples of organizations focused on **preservation of modern resources**.

OHP will give bonus points to proposed projects that promote the identification and preservation of historically and architecturally important modern resources, such as context studies, surveys, nominations, and historic structure reports.

- If the impact of the recent past on your community's built environment is not clearly understood, context studies are a good first step to identify important themes and property types.

- If earlier surveys in your community excluded mid-century properties, you may want to conduct a survey of properties from the recent past. Where a concentration of residential or commercial mid-century properties exists, you may want to pursue a National Register District nomination.

- Example: In 2010 San Francisco completed a historic context for Modern Architecture and Landscape Design using a CLG grants. This and similar contexts are available in OHP's online **Historic Contexts Library**.

Incentives: Finding ways to encourage and facilitate preservation is an important goal. Incentives may range from regulatory relief from compliance with current building codes to zoning-based incentives such as variances and fee waivers. For more examples of incentive local governments can implement, see **OHP's Incentives Bulletin**.

- Your community might revise its historic preservation ordinance to waive permit fees for work on locally designated properties when the work conforms to the Secretary of the Interior's Standards.

- Zoning standards might be amended to allow for a reduction in parking requirements for businesses in locally designated properties.

- For example, the City of San Juan Bautista's ordinance, **Section 11.13.100** provides a number of preservation incentives.

Cultural Landscapes: Because the interconnected systems of land, air and water, vegetation and wildlife which comprise historic designed and vernacular landscapes are often not recognized or well understood, cultural landscapes are increasingly threatened by new development in open areas as well as by revitalization and infill in older neighborhoods and downtowns. It is critical to identify and evaluate cultural landscapes and their components if they are to be considered in planning decisions and protected from irrevocable damage.

- Does your jurisdiction include economically-derived landscapes such as industrial or mining sites that may not be recognized because they are not perceived as aesthetically attractive? A historic context and survey may be in order.

- Does your community have a significant pedestrian mall or town plaza that might benefit from recognition in the National Register of Historic Places?

- The ***Santa Margarita Ranch Landscape Report*** is available online.

Archeology and Historic Preservation: Archeological resources offer tangible links to the community's shared heritage and play a valuable role in enriching the daily experience of the community. Elements of the landscape in every community, archeological resources include the ancient prehistoric material remains of Native American life that predate the modern establishment of a community as well as the historic material remains of each different phase of a community's development. Accumulations of such remains are typically found as inconspicuous deposits beneath the streets, sidewalks, buildings, and landscaping of a community's commercial and residential neighborhoods, and in a community's open spaces. You may want to review your local ordinance and, if needed, consider amending the historic preservation ordinance to include designation and protection of archeological properties.

Developing and implementing an archeological preservation plan will enable your community to better coordinate its efforts to manage the diverse values of its archeological resources and optimize its ability to comply with local, state and federal environmental regulations in timely and cost efficient ways. Archeological preservation plans should include four primary elements:

- Historical context
- Inventory of resources
- Significance criteria
- Protection measures

Additional information is available in the ***State Plan Update*** and in the ***Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation.***

WHAT WILL BE FUNDED?

General Plan Historic Preservation Elements

Ordinance Revisions

Historic Contexts and Surveys

National Register of Historic Places District or MPS Nominations

Archaeological Preservation Plans

Design Guidelines for Historic Properties

Preservation Education and Outreach Programs

Historic Structure Reports/HS Preservation Plan

Information Management

General Plan Historic Preservation Elements

OHP will consider applications for projects which will result in preparing a general plan historic preservation element or revising and updating an existing one. Given the CLG's important role in meeting both statewide and local historic preservation needs, OHP recommends that every CLG have a workable preservation element in its General Plan.

Historic preservation takes place within the broader context of overall community planning and development. Historic preservation programs and projects that are coordinated with other community programs and activities, including planning procedures and project approval decision making, are the most effective.
An important part of any preservation element is community involvement in its preparation and development. This is an opportunity for the community to develop consensus about its historic preservation program.

NOTE: *Information about and examples of* ***historic preservation elements*** *are available on OHP's web.*

TOP

Ordinance Revisions

OHP will consider CLG grant applications for projects that address one or a combination of the following:

- **revision of existing ordinances,**
- **ordinance-related code revisions,**
- **historical zoning amendments,**
- **public outreach and participation programs related to the adoption of a revised ordinance.**

The preservation ordinance provides the legal basis for a local jurisdiction's historic preservation program. All CLGs are required to have an ordinance in place that meets certain minimum requirements specified in the ***CLG Application and Procedures*** .

Many CLGs have local ordinances that are ten years old or more. These ordinances often do not address pressing preservation issues within the local community, and are based on designation and review definitions and procedures that are no longer consistent with current law and good preservation practice. This is particularly true since 1992 when the California Register of Historical Resources was created and established definitions, criteria, and procedures that apply to locally designated and identified resources. In addition, many extant ordinances do not address all resource types, including buildings, sites objects,

structures, historic districts, prehistoric and historic archeological properties, cultural landscapes, and traditional cultural properties.

Grant applications to update or revise local preservation ordinances should clearly address the following questions:

- How old is the existing ordinance?
- How is it inadequate?
- What portions of the ordinance will be addressed in a revision (e.g., commission powers and duties, commission size and composition, demolition provisions, etc.)?
- How will these changes address preservation needs and/or issues within the community?
- Does the revision of the ordinance require revision to other sections of the Municipal Code (e.g., zoning provisions, building code requirements, dangerous building provisions, etc.)? If yes, will these revisions be undertaken simultaneously or at a later time?
- How will the revision of the ordinance be accomplished (will it be revised in-house by planning staff; drafted by City Attorney/County Counsel, or will a consultant be hired)?
- What is the final product (a draft ordinance, an adopted ordinance)?
- Is there support from the appropriate decision-making bodies and/or officials?
- Is there a plan or program for community outreach and public participation in the revision and adoption process?

NOTE: *Information about and examples of* ***local ordinances*** *is available on OHP's web as is OHP's Technical Assistance Bulletin 14,* ***Drafting Effective Historic Preservation Ordinances****.*

TOP

Historic Contexts and Surveys

OHP expects that historic contexts will be developed prior to or in conjunction with survey projects proposed for funding in the CLG grant program. This is in accordance with the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation. OHP's supplemental guidance for developing contexts is available online: *Writing Historic Contexts* and *Preferred Format for Historic Contexts*.

Historic context statements provide the foundation for preservation planning and are critical for understanding, identifying, and evaluating historic resources. Based on one or more themes, a geographical area, and periods of significance, context statements describe the broad patterns of historical development of a community or region that are represented by the physical development and character of the built environment, identify important associated property types, and establish eligibility criteria and integrity thresholds Context-based surveys make it possible to evaluate resources for land use planning purposes without needing to research each individual property. An initial context statement should be developed during the early stages of survey planning in order to utilize cost-effective survey

methods that will result in the identification of significant resources. More developed contexts may be developed in conjunction with an ongoing survey, or as a separate activity.

Surveys provide information needed to make informed planning decisions, prioritize preservation goals and objectives, develop and implement land use policies, perform environmental reviews pursuant to CEQA, develop adaptive reuse and heritage tourism initiatives, and educate the public and increase the understanding of and appreciation for the built environment as a tangible reminder of the community's history. Surveys also assist in the identification of resources worthy of designation at the local, state or federal levels as well as properties potentially eligible for tax benefits or other preservation incentives.

Applications for survey projects must identify whether the survey will be a reconnaissance or an intensive level survey and the approximate acreage to be surveyed. A map of the proposed area to be surveyed must be included with application. Note: OHP is in the process of developing a new data platform with GIS components for the State Historical Resources Inventory. Survey projects will need to provide geo-coded mapping information; standards and format requirements are being developed as this manual is being prepared. Please check with the survey coordinator if you have questions.

Oral histories are often the only way to document community or neighborhood histories that are not identified through standard public records, but are richly represented in the memories of the people and their associated cultural values. An oral history project should be structured so as to inform the development of the historic context and/or survey

When determining a community's survey needs it is important to consider how much is currently known about the existing historical resources and whether there are specific property types or neighborhoods being threatened by development or other changes.

- If very little is known, it is best to prepare a historic context statement and conduct a reconnaissance survey to ascertain the extent and locations of associated property types. Concentrations of resources and individual resources identified in a reconnaissance survey as potentially significant can be documented in greater detail and evaluated in an intensive level survey.

- A thematic survey may focus on resource types facing the greatest potential for loss as the result of development efforts, neglect, vandalism or other disturbances. Such resource types might include gas stations, libraries, schools, coffee shops, barns or other agriculturally related structures, or unique property types associated with a particular community's historic development.

- Local surveys are planning tools which, ideally, should continue to enlarge and expand on previously gathered information. While an existing survey over five years old can provide valuable information, it is appropriate to update the survey to ensure that local planning and preservation decisions are based on the most current information available.

- Surveys should be updated regularly to consider properties that may have achieved significance since the survey was originally conducted and to incorporate resources that were initially overlooked. Updating an existing survey offers an opportunity to identify and document physical changes that have occurred to a property and its surroundings since the last survey, and to identify sites where historic properties have since been moved or demolished. Finally, as architectural values were often the only criterion for significance in older surveys and resources were frequently only evaluated for the National Register, a survey update should provide for reevaluating properties within broader historic contexts using local, California, and National Register criteria.

- Local government surveys should consider the presence of potential historic districts which may be eligible for national, state or local designation or may warrant special consideration in local planning such as the development of design guidelines, historical preservation overlay zones (HPOZs), conservation zones, or review by a historic preservation commission prior to granting permits for demolitions or other actions which could alter or destroy district contributors.

NOTE: *All surveys must be prepared according to* ***National Register Bulletin 24: Guidelines for Local Surveys: A Basis for Preservation Planning and*** *the* ***Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation****. Directions for completing DPR 523 forms are found in* ***Instructions for Recording Historical Resources****. Survey data will be incorporated into the statewide inventory maintained by OHP.*

TOP

National Register of Historic Places Nominations

The National Register plays a vital role in historic preservation as a planning tool; as a basis for tax act certification and economic revitalization; as a research tool, and for the recognition and measure of protection it bestows on designated properties. OHP encourages the listing of all properties that meet the National Register eligibility criteria. However, OHP prefers to fund nominations for properties that will benefit the most from designation and will benefit the most resources.

OHP will consider funding the nomination and registration of historic districts which have been previously identified in surveys that have already been incorporated into the California Historic Resources Inventory System. This reinforces the sequence outlined in ***Archeology and Historic Preservation: Secretary of the Interior's Standards and Guidelines***, that registration of historic districts should follow a survey.

OHP will also consider funding the nomination and registration of groups of resources using the **Multiple Property Submission (MPS) procedure**. As noted in ***National Register Bulletin 16B: How to Complete the National Register Multiple Property Documentation Form***, "the Multiple Property Documentation Form streamlines the method of organizing information collected in surveys and research for registration and preservation planning purposes."

- **When determining what resources to nominate it is important to consider** how the community will benefit and **whether the** property owners will support designation. The nomination process can help educate property owners and other members of the community about the economic, social and aesthetic values of historic preservation and the significance of the community's past as represented in the environment.

- Grant proposals for National Register nominations should provide evidence of community and property owner support.

- Example: The City of Pasadena used a 2006-2007 CLG Grant to develop a historic context for Resources of the Recent Past and conduct a reconnaissance survey. Several potential historic districts were identified. The next year, the City used another CLG grant to prepare a MPS using the previously developed context and nominate two districts to the National Register. In the future, they will be able to use the MPS to streamline the nomination of individually eligible resources and districts that meet the registration criteria established in the historic context.

NOTE: *National Register applications must be prepared according to* ***National Register Bulletin 15: How to Apply the National Register Criteria for Evaluation, National Register Bulletin 16A: How to Complete the National Register Registration Form****, and for Multiple Property Submissions,* ***National Register Bulletin 16B: How to Complete the National Register Multiple Property Documentation Form****.*

TOP

Archaeological Preservation Plans

OHP encourages local governments to develop and implement archaeological preservation plans. Archaeological resources offer tangible links to the community's shared heritage and play a valuable role in enriching the daily experience of the community. The development and implementation of an archaeological preservation plan enables a community to better coordinate its efforts to manage the diverse values of its archaeological resources and optimize its ability to comply with local, state, and federal environmental regulations in timely and cost efficient ways. Information about archaeological resources can be an important component in developing or enhancing a community's heritage tourism program, enabling a community to realize real fiscal dividends from its archaeological resource base while enriching the understanding and appreciation of its heritage.

Elements of the landscape in every community, archaeological resources include the ancient prehistoric material remains of Native American life that predate the modern establishment of a community as well as the historic material remains of each different phase of a community's development. Accumulations of such remains are typically found as inconspicuous deposits beneath the streets, sidewalks, buildings, and landscaping of a community's commercial and residential districts, and also in a community's open spaces.

Archaeological preservation plans should include four primary elements:

- An **historic context** which identifies and describes the thematic and chronological periods of the history of the area prior to the establishment of the community and the history of the community's establishment and development.

- An **inventory** of archaeological resources which identifies known archaeological resources in the community and areas in the community where archaeological resources are likely to be present. Historic context information can be joined with data derived from previous archaeological research in the community to develop a predictive model of archaeological resource types and locations. Subsequent fieldwork should test and refine the model, and the model should then become the basis for the community's initial inventory.

- **Significance criteria** based on the ability of the different archaeological resource types in the community's inventory to convey values that the community defines as significant on the local level as well as those values that the State of California and the United States define as significant.

- **Protection measures** that guide the treatment of the community's significant resources by balancing preservation and development needs. Protection measures may include but not be limited to the following:

    - Survey and evaluation plan to facilitate the identification of significant archaeological resources in the portions of a community where such resources are thought likely to be present but in which no survey work has been done;
    - A program to recognize significant individual archaeological resources and significant archaeological districts through local, state or national register designations;
    - Custom treatment plans to more efficiently manage individual resources and significant archaeological districts in complex regulatory contexts;
    - A protocol for the establishment of archaeological mitigation banks for regulatory consultation;
    - Protocols for the inadvertent discovery of human remains and other potentially significant archaeological resources; and
    - A plan to interpret the results of a community's preservation effort and to make such interpretation readily available to the public.

Such plans can be effective vehicles for protection of local archeological sites that contain otherwise unobtainable information about the community's past and can contribute much to the community's understanding of itself. Preservation planning for archeology, as with other aspects of historic preservation, is most successful when done pro-actively, rather than through regulatory review of proposed construction projects.

NOTE: *Archeological Assistance Technical Briefs are available from the* ***National Park Service's Archeology and Ethnography Program****. Archeological surveys must be carried out in accordance with* ***National Register Bulletin 24: Guidelines for Local Surveys: A Basis for Preservation Planning*** *and the* ***Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation****. Other useful sources include*

Strategies for Protecting Archeological Sites on Private Lands *and Thomas F. King's* ***The Archeological Survey: Methods and Uses.***

TOP

Design Guidelines for Historic Properties

OHP will consider CLG grant applications for projects that address the development of design guidelines or the revision of existing design guidelines. Design guidelines are the basis for local review of work proposals on historic properties. They can:

- Explain, expand and interpret general design criteria often found in the preservation ordinance;
- Provide a basis for making fair decisions;
- Protect the value of investments in historic properties and neighborhoods that might be threatened by poorly managed growth;
- Reinforce the character of a historic area;
- Ensure consistence in the design review process; and
- Provide predictability for anyone working on a historic property.

Guidelines may address design community-wide, focus on particular property types or styles, or treat particular neighborhoods or districts. Applicants must demonstrate a commitment to developing guidelines that are based on the principles in *The Secretary of the Interior's Standards for the Treatment of Historic Properties* and that are developed within a context of maximum public participation opportunities.

NOTE: Information about design guidelines is available in ***Developing Downtown Design Guidelines***, prepared by Janice Pregliasco, AIA, and in ***Working on the Past in Local Historic Districts***, an online National Park Service tutorial. See **Los Gatos Residential Design Guidelines** for an example of design guidelines prepared for a local government.

TOP

Preservation Education and Outreach Programs

OHP will consider funding the development of innovative and cost-effective educational and outreach programs that will promote historic preservation at a community level. Grant applications must demonstrate how the proposed program links a critical need or issue to the progression of activities outlined in the preservation plan/element in a way that is both innovative, cost-effective and reaches a wide audience. Developing educational materials and outreach efforts that provide homeowners with guidance regarding good design solutions, appropriate materials, and sources for such materials to help homeowners better preserve and maintain their older properties, developing a citizen's guide to historic preservation in your community which is available in

print and online and provides information about resources as well as processes, or collaborating with local educators to develop a curriculum module that engages students in learning more about the built environment and the community's history are examples of the types of projects that will be considered.

Example: San Clemente used a 2008-2009 CLG Grant to provide a series of five workshops for the public on the following subjects:

- History of San Clemente; understanding our historic contexts, including the recent past
- Mills Act process
- Secretary of the Interior's Standards for the Treatment of Historic Properties—What can I and can't I do?
- The Spanish Colonial Revival Architecture as Constructed in San Clemente
- Sustainability and Historic Preservation, featuring Donovan Rypkema

The City is also produced a series of informational brochures on such topics as

- Mills Act
- What Can I and Can't I Do?
- What is a Historic Resource? Historic Landmark?
- Cultural Heritage Permit Process
- Preservation Incentives

Example: The City of Los Angeles has used CLG grants to develop a **Public Participation and Outreach Program** for the three-year initiation phase of the citywide Los Angeles Historic Resources Survey which includes developing a Speakers Bureau and training volunteers to make presentations to community groups and organizations throughout Los Angeles and distribute materials developed to educate the public about historic preservation and garner support for SurveyLA. Print, video and website materials are being developed in several different languages so as to reach the broadest audience possible. A SurveyLa DVD has been developed for distribution and is available online and through City of Los Angeles Cable Channel 35.

TOP

Historic Structure Reports (HSR) and Mini-HSR Preservation Plans (HSRPP)

OHP will consider funding Historic Structures Reports and Mini-HSR Preservation Plans. While HSRs and Mini-HSR Preservation Plans include many of the same components (history, existing conditions, materials analysis, maintenance considerations, etc.), they are different planning documents. In an HSR, the history and existing conditions sections are given equal attention as the treatment and recommendations sections, while the focus of the Mini-HSR Preservation Plan is on the project-specific treatment and recommendations sections. Before choosing an HSR or Mini-HSR Preservation Plan, the local government should determine how the treatment recommendations will be used after the document is completed, i.e. will an extensive restoration occur or rather a select area of repair to a

building. Where funding is limited and a historic structure is at risk, a Preservation Plan can provide the information needed to efficiently and appropriately protect the resource.

It is important to include information in the grant application about the current status of the property and the need for a historic structure report or Mini-HSR/Preservation Plan which answers the following questions:

- What is the historical or architectural significance of the property?
- Was it included in a survey?
- How has the property been designated, e.g., local designation, National Register of Historic Places, California Register of Historical Resources, California Historical Landmark, Point of Historical Interest?
- Who is the owner of the property?
- Does the public use the property?
- What are the foreseeable uses of the property?
- Are there threats to the property?
- Under the ordinance, what jurisdiction does the local government have over the property?

NOTE: For more information see Historic Structure Reports & Preservation Plans: A Preparation Guide. Proposed work must conform to **The Secretary of the Interior's Standards for the Treatment of Historic Properties.** Historic Preservation Services' Preservation Brief #43, **The Preparation and Use of Historic Structure Reports**, should be consulted. A suggested **Historic Structure Report Format** is available on OHP's website. The City of Marysville used a CLG grant to prepare a Historic Structure Report for the **Bok Kai Temple.**

TOP

Information Management

OHP will consider CLG grant applications for projects that involve the innovative application of technology in acquiring, managing, and disseminating information about local historic resources. OHP encourages all local governments to make information about their historic preservation programs available online. Software costs and licensing fees are allowable project costs.

> **Example**: The City of Los Angeles used a CLG grant to work with OHP staff to develop format and content standards to submit digital data for the SurveyLA project. As a result, standards for digital data submittal are now available from OHP for use by other local governments and federal agencies.

NOTE: *OHP is currently in the process of rehosting the CHRIS system and developing the capability of electronic data exchange with CHRID users. Please consult with OHP staff regarding electronic data standards for proposed projects.*

TOP

WHAT WILL NOT BE FUNDED?

Due to limited funds, OHP will not fund proposals for the following types of projects:

- Construction, restoration, rehabilitation, or stabilization of buildings and structures
- Acquisition of historic properties
- Purchase of computers, or other equipment costing more than $5000
- National Register nominations for individual properties
- Travel or registration costs for staff or commissioner training.

WHAT ARE THE SELECTION CRITERIA?

A copy of the "Grant Application Score Sheet" used by OHP reviewers follows this section. Each application will be reviewed and scored by two or more reviewers, including a fiscal reviewer and a program reviewer. The narrative for each section should briefly address the following questions:

PROJECT SCOPE (60 Points)

Need(s) (25 Points): What local historic preservation need(s) does the proposed project address? How does the proposed project relate to the local government's preservation plan? Why is the proposed project a priority? How will the proposed project benefit the community? How does the project relate to the Statewide Historic Preservation Plan?

Project Activities (15 Points): What activities will be carried out to complete the proposed project? Who will be responsible for doing what? Does the proposed project use the most efficient, cost-effective way of addressing identified preservation needs?

Public Involvement (10 Points): How will the public be involved in the project? How will the product(s) be made available to the public?

Deliverables (10 Points): What product(s) will be derived from the project? Will the product(s) be in draft or final adopted form? How will the product(s) be used by the local government?

ADMINISTRATION (15 Points): Are the personnel and methods to be utilized clearly described and appropriate for achieving project objectives? Is the time schedule realistic?

BUDGET (15 Points): Are anticipated costs to accomplish project activities realistic, reasonable, and necessary? Is the cost basis for the budget justified and documented?

RELATIVE NEED (10 Points): OHP Reviewers will assess the relative need for the proposed project when compared with the other proposed projects in this grant cycle.

BONUS POINTS (10 Points)

If applying for bonus points, **explain why the project merits bonus points.**

DEVELOPMENT POINTS (5 Points)

In an effort to encourage CLGs who have not applied for a CLG grant within the last three grant cycles and CLGs who have applied but not received a CLG grant within the last three grant cycles (beginning with2007-2008) will be given an additional 5 points.

PENALTY POINTS (10 Points)

At OHP's discretion, up to 10 points may be *deducted,* based on how well the CLG has met CLG program requirements and previous grant contractual deadlines and terms, within the past three years

2012 CLG GRANTS SELECTION SCORE SHEET

APPLICANT **TYPE OF PROJECT**

Reviewer **Date** **OVERALL SCORE**

Project's cost, nonfederal share, and activities are eligible for a HPF grant.	Yes___ No___	
***Project Scope* (60 points)** NEED(S)	Applicant has identified the local historic preservation need(s) the proposed project will address. (10 points)	_____
	Applicant has explained how the proposed project relates to the local and state preservation plans and why it is a priority. (10 points)	_____
	Applicant has explained how the proposed project will benefit the community. (5 points)	_____
ACTIVITIES	Applicant has described the activities to be carried out using grant and identified who will be responsible for what. (10 points)	_____
	Applicant has demonstrated how project activities will efficiently and effectively address the identified preservation needs. (5 points)	_____
PUBLIC INVOLVEMENT	Applicant has explained how the public will be involved in project and how the deliverables will be made available to the public. (10 points)	_____
DELIVERABLES	Applicant has explained what products will be delivered. (10 points)	_____
	PROJECT SCOPE	**Total** _____
***Administration* (15 points)**	Personnel and methods to be utilized are appropriate for achieving objectives. Time schedule is realistic and achievable. (15 points)	
	ADMINISTRATION	**Total** _____
***Budget* (15 points)**	Anticipated costs to accomplish project activities are realistic, reasonable, and necessary. (15 points) **BUDGET**	**Total** _____
***Relative Need* (10 Points)**	OHP's assessment of relative need. **RELATIVE NEED**	**Total** _____
***Bonus Points* (10 points)**	Proposed project merits Bonus Points. (max. 10 points)	_____
***Development* (5 points)**	Applicant has not applied for or has applied but not received a CLG grant within the last three grant cycles. (5 points)	_____
***Penalty Points* (10 points)**	At OHP's discretion, up to 10 points may be deducted based on how well the CLG has met previous CLG grant contractual deadlines and terms.	_____
	BONUS/PENALTY	**Total** _____
		TOTAL _____

Score applications based on the following scales:

Scale	Not At All	Not Adequately	Generally True	Mostly True	Absolutely
5 Point	0	1	2-3	4	5
10 Point	0	1-3	4-6	7-9	10
15 Point	0	1-5	6-9	10-14	15

GOOD GRANT MANAGEMENT

Good grant management begins with planning for and developing the grant proposal for a specific project. Grant applications need to show a strong link between the preservation planning needs and priorities of the local government and the proposed project, as well as demonstrate an understanding on the part of the project manager and other key personnel of the most effective and efficient ways for carrying out the proposed project. It is important to design a project that can be completed within the project period and for the budget available. If the proposed project is a component or phase of a larger project, the grant application needs to indicate how the project will further the goals of the larger project.

OHP has prepared two PowerPoint presentations which are available online:

How to Write a Great CLG Grant Application (PowerPoint)

How to Manage CLG Grants (PowerPoint)

Federal grant recipients have certain responsibilities for project execution including managing consultants, making regular progress reports, financial administration, and meeting performance deadlines which are spelled out in the Scope of Work and the contract terms. Project staff members need to coordinate and communicate with commissions and boards as well as other departments within the city or county to ensure that legal, business and project goals and objectives are supported and approved in a timely fashion.

Good grant management also involves regular communication with OHP. OHP's concerns are twofold: meeting federal grant requirements and helping the local government get a good product that will serve the needs of the local government and warrant the costs associated with it. Quarterly progress reports from the local government are one of the ways to ensure that a project is moving to completion; they are also a way to identify if there are circumstances that threaten completion of the project. Communication with OHP should not be restricted to quarterly reports; OHP staff are available by phone or email when questions arise or potential problems emerge.

CONFORMANCE WITH THE SECRETARY OF THE INTERIOR'S STANDARDS AND GUIDELINES

All funded projects must conform to the applicable sections of ***Archeology and Historic Preservation: Secretary of the Interior's Standards and Guidelines*** *(SOIS,* as amended and annotated), including standards for

- planning,
- identification,
- evaluation,
- registration,
- documentation: historical, archaeological, architectural, engineering
- historic preservation projects,

- professional qualifications

NOTE: Because OHP is required to pass through a specific amount of money as a condition of HPF funding, if one or more CLG grant recipients default or withdraw during the project period, OHP is placed at risk for failing to comply with the provisions of its contract with the NPS. Undistributed funds must be returned to the NPS at the end of the project period. This denies the citizens of California, in general, and Certified Local Governments, in particular, of the full benefit of federal funds allocated for their use, penalizes OHP, and threatens future funding levels for California. Thus it is critical that grant recipients inform OHP staff immediately should situations arise that have the potential to interfere with completion of the project and expenditure of funds as contracted. OHP can then attempt to redistribute the funds to other CLGs before the end of the grant period.

CREATING A BUDGET

Budget items and requests for reimbursement are to be for whole dollar amounts: $10.00, not $9.87.

Grants will be matched on a 60% Federal/40% applicant basis. Other than Community Development Block Grant (CDBG) and revenue sharing funds, no Federal funds may constitute the match. The matching share must contribute directly to implementation of the grant proposal once the grant agreement is executed. In calculating match, use the following formula:

Amount of funds requested ÷ .6 = Total Project Cost
Total Project Cost x .4 = Required Matching Share

EXAMPLE: If you are requesting $15,000:
$15,000 ÷ .6 = $25,000 (total project cost)
$25,000 x .4 = $10,000 (required match)

- All matching share must contribute to the implementation of the undertaking being proposed. For example, not all of the commission or staff's time can be counted--only the time necessary for carrying out the proposed grant activity.

- Unless a volunteer meets the Secretary of the Interior's Profession Qualifications standards (36 CFR Part 61) for historian, architectural historian, architect, historic architect, or archaeologist, the volunteer's time is figured at minimum wage. For

example, a medical doctor with no historical training would still be allowed only minimum wage for work on the grant project.

- In-kind services must be documented hour-by-hour on daily time sheets with two signatures -- no exceptions! Grant recipients will use the volunteer time sheet form provided in the appendix. Payroll printouts (highlighted for easy OHP interpretation) are acceptable documentation for paid staff time.

EXAMPLE: Source of Non-Federal Match

Donor: City/County	Donor: City/County
Source: General Fund	Source: Volunteers
Kind: Employee Wages	Kind: In-kind
Amount: $1,680	Amount: $3,500

The following suggestions represent local activities and donations that can be used to match the grant and meet federal requirements. List each staff person and/or volunteer by title. Indicate how much time they will spend on project tasks and values associated with those tasks. Show how you determined these costs. Briefly describe the work to be accomplished.

Volunteers: Typical volunteer work includes field survey work, historic and architectural research, photography, mapping, typing, and bookkeeping. When volunteers who meet the Secretary of the Interior's Professional Qualifications standards (36 CFR Part 61) for historian, architectural historian, architecture, historic architecture, prehistoric archeology, or historic archeology donate their professional services, compute the value of the service at their professional rates, not to exceed the maximum salary of $89.41 per hour or $715.00 per day.

For volunteers who do not meet the Secretary of the Interior's professional qualifications, compute the value of the service at federal minimum wage. Show method of determining pay rate for volunteers. If a volunteer working on a survey project does not meet the Secretary of the Interior's professional qualifications standards, the minimum wage rate per hour must be used. Documentation may include previous invoices or federal income tax evaluations. **Call OHP if you have questions about the value of volunteered services.**

Example:

- Architects (2) 18 hrs. each @ $50/hr.** = $1,800.00 "Two architects who serve on the preservation commission will contribute eighteen hours each to help train volunteers in how to recognize architectural styles and review the architectural descriptions on survey documents."

** For purposes of this example. Actual salaries for architects vary widely.

Example:

- Volunteer with BA in History (1) 40 hrs. @ $20/hr. = $800.00. "Volunteer will do primary and secondary research under the supervision of the consultant."

- Volunteer with 2 years college, History major (1) 40 hrs. @ $9.00*/hr. = $360.00. (State explicitly how hours will be used.) * state student rate
- Volunteer with no experience (1) 40 hrs. @ $8.00**/hr. = $320.00 (State explicitly how hours will be used.) ** minimum wage

Agency Staff: Compute the value on the basis of usual salary and fringe benefits. Documentation in the form of time sheets or payroll vouchers must be kept for submittal with billings. Federal rules allow a maximum salary of $89.41 per hour, excluding benefits. Break out salary, benefits, and indirect overhead in document.

Example:

- Historian (1) 80 hrs. @ $30/hr.*** = $2400.00. "Historian will be responsible for approximately 50 hours of archival research and 30 hours of developing significance statements on survey forms."

  ***For purposes of this example, a typical hourly pay rate for City/County Historians

- Office technician (1) 80 hours @ $20/hr. = $1600.00. "Office technician will acquire parcel APNs and populate database in preparation for survey field work; mail letters to approximately 400 residents within survey project area, and print and distribute draft and final survey records to commissioners and others.

List each person to be paid directly from grant funds by title and salary, including fringe benefits. Do not include contractors and sub grantees here. **The grant application must include résumés showing experience and education for everyone who will be expected to work on the grant project throughout the year.**

Unless notified otherwise, salaries may not exceed $89.41 per hour or $715.00 per day; mileage may not exceed $.51 per mile (neither grant nor non-Federal match). Benefits, such as Social Security or retirement, health care, vacation, etc., should be separated out. (Note: These amounts may change as a result of federal policy changes.)

Office Space: Project work area, full-time coordinator's office, workshop-meeting rooms, or darkroom space. This donation is equivalent to local office rental space. Upon award of the grant, forms for documentation of evaluation, donated space, and material will be provided.

Donated Equipment and Materials: Includes such items as expendable equipment, office supplies, laboratory supplies, or workshop supplies. Values assessed to donated or contributed equipment and materials included as matching share must be reasonable and must not exceed the fair market value at the time of donation. The basis for determining the value must be documented and available for audit.

Other Donations: Travel costs (see Federal rate guide for California below), and printing costs such as duplication, manuals, instructions, maps and guides. (This donation does not include elaborate publications.)

Indirect Costs: Local governments may also charge an administrative or "indirect" cost for administrative services in support of staff salaries and benefits or government commissions (accounting, budgets, information technology, etc.) You must obtain from your business office and submit with your application a *Federal Rate Agreement* for your city or county with a federal agency. Charges for indirect costs may be used ONLY if a copy of the rate agreement letter from the appropriate federal agency accompanies the application. (Check with your business department.) Indirect costs include personnel, budget, business, accounting and other office costs which support a staff position. The maximum allowable indirect cost is 25% of the total grant amount even if rate agreement allows a greater percentage to be charged. HPF grant rules supersede any higher approved Federal rate.

CONSULTANTS AND CONTRACT SERVICES

If you will be using a consultant for the proposed project, you may find it helpful to informally contact several to get an idea of whether the proposed budget will be adequate to complete the project or what you can realistically expect to accomplish within your budget. Keep in mind that larger firms typically have higher overhead costs than small firms or individual consultants. On the other hand, large firms may have a wider range of skills and expertise to draw upon.

Consultants must be selected through a Request for Proposal process. OHP recommends a closed-end, fixed-fee contract to assure that the CLG receives the product contracted for within the project period with the funds available.

OHP must review and approve the RFP *BEFORE* it is distributed. Participant will need to provide OHP with an RFP distribution and response list (see appendix) and OHP must approve the consultant selection *BEFORE* the contract is executed.

Sole Source contracts for services costing more than $5000 are not permitted.

All contracts for consultants or other services such as printing or facilities, costing $5000 or more require a competitive bid process with three or more bids. A Competitive Negotiation and Small Purchases Contracting Documentation form is provided in the appendix for documenting this process.

No person employed as a consultant, or by a firm providing consultant services, shall receive more than a reasonable rate of salary compensation for personal services paid with HPF funds, or when such services are contributed as non-federal share. This salary shall not exceed the maximum daily rate of $89.41 per hour or $715.00 per day. Benefits and overhead are in addition to this amount. Hourly rates that do not define salary, benefits and other costs are considered all salary.

When consultant services rates exceed this rate, only the amount up to that rate can be charged to the HPF grant, or be claimed as non-Federal matching share costs. Where consultants are hired at salaries above that rate, the excess costs must be paid outside the historic preservation grant (and nonfederal share).

***NOTE**: The CLG Grant Application Checklist, Application Form, Certification Forms, Volunteer or Donated Labor Timesheet, and the Competitive Negotiation and Small Purchases Contracting Forms are available online at **CLG Grant Program**.*

EXAMPLE: Survey Contract

Category	Rate Used to Calculate Cost	Cash from Grant	Cash Match	In-Kind Services
Sr. Planner	300 hrs. @ $27/hr.		$8,100.00	
Fringe	36.18%		$2,930.58	
Clerical	30 hrs. @ $15.41/hr.	$462.30		
Fringe	34.98%	$161.70		
Research (closed end contract)	230 DPR 523A forms	$14,000.00		
Printing	1,880 @ $.20 each	$376.00		
Total		$15,000.00	$11,030.58	

Per Diem Rates

The **Federal Per Diem Rates for California** as established by the U.S. General Services Administration is available online. Rates vary county to county. You must use the rate for the location where the per diem is incurred. In some cases where the State's policies are more restrictive, those rates are quoted, including mileage.

- Actual costs of lodging and meals are reimbursed provided they do not exceed listed Federal Per Diem limits. Copies of receipts for lodging and meals must accompany disbursement requests. Rental cars and taxis costs are also allowable but only with receipts.

- These travel rates must be used in planning grant application budgets and for reimbursement requests. Costs higher than those shown in the **Federal Per Diem Rates for California** will not be reimbursed.

- **The maximum mileage reimbursement rate (as of 1 January 2012) is $.51 per mile.**

LOCAL GOVERNMENT APPROVALS

Because many communities require the approval of elected or other local government officials to receive grants or contract for services, OHP recommends that grant applicants

consult the appropriate individuals during the planning process and, as far as possible, obtain the necessary approvals prior to submitting the grant application. OHP also strongly recommends that the grant writer/applicant consult with local planning staff and members of the local preservation commission to gain input and support for the proposed project.

An authorized representative for the local government must sign original application. This should be the person who is legally responsible for executing all documents including the contract which assures a matching share, e.g., Director of Planning.

GRANTEE'S LEGAL OBLIGATIONS

Grant recipients will be required to execute a **legally** binding agreement which includes a scope of work and **Project Agreement General Terms**. Please Note the following:

- The agreement between the State and the CLG must be signed and returned by the CLG and received by OHP prior to September 15.
- The project period runs from October 1 to September 30 following.
- Work on the project **must** begin before Oct 30.
- If a consultant will be used, the consultant should be selected and under contract by October 30.

The scope of work spelled out in the contract between the local government and OHP cannot be substantively changed once the grant is awarded and the contract is signed. That is why it is important to have a good match between the proposed project and the resources needed to bring it to completion. **OHP's contract is with the local government; it is *not* with the consultant. If a consultant fails to perform as expected, submits work that does not meet the SOIS, or fails to delivers draft and final products by or before the deadlines set in the contract, etc., it remains the CLG's responsibility to correct the situation.**

Failure on the part of the CLG to begin the project in a timely manner or to perform as agreed to may result in OHP taking action through a Notice of Default to the CLG and rescinding the grant. Depending on the terms of the contract between the consultant and the city, a consultant's failure to perform could leave the city or county with costs that would not be reimbursed through the grant. OHP typically holds a significant portion of the grant amount in reserve and authorizes disbursement only after it has reviewed and accepted the grant products. OHP recommends that the local government set up their contracts with consultants with a payment schedule that provides the local government with similar control.

When a consultant and volunteers will be used, it is important to clearly delineate the responsibilities of the consultant and the volunteers and to protect the consultant from penalty if the volunteers fail to do their part. Whether or not volunteers or consultants do what is expected, the local government is expected to deliver the products on the schedule specified in the scope of work and contract with OHP.

Please review the **PROJECT AGREEMENT GENERAL TERMS** before completing an application. Highlights of the agreement provisions include:

- **Failure of the Participant to make satisfactory progress or complete the project within the specified period may result in withdrawal of funds. (Note: If Participant determines the full grant amount awarded will not be expended in completing the project the Participant should notify OHP immediately and before the end of the project period, so that surplus funds can be redistributed prior to the end of the project period (September 30, 2012).**

- **Both the State and the Participant may unilaterally terminate the agreement prior to an expenditure of funds.**

- **If Participant fails to comply with the terms of the contract, the State may give 30 day notice to comply. Failure to comply can result in one or more of the following:**

    - **Withholding of funds until deficiency is removed;**
    - **State may administer the project in which case the Participant will reimburse the State for costs and expenses incurred;**
    - **Termination of the agreement with no further payments to be made;**
    - **State may disallow costs; and**
    - **Participant may be disqualified from receiving future grants.**

- **The State shall not be obligated to provide federal funds for work products that, in the opinion of the State, do not conform to the terms of this agreement or to the applicable Secretary of the Interior's Standards.**

- **Principal Investigators or expert practitioners are required to meet the Secretary of the Interior's professional qualification standards, where applicable.**

- **The State must review and approve the RFP before it is distributed.**

- **After selection of an employee or contractor to perform professional work but before making any financial commitment to that person, the Participant shall submit the person's resume to the State for review. The State shall either approve or disapprove use of the person on the project within twenty (20) working days after receipt of the resume.**

- **Work on the project is to begin within 30 days of executing the agreement between the State and the Participant.**

- **If at any point in the project period, it appears that the Participant will not be able to complete the project within the project period or deliver the agreed-upon work products, the Participant shall notify OHP immediately. (With adequate notice and lead time, OHP can negotiate with the NPS to transfer or**

redistribute funds to other projects and amend contracts with participants to receive additional funding.)

- **Participant shall make available to the State draft reports, studies, plans, drawings, or other preliminary documents prepared during the project.**

- **Participant shall submit progress reports and interim work products as scheduled and/or as requested by OHP staff.**

- **The Participant shall obtain from the State prior approval for: (a) any substantive revision of the scope, objectives, or budget of the project; (b) changes in key persons, including all persons filling positions for which the incumbent must meet the Secretary of the Interior's professional qualifications standards; (c) additional contracts or hiring to perform activities that are central to the project; and (d) new or revised performance or reporting milestones.**

SELECTING AND MANAGING CONSULTANTS

Consultants providing services costing $5000 or more must be selected through a competitive bid process using a Request for Proposal (RFP). Start the RFP process as soon as possible after you are notified you are a grant recipient. Take time to develop a well-considered RFP so that interested consultants will have a clear idea of what you expect from them. OHP needs to review and approve the RFP before it is put out for bids. To ensure that the CLG receives an acceptable product at the conclusion of the project, OHP recommends that contracts with consultants be for a fixed rate rather than an hourly salary. Maximum hourly rate allowed by the Federal Government is $89.41 per hour or $715.00 daily rate. Because consultants will only do the work they are contracted for, it is important that the RFP and the contract between the consultant and the local government are clear up front about what both parties expect and will provide.

PREPARING AN RFP

The RFP serves a vital purpose beyond simply soliciting interest in the project. The RFP needs to provide enough information about what will be expected of the consultant so that consultants can determine their interest in project and whether the money available is adequate compensation for completing the project, or alternatively, what amount of work they would be willing to complete for the amount of money offered. Using consultants to complete a grant project successfully requires a clear understanding and agreement about the goals, expected outcomes, and responsibilities before the project begins. The process of developing a good RFP will help project managers clarify the purpose of the project, appropriate methodology, roles and responsibilities for the consultants and the local government, the steps needed to complete the project satisfactorily, and how deliverables will be evaluated. The check list below identifies most of the issues that should be addressed in an RFP. Individual local governments may have additional requirements.

RFP CHECKLIST

PROJECT:		
	Description of the project	
	Germane background information	
	Purpose and authority for the project	
	Funding sources	
	Amount of $$$ available for project	
	Time frame for project to be accomplished in	
	How public will be involved; role of consultant with public	
SCOPE OF WORK		
	Tasks and/or services consultants will be responsible for	
	Meetings consultant is expected to participate in	
	Deliverables - Draft and final products	
	Schedule - Milestones for drafts and progress reports	
	Formats for deliverables	
	Standards deliverables must meet	
	Tasks and/or services local government will be responsible for	
	Tasks and/or services volunteers will be responsible for	
	What will be expected of the consultant and the local government if the volunteers fail to deliver the anticipated components?	
PERSONNEL – CONSULTANT		
	Required skills, qualifications, and abilities for lead personnel	
	Desired skills and prior experience	
RFP RESPONSE SUBMITTAL		
	Proposal response requirements/format	
	Review process	
	Criteria that will be used to evaluate proposals	
	Time for decision	
CONTRACT		
	Terms of contract	
	Certifications	
	Licenses	
	Insurances	
	Billing - How and when payments will be made	

REQUESTING REIMBURSEMENTS

Instructions for completing Reimbursement Form 417 and the documentation needed to support grant expenditures will be explained in detail when the grant is awarded. Only project activities completed between October 1 and September 30 following are reimbursable. **Final reimbursement requests must be submitted by October 10 following completion of the project. Final reimbursement will be held by OHP until the project work products are determined to be satisfactory**.

Reimbursements may be requested at any time during the grant period and it is recommended that grantees request reimbursement at the time of any billings.

****

REMINDER

Please review these guidelines carefully before completing the application. If you have questions, contact OHP staff.

Two brief PowerPoint presentations are available online which may also be helpful. They are available on the **CLG Grant Program** webpage: **How to Write A Great CLG Grant Application** and **How to Manage CLG Grants**.

The ***Checklist***, ***Cover Sheet*** and ***Grant Application*** templates are available online as WORD files on OHP's website at **CLG Grant Program**

A complete grant application package consists of **3 sets** of the required documents and forms:

Checklist
Application
Certification forms
Copy of the CLG's Preservation Element, if available
Resumes and any required documentation.

One set must have original signatures; the other two may be copies. Incomplete application packages will not be reviewed.

OHP must **receive** (be in the office) a complete application package by 5:00 pm **Monday, 23 April 2012.** Postmarks are not acceptable. Electronic submittals are not acceptable.

CLG GRANT APPLICATION CHECKLIST

Include checklist in application package. Include documents in order listed below. Items in **bold** are available on OHP's **CLG Grants Program** Website at **www.ohp.parks.ca.gov/default.asp?page_id=24493**

_____ **CLG GRANT APPLICATION (Including narrative)**

_____ Copy of Preservation Element, if available

_____ Applicable Maps and Estimated Acreage (see Application Form) for Survey Projects

_____ Applicable Maps, Photographs, and Significance Statement for NR Projects

_____ Resumes of Key Personnel and/or Volunteers who will work on Project

_____ **PROFESSIONAL QUALIFICATIONS FORM FOR KEY PERSONNEL**

_____ **ENVIRONMENTAL CERTIFICATION**

_____ **CERTIFICATION OF PROFESSIONALISM AND CONFORMANCE**

_____ **ASSURANCES – NON-CONSTRUCTION PROGRAMS CERTIFICATION**

_____ **CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS, DRUG-FREE WORKPLACE REQUIREMENTS AND LOBBYING**

CLG GRANT APPLICATION
FISCAL YEAR 2012-2013

CLG APPLICANT: _____ **County:** _____

Contact Person	Responsible for PROGRAM Management	Responsible for FISCAL management
Name Title		
Address		
Phone		
FAX		
EMAIL		

LEGISLATIVE REPRESENTATIVES

	State Senator	State Assembly	U. S Representative
Name			
District			
Address			

Federal $ Requested _____

PROJECT: ☐ **Narrative Attached**

☐ Archeological Preservation Plan ☐ Design Guidelines

☐ General Plan Historic Preservation Element ☐ Ordinance Revision ☐ Historic Context

☐ Survey ☐ Reconnaissance ☐ Intensive Approx. Acreage_____

☐ Historic Structure Report/HS Preservation Plan ☐ Information Management ☐ National Register District or MPS Nomination ☐ Education & Outreach

*I have read and will ensure that the applicant CLG will comply with the "**Project Agreement General Terms**" and the Secretary of the Interior's Standards and Guidelines, as applicable.*

_____ _____

Authorized Representative Signature **Date**

_____

Name and Title of Authorized Representative

2012 Grant Application Narrative Template

Please use the following section headings and provide the content requested for each section in a brief but thorough narrative.

1. PROJECT SUMMARY
Summarize in one or two sentences the purpose of the proposed project. A more detailed description will be completed under Project Scope. Indicate if your proposed project addresses State Preservation Plan goals and warrants consideration for bonus points.

2. PROJECT SCOPE (60 points) In 2 pages or less clearly and concisely describe the proposed project. Be sure to answer the questions for each section below within the narrative:

- **NEED** (25 Points): What local historic preservation needs does the proposed project address? How does the proposed project relate to the local government's preservation plan? Why is the proposed project a priority? How will the proposed project benefit the community? How does the project relate to the Statewide Historic Preservation Plan?

- **ACTIVITIES** (15 Points): What activities will be necessary tasks to complete the proposed project? Who will be responsible for doing what? How does the proposed project remedy the identified preservation needs? Is the proposed project the most efficient, cost effective way of addressing those needs? How will the public be involved?

- **PUBLIC INVOLVEMENT** (10 Points): How will the public be involved in the project? How will the product(s) be made available to the public?

- **DELIVERABLES** (10 Points): What product(s) will be derived from the project? Will the product(s) be in draft or final adopted form? How will the product(s) be used by the local government?

3. ADMINISTRATION (15 points): Demonstrate that project personnel and methods are clear and appropriate to achieving project objectives.

- **PERSONNEL** (5 Points): List names and/or experience of individuals and organizations necessary to implement your project. Include current resumes for key project personnel.

- **SCHEDULE** (5 Points): Create a schedule/calendar for major project activities. It should be realistic and achievable. Distinguish between consultant and local government's activities.

4. BUDGET (15 points) Show that budget is reasonable to accomplish major project tasks and activities and that budget items are necessary to accomplish project activities. Provide a sufficiently detailed budget to show basis for cost items including a breakdown of staff and volunteer hours by task. Indicate how these numbers were calculated.

A. Amount of Federal funds requested

$_____

Amount of matching share

$_____

B. Source of Non-Federal Match

1. Donor _____

Source _____

Kind _____

Amount _____

2. Donor _____

Source _____

Kind _____

Amount _____

C. (Use a separate sheet to show detail if necessary.)

Cost Categories	**Rate Used to Calculate Cost** (# hrs @ $ per hr)	**Cash From Grant**	**Other Cash**	**In-Kind Services** Match activities must directly relate to proposed project
Contracted Services* (Specify)				
Salaried Employees* (Provide a breakdown of estimated hours by task).				
Volunteers* (Provide a breakdown of estimated hours by task)				
Supplies, copying, postage, etc. (Specify)				
Travel Costs **				

* Rate shall not exceed a salary of $89.41 per hour or $715.00 per day.

** Maximum allowable car mileage rate is $.51 per mile. See table in budget section for federal per diem and lodging rates for your area.

5. BONUS POINTS: (Up to 10 points)
If you are applying for bonus points, describe how the proposed grant project will carry out one or more of the goals of the State Historic Preservation Plan related to the preservation and stewardship of resources associated with historic ethnic and cultural diversity; resources of the recent past; preservation incentives; cultural landscapes; archaeology; or for projects involving the survey, inventory, and digitization of historic site information on cultural resources located in areas with a high potential for natural disasters.

6. DEVELOPMENT POINTS:
Indicate if the CLG is entitled to Development Points and why.

APPENDIX

FORMS TO BE INCLUDED IN APPLICATION PACKET

All of the documents listed below are available by clicking on the title as well as by accessing the **CLG Grants Program** webpage.

ENVIRONMENTAL CERTIFICATION

CERTIFICATE OF PROFESSIONALISM AND CONFORMANCE

ASSURANCES - NON-CONSTRUCTION PROGRAMS

CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS, DRUG-FREE WORKPLACE REQUIREMENTS AND LOBBYING

FORMS TO BE USED IN GRANT REPORTS

COMPETITIVE CONTRACTING DOCUMENTATION

VOLUNTEER OR DONATED LABOR TIMESHEET

ONLINE RESOURCES

All of the documents listed below are available by clicking on the title as well as by accessing the **CLG Grants Program** webpage.

ARCHEOLOGY AND HISTORIC PRESERVATION: SECRETARY OF THE INTERIOR'S STANDARDS

SECRETARY OF THE INTERIOR'S PROFESSIONAL QUALIFICATIONS

ENVIRONMENTAL COMPLIANCE REQUIREMENTS

FORMAT FOR HISTORIC CONTEXT STATEMENTS

HISTORIC STRUCTURE REPORT FORMAT

LOCAL PRESERVATION ORDINANCES

PROJECT AGREEMENT GENERAL TERMS

STANDARDS FOR ALLOWABILITY OF COSTS

RFP CHECKLIST

RFP CHECKLIST

POWERPOINT PRESENTATIONS

HOW TO WRITE A GREAT CLG GRANT APPLICATION (PowerPoint)

HOW TO MANAGE CLG GRANTS (PowerPoint)