



HISTORIC RENOVATION GRANT PROGRAM (HRGP) INSTRUCTIONS

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OVERVIEW OF THE GRANT PROGRAM

The Historic Renovation Grant Program (HRGP) is funded in accordance with Indiana Code 4-4-37-1.3 for the purpose of preservation or rehabilitation of historic property. Persons or entities interested in applying must demonstrate (1) they are an eligible recipient; (2) the scope of work meets eligible activity requirement; (3) the funds granted will have a significant impact on the overall preservation and rehabilitation of the structure; (4) the impact of the project to overall community development is explained; and (5) the project is ready to proceed upon grant award and all work will be completed within 24 months. In anticipation of increased demand, there may be revisions made to the distribution of these funds.

PROGRAM REQUIREMENTS

To be eligible for HRGP assistance, projects must meet certain minimum program requirements. Those requirements are as follows:

- The lead applicant must be any individual, partnership, firm, association, joint venture, limited liability company, or corporation or non-profit corporation or non-profit organization if the historic property will be used by the nonprofit organization or nonprofit corporation for the organization's or corporation's purposes and functions. The lead applicant must be able to show title/ownership upon grant award and will certify this is available upon application. Properties owned by Local Units of Government are not eligible for this grant program.
- The historic property must be:
 - Located in Indiana
 - At least fifty (50) years old;
 - Listed or eligible for listing at the time of application in the Indiana Register of Historic Sites and Structures (State Register); note that all properties listed in the National Register of Historic Places are also listed in the State Register

If applicant is unsure if property is listed or eligible for listing in the State Register go to <https://secure.in.gov/apps/dnr/shaard/welcome.html> for instructions on how to find State Register listing status and information, if applicable, or how to obtain a Determination of Eligibility from the Indiana Department of Natural Resources Division of Historic Preservation and Archaeology (DHPA). Please note that Determinations of Eligibility will only be issued for individual sites; there is no provision for determinations of eligibility for historic districts for the State Register. Additionally, a current determination of eligibility does not insure listing a property on the State Register at a later date.

- In addition, the historic property is to be:
 - Actively used in a trade or business;
 - Held for the production of income;
 - Held for the rental or other use in the ordinary course of the person's trade or business;
 - OR
 - Used by a nonprofit organization or nonprofit corporation for the organization's or corporation's purposes and functions.
- Eligible preservation and rehabilitation activities:
 - Are limited to the exterior. **Please note that while interior rehabilitation activities are not funded or reviewed as part of this program, any work done on the interior of the building, whether part of the scope of work for this project or not, can affect eligibility for listing in the State Register after project completion.**

- Include measures to sustain the form, integrity, and material of a building or structure. This includes the stabilization work and maintenance of historic building materials.
- For example:
 - Windows, doors, and historic entryways;
 - Brick rehabilitation and tuckpointing,
 - Roof replacement and rehabilitation
 - Exterior foundation rehabilitation
 - Rehabilitation of exterior historic architectural features
- Ineligible activities include:
 - Property acquisition
 - Payment of taxes
 - Enlarging or expanding existing structures
 - Real estate fees
 - Paving and landscaping costs
 - Sales and marketing costs
 - Any construction started or completed prior to grant award
 - Interior renovations
 - Equipment purchases
 - Increase value with intent to sell
- The maximum grant amount is no greater than one hundred thousand dollars (\$100,000) and no greater than fifty percent (50%) of the eligible total project costs. All grant requests needed to be rounded to the nearest dollar amount. The minimum qualified expenditures for preservation or rehabilitation expenditures for the historic property is five thousand dollars (\$5,000). **The maximum award is not intended to serve as a target figure for requests for grant assistance.** OCRA will review the level of grant assistance requested and will consider the appropriateness of the project’s scope, level of demonstrated need, and the financial resources of the applicant. **If OCRA determines that a lesser amount is appropriate, it may be necessary to revise the application before it is considered for funding.**
- Local match must be greater than or equal to fifty percent (50%) of the total eligible project costs. Local match must be provided by the applicant or a third-party and commitment of match funds must be documented in the application. Ineligible expenses may be allowed in the project scope but will not count towards the percentage of eligible local match.
- If the property has previously received HRGP, they will not be allowed to apply again within a three year timeframe from prior award.
- More than one (1) application may be accepted from the same person/entity; however, there is no guarantee that multiple applications will be awarded to a single person/entity.
- **All applicants must complete an Application for a Certificate of Approval (State Form 52889) in order to receive state funding for historic structures.** For more information and a copy of the Certificate of Approval visit <http://www.in.gov/dnr/historic/2829.htm>.

APPLICATION PROCESS & POST-AWARD PROCEDURES

The following process must be followed:

1. Interested applicant contacts their OCRA Community Liaison (CL) to discuss the project. CL's will assist applicants in determining project eligibility.

2. Complete a Request for Determination of Eligibility for the National Register of Historic Places and the Indiana Register of Historic Sites and Structures (State Form 56286), if needed, in addition to a Certificate of Approval (State Form 52889) through the Division of Historic Preservation and Archaeology (DHPA):

Prior to completion of either state form, you must check to see if your property is already listed on the Indiana Register for Historic Sites and Structures. Please visit the Department of Natural Resource's website for instructions on how to look up your property on the Indiana Historic Buildings, Bridges and Cemeteries (IHBBC) map and/or in the State Historic Architecture and Archaeological Research Database (SHAARD) here: <https://secure.in.gov/apps/dnr/shaard/welcome.html>

If your building is already listed on the Indiana Register of Historic Sites and Structures, either individually or as a contributing resource within a listed district, then you do not need to complete the Request for Determination of Eligibility form and can move on to the Certificate of Approval.

Determination of Eligibility submissions:

In order for DHPA to provide a determination of eligibility the Request for Determination of Eligibility for the National Register of Historic Places and the Indiana Register of Historic Sites and Structures form must be completed and all required attachments included. Please note that for this program staff is only able to make determinations of eligibility for individual properties, as there is no process for the Division of Historic Preservation and Archaeology to list districts only on the Indiana Register of Historic Sites and Structures. The form can be found here: <https://www.in.gov/dnr/historic/9449.htm>

This form must be submitted to DHPA in hard copy (address on form). Determinations of eligibility are reviewed once a month by DHPA staff so responses could take up to 30 days depending on the timing of the submission. Ideally the determination of eligibility would be processed prior to submission of the Certificate of Approval application, but the forms can be submitted at the same time with the caveat that the Certificate of Approval would not be reviewed until the determination of eligibility has been made. Please note that the ability of DHPA to make determinations is dependent upon completeness of form and accurate and comprehensive attachments. This form must be submitted and approved by DHPA before the HRGP application is submitted to OCRA.

Not every old building or resource is eligible for listing in the National or State Register. In order to be eligible for listing, a property should be at least 50 years old, maintain a certain degree of architectural integrity, and have significance at the local, state, or national level in one of the following four categories:

- **Events** – Properties associated with events that were important to our history
- **Persons** – Properties associated with the lives of persons significant to our history
- **Architecture/Design** – Buildings, structures, or objects with architectural or engineering importance. They may be the work of a master, or possess high artistic value. Groupings or properties may share a common heritage, such as a historic district.
- **Information** – Resources that have yielded, or may yield in the future, important information about our prehistory or history.

Certificate of Approval Information:

You will also need to prepare a Certificate of Approval application for your project. Indiana Code § 14-21-1-18(a) and (b) require that a certificate of approval be obtained before using state funds to alter, demolish, or remove an historic site or historic structure, if it is owned by the state or if it is listed in either the Indiana Register of Historic Sites and Structures or the National Register of Historic Places. The application must be submitted to the Department of Natural Resources, Division of Historic Preservation and Archaeology (“DHPA”). The form can be found here: <https://www.in.gov/dnr/historic/9449.htm>

Please note that all Certificate of Approval applications must be submitted in hard copy to the DHPA (address on form). In addition to the form itself you will also need to provide color photographs of all areas where work is proposed along with any information on proposed products to be used and architectural drawings when applicable. We recommend referring to the scope of work checklist on OCRA’s website for further guidance on required information. Once this information is received at DHPA they have 30 days to review and comment on the application. It is recommended that you allow at least 60 - 90 days for this process in case there are questions that require submission of additional information. This process may be completed prior to opening of HRGP grant round at OCRA and a copy of the DHPA response letter must be included with the HRGP application to verify completion of the review.

This form and all appropriate attachments must be submitted in a PDF format as part of the HRGP application.

3. Grant Application:

Grant applications should be submitted electronically as a single PDF document, with the exception of the Historic Renovation Grant Program Budget Table and other attachments, which can be submitted separately. Application materials should be sent to Program Manager, Jackie Swihart, in a single email message sent to jswihart@ocra.in.gov. Applications will be reviewed and awarded on a first come, first serve, and rolling basis until funds are depleted. Please allow the Office of Community and Rural Affairs 30 days to review the application. Denial notices will include reasons for denial and, if applicable, suggested areas for improvement. Unless notified otherwise, denied applicants may reapply when satisfactory changes to the proposed project are made.

4. Grant Agreement Execution:

The grantee will receive an Award Letter from the Lieutenant Governor. Prior to the award letter, a memo will be sent to the applicant noting important deadlines and milestones for the grant. In general, these milestones are as follows:

- Grant Award Date: date of award
- Lieutenant Governor’s Award Letter: arrives within 1-2 weeks of the award date
- Grant Agreement: two copies arrive within 2-3 weeks of the Award Letter
 - i. Agreement must be signed and original returned to OCRA per instructions
- Grant Agreement Execution: takes 6-12 weeks, depending upon return from grantee
- Contracts Signed with Consultants: Contracts may be signed at the grantees own risk prior to final grant agreement execution.

NOTE: The grant award is considered taxable income in the year that it is used. Awardees should consult with their legal counsel or accountant for more information.

5. Reporting, Drawdown of Funds, and Close-out:

- Quarterly Reporting, Budget Expenditures, and Benchmarks:
 - i. Upon grant award, a quarterly report form will be provided to the grantee which must be submitted according to the schedule outlined in the grant agreement
 - ii. Upon grant award, a budget expenditure form will be provided by OCRA which must be utilized to track all expenditures, including all related invoices and checks. This form will be submitted with each quarterly report as well as upon grant close-out.
- Up to fifty percent (50%) of the grant award may be drawn down after the Grant Agreement is fully executed.
 - i. Requests for payment will be processed only upon presentation of a Claim Voucher in the form designated by OCRA. Such Claim Vouchers must be submitted with the budget expenditure report detailing disbursements of state, local and/or private funds by project budget line items. An additional twenty-five percent (25%) of grant award may be drawn down upon documenting 75% project completion. Processing vouchers for payment can take up to 30 days.
- Completion Date of Grant: twenty-four (24) months after the grant award.
- Grant close-out: At least 30 days prior to the grant expiration date, grant close-out process must be finalized. Upon submittal of all close-out documentation, the final twenty-five (25%) of grant award funds may be drawn down.
- Expiration Date of Grant: one (1) year from completion date.

6. Project Monitoring and Compliance:

The State may conduct on-site or off-site monitoring reviews of the Project during the term of grant. The grantee shall give full access to the project site and to relevant documentation to OCRA or its authorized designees for the purpose of determining, among other things:

- whether project activities are consistent with those set forth in the grant application
- the actual expenditure of state, local and/or private funds expended to date on the project is in conformity with the amounts for each budget line item
- that the grantee is making timely progress with the project, and that its project management, financial management and control systems, procurement systems and methods, and overall performance are in conformance with the requirements and are accurately reflected in project reports

Failure to complete the project and expend State, local and/or private funds in accordance with the grant agreement may be considered a material breach, and shall entitle the State to suspend grant payments, and suspend the grantee's participation in State grant programs until such time as all material breaches are cured to the State's satisfaction.

- The expenditure of State funds other than in conformance with the grant agreement may be deemed a breach. The grantee explicitly covenants that it shall promptly repay to the State all funds not spent in conformance with the grant agreement.

HOW TO COMPLETE THE APPLICATION

1. Application Completion Checklist:

All items listed on the application checklist must be completed and marked complete before moving on.

2. Cover Sheet:

The cover sheet will be the first page of application and all blanks must be completed.

3. Project Summary

Provide a brief description of your project. This description will be used in print materials and press releases. The description should be no more than 4 sentences describing the overall project and what specifically the grant funding will be used to purchase.

Example:

Mark Banschbach is awarded \$100,000 to preserve the Speakman House. Located in Aurora, the Greek Revival residence has 17 rooms stretching across 7,000 square feet. In 1846, Stephen Speakman built this house on the banks of Laughery Creek, overlooking the Ohio River. The property is planned to be a social gathering place to host tours, special events and possibly a bed and breakfast.

4. Project Narrative:

There are ten (10) questions in the project narrative. Please supply answers that are clear and comprehensive as possible, but also include sufficient detail to fully define the project that will be completed. The answers to these questions will help OCRA determine the eligibility and scope of the work to be performed.

5. Project Completion Timeline:

In chronological order, what are the critical accomplishments that must occur for the project to be completed? The proposed timeframe for the project should include both starting and ending dates as well as a breakdown of any phases, tasks, or major parts of the project. Include all significant milestones, please include those related to grant award, drawdown of funds, final plans submission and completion. All projects awarded funding on this cycle must be completed 24 months after contract execution.

6. Project Scope of Work:

The project Scope of Work (SOW) is a key component to this grant application. A well-written SOW clearly defines the tasks/work that will be accomplished during the grant period. During the grant application process, the SOW can demonstrate to grant reviewers whether or not the grant applicant is aware of all the requirements a project may have, as well as the appropriate priority and planning involved.

Clearly provide a detailed project SOW and include any necessary related items. The scope of work must be based on estimates received by qualified, licensed professionals. Refer to the Secretary of the Interior's Standards and the National Park Service Preservation Briefs for technical assistance (<https://www.nps.gov/tps/how-to-preserve/briefs.htm>)

7. Project Budget:

The itemized project budget **MUST** provide as much specific information on project expenditures, from all funding sources, as is available. Specific dollar amounts for each line item must be attributed to each specific funding source. The budget must identify how grant funds from OCRA will be spent in addition to match and in-kind. Project budgets that are not itemized will not be considered for funding.

In order to ensure sufficient funds are available for project completion, all cost estimates utilized for budget preparation should be no older than 6 months at time of application. It is common for projects to be in the development stage for a period of time. The use of older cost estimates often results in bids coming in well over the project budget. All amounts used throughout the application must be accurate and consistent.

8. Project Budget: Description of Matching Funds:

Because OCRA grant funds can provide only a portion of the total costs of a project and **must be matched** at the ratio stipulated in the grant agreement, the grant applicant must make arrangements to provide the Matching Share. The Description of Matching Funds, must be completed and include all sources of match. The applicant must match 50% of the total eligible costs for the project. Please indicate the source of funds for all matching share.

9. Project Estimates:

This application requires at least one estimate. However, more than one estimate would allow the applicant to compare costs and project actual costs. All estimates shall be on the letterhead or forms used by a qualified contractor, tradesperson, or building product supplier. The property owner is encouraged to select the contractor, subcontractor or tradesperson(s) most qualified to perform the work planned. The choice of the contractor used is at the sole discretion of the property owner. Applicants are encourage to ask contractors for references of projects that they have completed on historic buildings. A change from the companies or individuals originally submitting estimated for your application is acceptable as long as the approved scope of work is completed. Selection of the lowest price is not required. In fact, a higher bid that utilizes more appropriate materials or provides evidence of skilled workmanship may increase your chance of being selected for funding.

10. Site Control Certification

All items need to be appropriately checked and the applicant will need to sign and date the site control certification form found in the application.

11. Required Application Attachments:

a. Proof of Eligibility: Include a copy of the response letter from the Division of Historic Preservation and Archaeology for the Certificate of Approval review verifying that the property is listed or eligible for listing in the National Register of Historic Places and that the work as proposed will meet the Secretary of the Interior's Standards.

b. Maps: Attach color maps identifying the location of the project and showing the relevant portion of the city or town. Be sure that streets, roads, highways, railroads, rivers, lakes, etc., are clearly identified and that the boundaries of the project area of any property to be altered are clearly outlined. If the property is in a designated Indiana Main Street community, you must include a copy of the Main Street defined downtown area map with your property clearly identified. If the property is listed as part of a National Register district please include the district map with the subject building highlighted. Instructions to find the map of the National Register district can be found at Division of Natural Resource's webpage, here: <https://www.in.gov/dnr/historic/4505.htm>

c. Photographs: Attach recent photographs (exterior and, if possible, interior) of any structures that may be fifty (50) years old or older and that could be impacted in any way by the project. Applications must include photographs documenting the current appearance and condition of the subject building's exterior, interior, site and environment prior to the start of the project. The photographs must include all areas where work is proposed. Where such documentation is not provided, review and evaluation cannot be completed, resulting in denial of the requested funding.

- **Number of photographs:** Applicants must use their judgment as to how many photographs adequately "tell the story" of their building. Large or complex projects often require more photographs to illustrate the various elements and areas the building and site.
- **Labeling photographs:** Attachments should follow the naming convention: **HRGP_ProjectName_AttachmentName** (example: HRGP_SpeakmanHouse_Photo1)
- **Clarity of photographs:** Photographs must be clear and must have sufficient resolution to show the details required for review of rehabilitation work. Photographs must be:
 - In color; Taken at a high resolution; Do not stretch, or alter the aspect ratio of photo
- **Format of photographs:** Photographs must be electronically uploaded as attachments with application.

d. Site Plan: For projects that involve ground disturbance or site work provide a site plan for the project showing the footprint of existing buildings or structures with the location of all construction, changes in right-of-way or earthmoving activities.

e. Plans or Specifications: When available, provide copies of architectural or engineering plans or specifications. Provide only those sheets that help to depict character defining features of the historic structure and how they will be altered. Reduce any plan or elevation sheets to no larger than 11" x 17". If pertinent notes on the sheets are too small to read in reduced form, then please provide a PDF copy of the drawings on CD. *** If there are other properties within or adjacent to the project area that are or may be at least fifty (50) years of age, then they should be identified on the map, site plans, and photographs so as to adequately show their relation to the project area and possible impacts of the project to that property.*

- **Drawings:** Drawings or sketches done by an architect or qualified professional are required for proposed work to show planned alterations or new construction. They must be sufficiently detailed to show existing wall configurations and anticipated changes. Documentation should include floor plans and, where necessary, sections and elevations. All drawings and sketches submitted with the application should be numbered and should be keyed to the application narrative. Do not include unnecessary drawings. Typically, mechanical, plumbing and electrical plans generally do not contain information that is pertinent to this review. However, the placement and size of these features often impacts the character of historic buildings. A detailed description of the location, size, and finish of these features should be included in the narrative. OCRA staff can assist with the determination as to what drawings would be helpful in a particular project.

f. Proof of Local Match Funds: In order to be considered for this grant the applicant must provide a letter or statement from their bank confirming adequate funds to cover their portion of the budget. Confirmation must be at a minimum the total of the local match funds. Please do not include bank account number.

h. Proof of Not-for-Profit Status: If applicant is a not-for-profit organization, a statement from the IRS or Indiana Secretary of State must be provided.

i. Other Supporting Documentation: Provide any additional documentation to show the importance of the project to the long-term community and economic development activities of the area or local Main Street group's strategy.