

**HAWAI'I CERTIFIED LOCAL GOVERNMENT PROGRAM:
PART 1:
HOW TO APPLY FOR AND MAINTAIN CLG STATUS**

DRAFT

**A PROGRAM OF THE
STATE HISTORIC PRESERVATION DIVISION**

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INTRODUCTION

A Quick Look at a Local Historic Preservation Program and the Certified Local Government Program

What is a local historic preservation program?

A local historic preservation program is established when a Hawai'i county passes a historic preservation ordinance. The purpose of the program is to identify, recognize and protect buildings, structures, objects, sites and districts that have demonstrated historic importance on a local, regional, state, national or even international level. The historic preservation program is developed and administered by an unpaid, volunteer, citizen commission, the historic preservation commission, which is usually assisted by a county planning employee.

What is the difference between a historic preservation commission and a historical or heritage organization?

The historic preservation commission should not be confused with local historical societies or heritage organizations. The historic preservation commission deals with the built and cultural environment. While the historical society may operate out of a historic property and be responsible for its care, its purpose often is the preservation of records (letters, photographs, and other documents) and objects, ranging from furniture to canoes. As administrators of the county historic preservation program, the historic preservation commission seeks to locate and document the significance of a wide range of buildings, structures and landscapes from modest workers' cottages to factories or impressive county courthouses, from architectural masterpieces to vernacular plantation villages. Parks, roads, sculpture, and prehistoric archaeological sites are of significant interest to the historic preservation commission.

Typically, the historical society is a private, not-for-profit corporation or organization with voluntary, dues paying members. The historic preservation commission is a governmental body, comparable to other county boards and commissions, receiving staff support and having an annual budget. The commissioners are appointed by the mayor and council.

The historic preservation commission uses the historic preservation ordinance, directives from elected officials and residents, county comprehensive preservation plans, and their by-laws to guide their operation and determine their goals and activities. The historic society operates under their articles of incorporation and bylaws, the members, not local elected officials and local legislation, determines the direction of the organization.

The county historic preservation commission has regulatory authority and reviews proposed changes to locally designated historic landmarks or to buildings and other improvements within

locally designated historic districts. The historical or heritage society as a private sector organization can never exercise such authority.

What is the Certified Local Government (CLG) Program?

In 1966, the National Historic Preservation Act established a nationwide program to encourage preservation and wise use of our historic resources. The Act as Amended has defined national historic preservation policy, established the National Register of Historic Places, created State Historic Preservation Officers (SHPOs) and defined the states' role in the preservation effort, and created the Certified Local Government program to encourage local governments to undertake local historic preservation efforts.

The [National Historic Preservation Act, as amended](#) set up a decentralized partnership between the federal, states and local governments. The partnership is based on the use of common goals, standards and guidelines when undertaking historic preservation efforts at the federal, state and local levels. These common goals, standards and guidelines are found in the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation.

The National Park Service, Department of the Interior, administers the federal government's historic preservation program. At the state level, the Hawai'i State Historic Preservation program is administered through the State Historic Preservation Division, Department of Land and Natural Resources. The Chairman of the Department of Land and Natural Resources serves as State Historic Preservation Officer but delegates administrative responsibilities to the Deputy State Historic Preservation Officer, a staff member of the Historic Preservation Division.

Purpose and Objectives of the CLG program are to:

1. Encourage historic preservation at the local level.
2. Encourage local governments to follow the Secretary of the Interior's Standards & Guidelines for Archaeology and Historic Preservation in developing and administering their local historic preservation programs.
3. Provide technical assistance through the state's historic preservation office to counties participating in the Certified Local Government Program
4. Provide participating counties with funding to underwrite various historic preservation activities.

How does a county set up a historic preservation program and get it “certified”?

In Hawai'i, the state historic preservation division's certified local government coordinator will assist local governments in setting up local historic preservation programs that meet CLG requirements and will process the local government's application for CLG status. The National Park Service reviews and gives final approval on the application.

Why should a local government have a local historic preservation program that is “certified”?

Across the nation, communities are using historic preservation as a springboard for economic revitalization and building community pride. They have discovered the benefits of an effective historic preservation program which can instill pride in the architectural and historical character of a community and bring its unique distinguishing attributes into focus. Preservation can stabilize and enhance property values and property tax revenues. Historic preservation has also been credited with encouraging investment and revitalization, attracting business and industry and creating new jobs. Preserving a community’s cultural heritage provides attractions for visitors and tourists and improves a community’s quality of life for its residents.

Many American communities are using historic preservation as a tool for community survival, stabilization and development. Hundreds of these participate in the CLG program. Historic preservation can be successfully joined with efforts to revive commercial districts as demonstrated by cities across our nation. Often the local historic preservation commissions have utilized historic preservation incentive and grant programs to revitalize older neighborhoods.

Historic preservation efforts are readily combined with tourism. Many communities in Hawai’i have developed tours and promotional materials introducing visitors to their historic sites. Also, several historic Hawaiian locations have been featured on either the [National Register of Historic Places Travel Itinerary](#) or the [National Trust for Historic Preservation's Dozen Distinctive Destinations](#).

The counties of Maui and Kaua’i are interpreting both their prehistoric and historic archaeological sites and historic structures as part of heritage tourism efforts. These counties have undertaken survey, evaluation and National Register nomination projects that focused on their diverse traditions and incorporated the materials into heritage tourism promotions.

Some of these efforts were funded with Certified Local Government program grants. This is a National Park Service grant program, administered by the State Historic Preservation Division. These grants support the work of the historic preservation commissions of certified local governments and are awarded yearly during a competitive grant process. These grants do not require cash match. Local governments can use volunteer hours and other in-kind donations as match. Modest projects carried out by county CLGs are leveraging returns to counties in terms of rehabilitation projects and downtown and neighborhood revitalization generating tourism dollars, jobs and tax revenues.

What does it cost to participate in the CLG program?

If a county government is willing to pass an ordinance to establish a historic preservation program, then it should be willing to provide fiscal, personnel and material support as well. If possible, the county government should assign a paid staff member to assist the historic preservation commission. Generally, staff perform the following for the commission: 1) receive

commission mail and distribute it to commission members; 2) serve as the recording secretary for the commission and insure compliance with Hawai'i requirements regarding open meetings; 3) assist the commission in preparing the annual report; and 4) handle the administrative aspect of designation and design review. If the commission obtains outside funding, the local government will need to allocate staff time for accounting and record keeping.

Material support of the commission usually includes: 1) providing meeting space; 2) administrative assistance in meeting state requirements for meeting; 3) basic supplies (letterhead, stationery, file folders, etc.), postage, printing/photocopying, use of a telephone; and 4) provide cash or soft match for grant projects. In addition, it is recommended that if the city or county maintains a website, that technical support be available to create and maintain a public website for the preservation commission.

A minimum yearly budget allocation is recommended. Typical line items in a historic preservation commission's budget are 1) travel expenses (registration, mileage, food and lodging) to attend historic preservation training sessions (there is an annual training requirement in the CLG program); 2) cost of publications and periodicals for their reference library; 3) cash and/or in-kind match for grant projects; 4) public education and technical assistance expense, this might include awards and workshops during Historic Preservation Month in May or educational sessions for contractors and property owners on rehabilitation techniques, 5) membership dues in the National Alliance of Preservation Commissions, the National Trust for Historic Preservation and/or the Historic Hawai'i Foundation.

Advantages of CLG participation

Counties that participate in the CLG program position themselves to make good use of their public and private capital improvements. In Hawai'i, a significant portion of the housing stock, commercial buildings, factories, and agricultural buildings are over 50 years old. While not all are significant historic properties, those that are should be preserved, protected and sensitively used. The certified local historic preservation program encourages a local government, its residents and property owners to locate significant historic properties and then take appropriate action to insure that these properties are managed, protected and used.

For the local government, this keeps the improvements on the tax rolls as well as opening the possibility of increased tax revenues, resulting from improvement and use. Historic preservation is an integral part of smart, sustainable development. Historic properties often are of unique design and made of materials that no longer are readily available. Demolition of the property removes the improvement from the lot and places the materials in the landfill—which can be costly. Rehabilitation of historic properties generates local jobs and sales, whereas new construction tends to pull revenues out of communities. Continued use of a historic property keeps residents in older neighborhoods and activity in historic downtowns. Adaptive use, which refers to using a historic building for a function different than the original one, can revitalize commercial, industrial, residential and rural areas with new occupants and new activities.

The CLG grant program provides financial assistance for historic preservation projects. CLG grant money can be used for start-up projects, called Planning for Preservation, which allow newly certified preservation commissions to work closely with a preservation specialist and learn about the historic properties in their jurisdiction, major themes/historic contexts in local history, resources and people in the state and their community which they can use, as well as develop a plan for future activity. CLG grants can also be used for planning, for survey and evaluation, for preparing National Register of Historic Places nominations, for developing a system for designating local landmarks and districts, for developing local legislation and procedures to protect properties, and for public education projects. Community Development Block Grants (CDBG) can be used as match for CLG grants. In summary, the purpose of the CLG grant program is to assist counties in their historic preservation efforts.

Serving the historic preservation needs of Hawai'i counties is a top priority at the State Historic Preservation Division. When a county achieves CLG status, the CLG program coordinator goes to that community and does an orientation session for the historic preservation commission, local officials, staff and the interested public. The State can provide a preservation library of *National Register Bulletins*, *Preservation Briefs* and other reference materials to newly certified historic preservation commissions. The CLG coordinator and other preservation staff are available for on-site visits to provide training, facilitate issues resolution, or perform other services related to the local historic preservation program. Another service to CLG communities is research services on historic preservation issues and questions. During the year, the State Historic Preservation Division schedules historic preservation training workshops for commissioners, elected officials, governmental staff and the general public. In addition, the State Historic Preservation Division encourages and assists CLGs and their residents to take advantage of state and federal incentive programs.

Advantages of National Register Listing

Local governments in the CLG program are encouraged to nominate properties to the National Register of Historic Places. National Register listing places a property on a nationwide honor roll. There are various state and federal incentives to encourage persons to rehabilitate and maintain National Register listed properties.

National Register listing does protect a property in respect to some federal and state assisted undertakings. These are activities or projects by federal agencies such as the Federal Highway Administration, the Environmental Protection Agency, the Corps of Engineers; or which involve federal funds or require federal licensing or approval. Some projects require state review also. National Register listing means that an evaluation has to be made before the project can proceed and if the project will affect the National Register property, then alternative designs have to be considered. Counties in the CLG program use and encourage use of the National Register and these incentives to further preservation objectives in their communities.

APPLYING FOR CERTIFIED LOCAL GOVERNMENT STATUS

HOW DOES A LOCAL GOVERNMENT BECOME A CLG?

Before a county can participate in the "Certified Local Government Program," it must have a county historic preservation program that meets the CLG program standards for certification. To establish such a program, a county must take the following steps:

1. Pass a historic preservation ordinance for county historic preservation programs.

For Hawaii counties, the Mayor and Council need to pass the historic preservation ordinance.

The Sample CLG Application Packet in the Appendices contains examples of an ordinance. The sample ordinance contains all of the sections needed to comply with federal and state CLG requirements and for a workable ordinance. For CLG status and participation, the ordinance must give the commission the powers specified in the samples

There is some flexibility in the wording of a local government's ordinance in the sections dealing with commission size and composition. However, when preparing your county's ordinance, please try to adhere to the wording of the samples. Each section meets a particular function. The purpose spells out the function of the program and is written broadly so that the historic preservation commission can operate in a wide range of activities. If an action of the historic preservation commission and the local government is ever challenged, the court will examine the purpose to determine if the action fell within the scope of the purpose. The definitions provide linkage to both the state and federal preservation programs.

The Commission structure and qualifications meet both federal and state requirements. The qualifications are designed to insure that persons serving on the commission are willing to put in the required time; to obtain historic preservation training; and to fulfill the advocacy role required of the historic preservation commission. In addition, the qualifications encourage counties to seek individuals with professional expertise so that the commission is up to speed on all preservation activities and responsibilities. The professional qualifications are particularly important since the commission has quasi-judicial responsibilities as they insure that designation and design review is being undertaken by knowledgeable individuals and their findings and decisions will be based on the application of the appropriate standards and guidelines. Having professional expertise on a commission as well as a trained commission helps insure that the commission's operations are procedurally correct and decisions are based on fact.

The powers of the commission meet federal program requirements. The powers encompass all of the activities that a commission must undertake to insure a viable local historic preservation program: identification, evaluation and registration to officially recognize historic properties and designation, design review, acquisition, education and consultation to insure that historic properties continue to contribute to the community through use, maintenance, and protection. Elimination of any powers would cripple the operation of the

commission and undermine the local historic preservation program. The additional powers, requiring consent of the city council or the board of supervisors, allow the commission to undertake a variety of specific tasks such as grant projects, temporarily holding property, and most importantly advising local governmental officials and staff on appropriate courses of action in historic preservation matters. Finally, historic preservation ordinances and resolutions must be malleable in order to meet changing conditions and circumstances. Consequently, clauses for revision or amendment as well as provision for revocation should be included.

Local Designation and Design Review: In Section 6E of the Hawaii Revised Statutes, the state and County governments' (CLGs) historic preservation commissions are given regulatory authority. This authority involves two kinds of activity. The first is designation or placing a landmark or district on the county governmental inventory of historic places. Second, the commission is given the authority to review and render a decision certifying the appropriateness of proposed alterations to the exteriors, visible from public right-of-ways, of designated historic properties.

The significance criteria, used to determine if a building, structure, object, site and/or district qualifies for local designation, should be consistent with the National Register of Historic Places significance and integrity criteria as well as ~~–~~HRS Section 6E. Hawai'i CLG Program policy is that locally designated properties also must be eligible for or listed on the National Register of Historic Places or Hawaii Register of Historic Places to insure administrative consistency, support of national case law and allow due process for the owner(s).

This review process for alterations of historic properties is commonly referred to as "design review." The commission will do regulatory review of changes ~~only to designated local historic landmarks and changes to properties within locally designated historic districts. Generally, National Register-eligible and listed properties (landmarks and districts) must be locally designated before they are subject to the commission's review. Those properties identified by SHPD as having historic significance. This is not strictly limited to those properties listed on the State and National Registers of Historic Places.~~

Changes to the exteriors of ~~landmarks~~ SHPD identified historic resources and districts can include changes to outbuildings and the surrounding grounds. Alterations that are subject to review may include changes to or installation of walkways, fences, retaining walls, driveways, parking lots, exterior lighting. Reviewable changes also include moving, construction of additions, and/or demolition of primary buildings and/or outbuildings, structures, objects and sites; as well as rehabilitation, replacement, restoration or reconstruction of the primary building and/or outbuildings, structures, objects and sites.

If the commission approves the proposed changes, a certificate of appropriateness is issued. The criteria used by a commission to review proposed alteration of locally designated buildings, structures, sites, objects and districts shall be clearly set forth in the local ordinance, and shall be as consistent as possible, with the Secretary of the Interior's Standards and Guidelines for the Treatment of Historic Properties.

2. The county government appoints members to the commission. Counties are required by Hawai'i Revised Statutes to have a minimum of seven persons on their historic preservation commissions. The appointment process should involve the public through public notices and meetings announcing the formation of the commission; so interested citizens have an opportunity to apply. Applicants should complete forms describing their involvement in history and historic preservation and certifying to their commitment to historic preservation.

Ideally, the historic preservation commission should be a mix of lay persons and historic preservation professionals. All commission members should have a demonstrated, positive interest in historic preservation. Federal CLG requirements call for a minimum of two preservation professionals and suggest these should be an architect and architectural historian if available. Historic preservation professionals are persons who meet the [Secretary of the Interior's Professional Qualification Standards](#). The Standards call for an advanced degree and professional, work experience in one of the following fields: history, architectural history, prehistoric or historic archaeology or licensed/certified architects with training/experience in historical architecture rehabilitation. In addition, individuals with degrees and work experience in urban or rural planning, American Studies, American Civilization, Cultural Geography, or Cultural Anthropology, Folklore, Cultural Anthropology, Curation, (building) Conservation, and landscape architecture are also recognized as preservation professionals, although Professional Qualification Standards have yet to be promulgated. To determine if an individual qualifies as a Preservation Professional, consult the [Secretary of the Interior's Professional Qualification Standards](#) and Hawai'i Historic Preservation Division staff.

In Hawai'i, historic preservation professionals are rare outside of the larger metropolitan areas and university communities. We suggest looking for individuals in the community who are interested in historic preservation and are willing to put in the time required for training, commission meetings, and working on projects. Potential candidates for slots on the historic preservation commission are owners of National Register listed properties; persons involved in community development through the chamber, economic development or Main Street programs. If they have the time, teachers, attorneys, bankers, and realtors can be useful members.

Be sure that commission members are present in the community for most of the year, are able to attend evening events and/or out-of-town training sessions. An active commission member of a preservation commission probably spends an average of eight hours a month on historic preservation work (meetings, work on projects, etc.).

Each applicant for a commission position must provide the local government with a biographical sketch or resume. The biographical sketches or resumes must contain information about education, training, employment, particularly if the applicant worked in historic preservation, and a summary of the applicant's involvement in historic preservation. If the commission applicant has no prior experience in historic preservation, he or she should attach a statement certifying that they will adhere to the provisions of the local ordinance/resolution as well as state and federal standards and guidelines while serving as a

historic preservation commissioner. The county government needs to maintain a file of commissioner information. Sample resumes and biographical sketches for a preservation professional and individuals without professional training in historic preservation are located in the appendices of this manual.

a) In addition to the biographical sketches or resumes, a completed Table of Commission Information (see Appendices) should be attached to the CLG application. The Table will identify the Commission Chairperson, Vice Chair, Secretary, Treasurer, and the commission member or local government staff person who will serve as the liaison between the commission and the state.

Once the county government has appointed commission members, the members are an official historic preservation commission. At their first meeting, the commission should elect officers (chairperson and secretary/treasurer). If the local government wishes to apply for CLG status, then typically, the commission is charged with creating a historic property inventory and a preservation plan. In addition, we recommend that one member or a county planning staff ~~official~~official be appointed to serve as liaison with the State CLG Coordinator in the State Historic Preservation Division, Department of Land and Natural Resources. Specify who that liaison or “CLG Contact” person is in the CLG application.

A county government may be certified without the minimum number or types of disciplines, if it can demonstrate in writing that it has made a reasonable effort to fill those positions. The sample application contains a sample disclaimer letter which should be submitted if the local government is unable to secure preservation professionals for commission membership.

When a discipline is not represented in the commission's membership, the commission shall be required to seek expertise in this area when considering National Register nominations and other actions that will affect ~~properties which~~properties that are normally evaluated by a professional in the discipline. This expertise may be gained through the hiring of a consultant or by other means that ~~SHPD the SHPO~~ determines appropriate. Additional expertise may be obtained by consulting the State Preservation Division, a professional affiliated with another CLG historic preservation commission, or a historic preservation consultant on an as-needed basis for conducting specific activities. This is a CLG Grant eligible activity. ~~(this is a CLG grant-eligible activity). The credentials of preservation professionals serving on the commission must be reviewed and approved by the SHPD.~~

This requirement may seem stringent since few Hawaiian counties have the full complement of active preservation professionals living within their boundaries. However, there are reasons for this stipulation. Experienced historic preservation professionals can help a newly formed commission understand the range of activities it is to perform and provide training. In addition, professionals on a commission enhance its ability to review and comment on projects. Finally, if the commission performs quasi-judicial review, preservation professions provide the commission with the expertise needed to prepare local nominations and undertake design review.

The SHPD shall make available historic preservation orientation materials and training to all county commissions. The orientation and training shall be designed to provide a working knowledge of the roles and operations of federal, state, and local preservation programs. This orientation can be accomplished by commission members' attendance in SHPD-approved historic preservation related conferences and workshops, by SHPD staff training sessions, or by SHPD's distribution of training materials to commissions.

The SHPO may, at his discretion or in response to local petition delegate further responsibilities to the certified local government as allowed by federal regulations.

3. Create a preliminary Inventory of Historic Properties. A historic property inventory is a file or ~~data-based~~database that contains information about historically significant sites, buildings, structures, objects and districts and survey-evaluation reports, National Register and local designation nominations, and other data pertaining to the built environment and cultural history of a county. For the CLG application packet, the historic preservation commission will prepare a list of properties in the ~~county which the commission feels~~county that the commission feels merit survey, evaluation and possible registry on a local system of designation and/or the National Register of Historic Places. The list may include locally significant historic properties that are endangered by development, changes in the use of property, or neglect. The list should include properties that currently are listed on the National Register of Historic Places. For each property on the list, please provide the name of the property and the street address or legal definition. Also for each property on the list, there should be a brief statement of the significance of the property or district and the historic context that it represents.

This is a preliminary inventory not a definitive or exhaustive one. Preparing the list allows the commission to plumb its knowledge of local prehistory and history and the existing historic properties that reflect it. Please consult the State Historic Preservation Division for an example of a historic properties inventory. An early goal of the CLG should be the creation of a highly functional county historic sites inventory system.

4. Create a Historic Preservation Plan if the county has developed a historic preservation component for its comprehensive land use plan, this should be submitted as part of the application.

If the county does not have a historic preservation component in its plan, then the commission must prepare and submit a historic preservation plan in the form of an action plan. The plan must contain the following:

- ✓ A proposed schedule for identification (survey), evaluation and registration activities in order to identify and recognize the city/county's historic properties.
- ✓ A proposed schedule for developing management and protective measures to insure that historic properties are maintained and used properly.
- ✓ A proposed schedule for training the historic preservation commission and for developing an educational program for the county to inform officials and residents about the local historic preservation program, historic properties, and appropriate historic preservation practices.

- ✓ Commission meeting place, time and schedule for the next 12 months;
- ✓ Name and address of the repository where commission records, including the historic property inventory, will be housed.

The action plan can be long-term, e.g., five years, or for a shorter period, e.g., a year. Remember the plan can be modified once the commission has been operating and becomes more familiar with their mission and responsibilities. The plan should be designed as a guide for the commission during its first year in existence. See the Appendices for an example of a plan.

5. When applying for CLG status, the commission assembles the following application packet, consisting of:

- a. A letter from the chief elected official requesting Certified Local Government status. The letter must be on official stationery and directed to SHPD CLG Coordinator, Department Land and Natural Resources
- b. A copy of the historic preservation ordinance;
- c. A list of commission members with their names, addresses, phone numbers (business and home), fax number, email address (business or home), terms of appointment (e.g., July 1, 2011 to July 1, 2012);
- d. The names of the Commission's Chairperson, Vice Chair, and Secretary;
- e. The name of the staff individual who will serve as the Contact/Liaison. The contact will receive all of the commission's mail from the State Historic Preservation Division. The contact is responsible for sharing that information with the commission in a timely fashion.
- d. Copies of the application information (biographical sketches or resumes) that the commissioners submitted to the local government when they were applying for positions on the commission;
- e. If there are no preservation professionals on the commission, the chief elected official should send a disclaimer letter, addressed to the SHPD CLG coordinator;
- f. A copy of the historic property inventory;
- g. A copy of the commission's historic preservation action plan.

The packet is sent to the CLG coordinator at the State Historic Preservation Division for review:

If the application packet is acceptable, the CLG coordinator will send the commission three copies of a Certification Agreement (see Appendices). This is an agreement between the local government and the state. It outlines the local government/commission responsibilities as a participant in the CLG program.

6. The chief elected official of the county government signs all copies of the CLG Agreement with the State. The mayor must sign and date all copies of the agreement. The copies are sent back to the CLG coordinator. Upon receipt of the signed copies, the CLG coordinator forwards them to the SHPO for execution. One signed copy of the agreement is

kept by the SHPO, one by the NPS, and the other is returned to the CLG for inclusion in their historic preservation commission's certification file.

7. **The CLG application is sent to the National Park Service for review and certification.** The SHPO writes to the National Park Service requesting certification for the local government. Normally, this is granted within two weeks from receipt of the request.
8. **National Park Service sends certification notice.** The National Park Service will send a letter to the chief elected official notifying the local government they are certified. That letter should be kept in the commission's file.

Hawai'i CLG Program Requirements

State law, HRS Hawaii Section 6E-13 grants counties authority to create historic preservation programs and county historic preservation commissions.

County Historic Preservation Commissions:

1. Must be established by ordinance,
2. The Mayor and Council appoint individuals to the Commission.
3. Commissioners must either reside in the county or own property located in the county.
4. Member appointments should be made with due regard to geographic diversity
5. County historic preservation commissions shall have no fewer than seven (7) members.

APPENDICES

SAMPLE CLG APPLICATION PACKET

Please note the sample materials contain instructional information. When preparing final copies of the ordinance/resolution and letters, be sure to delete this instructional information. The instructional information is in **boldface print**.

SAMPLE APPLICATION LETTER On County Letterhead

State Historic Preservation Division
601 Kamokila Blvd, Suite 555
Kapolei, Hawai'i
96707

Re: Request for Certified Local Government Status

Dear Mr.:

In accordance with the National Historic Preservation Act of 1966, as amended, and the Certified Local Government Historic Preservation Program in Hawaii, I hereby request Certified Local Government status for (insert **NAME** of county)'s historic preservation program.

Enclosed are:

1. A copy of the county historic preservation ordinance including any amendments;
2. A list of locally recognized properties and districts, accompanied by brief statements on their historical significance, and street address;
3. A copy of the local preservation plan, if available, or a statement describing the long-range goals of the historic preservation commission and proposed activities to achieve the goals;
4. A list of the members of the historic preservation commission and completed biographical sketch forms for non-professional members and **resumes** for professional members;
5. A disclaimer letter regarding the absence of professionals on the commission. **(include this statement and the disclaimer letter only if none of the commission members meet the Secretary of the Interior's Professional Qualifications Standards);**

Submitted to demonstrate that (insert the name of county) has met the requirements for local government certification, as described in the program guidelines.

I understand that an additional requirement for certification is execution of a written certification agreement between the State of Hawaii and **(insert name of county)** specifying the responsibilities of the local government, and that upon certification **(insert name of county)** will be eligible to apply for special Certified Local Government matching grants to be used for eligible local historic preservation projects.

(Signature of mayor)

(Typed Name and Title)

Date

ORDINANCE (SAMPLE; SEE SHPD FOR OTHERS)

AN ORDINANCE ESTABLISHING A HISTORIC PRESERVATION COMMISSION FOR THE COUNTY OF _____, HAWAII; PROVIDING FOR THE RECOGNITION AND PROMOTION OF HISTORIC SITES AND DEFINING POWERS AND DUTIES OF THE COMMISSION.

BE IT ORDAINED BY THE COUNTY COUNCIL OF _____:

Section 1: Purpose and Intent

The purpose of this ordinance is to:

- a. Promote the educational, cultural, economic and general welfare of the public through the recognition, enhancement, and perpetuation of sites and districts of historical and cultural significance;
- b. Safeguard the County's historic, aesthetic, and cultural heritage by preserving sites and districts of historic and cultural significance;
- c. Stabilize and improve property values;
- d. Foster pride in the legacy of beauty and achievements of the past;
- e. Protect and enhance the County's attractions to tourists and visitors and the support and stimulus to business thereby provided;
- f. Strengthen the economy of the County;
- g. Promote the sensitive use of sites and districts of historic and cultural significance as places for the education, pleasure, and welfare of the people of the County.

Section 2: Definitions

- a. Commission. The **(Insert name of County)** Historic Preservation Commission, as established by this ordinance.
- b. Historic District. An area which contains a significant portion of sites including archaeological sites, buildings, structures, objects and/or other improvements which, considered as a whole, possesses integrity of location, design, setting, materials, workmanship, feeling, and association, and
 1. embodies the distinctive characteristics of a type, period, or method of construction, or that represents the work of a master, or that possesses high artistic values, or that represents a significant and distinguishable entity whose components may lack individual distinction; or
 2. is associated with events that have made significant contributions to the broad patterns of our local, state or national history; or
 3. Possesses a coherent and distinctive visual character or integrity based upon similarity of scale, design, color, setting, workmanship, materials, or combinations thereof, which is deemed to add significantly to the value and attractiveness of properties within such area.
 4. is associated with the lives of persons significant in our past; or
 5. has yielded, or may be likely to yield, information important in prehistory or history.
- c. *Historic Landmark. A site including archaeological sites, object, structure or building which,*
 1. is associated with events that have made a significant contribution to the broad patterns of our history; or
 2. is associated with the lives of persons significant in our past; or
 3. embodies the distinctive characteristics of a type, period, or method of construction, or that represents a work of a master, or that possesses high artistic values, or that represents a significant and distinguishable entity whose components may lack individual distinction; or
 4. has yielded, or may be likely to yield, information important in prehistory or history.

Section 3: **(Insert name of County)** Historic Preservation Commission

- a. The Commission shall initially consist of **(not less than seven, 7)** members who shall be residents of the County.
- b. Members of the Commission shall be appointed by the Mayor with the advice and consent of the Council. Members shall demonstrate a positive interest in historic preservation, possessing interest or expertise in architecture, architectural history, historic preservation, community planning, building rehabilitation, conservation in general or real estate

- c. Vacancies occurring in the Commission, other than expiration of term of office, shall be filled only for the unexpired portion of the term of the member replaced.
- d. Members may serve for more than one term and each member shall serve until the appointment of a successor.
- e. Vacancies shall be filled by the County according to the original selection as aforesaid.
- f. Members shall serve without compensation.
- g. A simple majority of the commission shall constitute a quorum for the transaction of business.
- h. The Commission shall elect a Chairman who shall preside over all Commission meetings and elect a Secretary who shall be responsible for maintaining written records of the commission's proceedings.
- i. The Commission shall meet **at least** FOUR (4) times a year

Section 4: Powers of the Commission

- a. The Commission may conduct studies for the identification and designation of historic districts and landmarks meeting the definitions established by this ordinance. The commission may proceed at its own initiative or upon a petition from any person, group, or association. The Commission shall maintain records of all studies and inventories for public use.
- b. The Commission may make a recommendation to the State Historic Preservation Office for the listing of a historic district or landmark in the National Register of Historic Places and may conduct a public hearing thereon.
- b. The Commission shall investigate and recommend to the County Council the adoption of ordinances designating historic landmarks and historic districts as defined herein; and
- c. The Commission shall create and operate a Design Review Board for said landmarks and districts and issue Certificates of Appropriateness to owners for changes.
- d. Provide information for the purpose of historic preservation to the governing body.
- e. Promote and conduct an educational and interpretive program on historic properties within its jurisdiction.
- f. Other Powers. In addition to those duties and powers specified above, the Commission may, with County Council approval:

1. Accept unconditional gifts and donations of real and personal property, including money, for the purpose of historic preservation.
2. Acquire by purchase, bequest, or donation, fee and lesser interests in historic properties, including properties adjacent to or associated with historic properties.
3. Preserve, restore, maintain and operate historic properties, under the ownership or control of the Commission.
4. Lease, sell, and otherwise transfer or dispose of historic properties subject to rights of public access and other covenants and in a manner that will preserve the property.
5. Contract, with the approval of the governing body, with the state or the federal government or other organizations.
6. Cooperate with the federal, state and local governments in the pursuance of the objectives of historic preservation.

Section 5: Severability

Should any section or provision of this ordinance be decided by a court of this state to be unconstitutional or invalid, such decision shall not affect the validity of the ordinance as a whole or any part thereof other than the part so decided to be unconstitutional or invalid.

Section 6: Amendatory Provisions

The County may amend this ordinance to meet any unforeseen circumstances which may affect the duties and responsibilities of the Commission.

Section 7: Effective Date

This ordinance shall take effect immediately upon passage and publication as required by law.

Passed, adopted and approved this ____ day of _____ 20__.

County of _____.

Mayor

Clerk

SAMPLE RESUME FOR PROFESSIONAL COMMISSION MEMBER

Name:

Keola Fugimoto, AIA

Education

B.S. in Architecture, University of Hawaii. 1965

M.F.A. in Architecture, Princeton University. 1968

Historic Preservation Interests

City planning; Landscaping; building, etc.; ranging from 19th to 20th century - both public and private buildings. Particular interest in 19th and 20th centuries.

Past/Present Historic Preservation Activities

Chairman, Preservation Committee, Honolulu Chapter of the American Institute of Architects.

President, Hawaii Chapter, Society of Architectural Historians.

Architect for State University theater restoration. 1975-1978

Architect for Restoration of Ohana cultural complex. 1980-1982.

Produced a series of Multi-Media programs (slides, narration, orchestration, film) on Island architecture.

Other

Fellow of the American Institute of Architects, Honolulu Chapter

Registered Architects, Hawaii

Private architectural practice (20 years)

Acting Director, Institute of Design, (10 years)

TABLE HISTORIC PRESERVATION COMMISSION INFORMATION

(Name of County) Commission Information Historic Preservation Commissioners Year 201__, January 1, 201__ through December 30, 201__	
Staff to the Commission	Full Name Town/County Mailing Address Work Phone Number Home Phone Number Fax Email Address Job Title: ☐ Please check if this individual serves as the Commission Contact
Commission Chair.	Full Name Mailing Address Work Phone Number Home Phone Number Mobile Phone Number Email Address Date Appointed: Date Terms Ends: ☐ Please check if this individual serves as the Commission Contact
Commission Vice Chair.	Full Name Mailing Address Work Phone Number Home Phone Number Mobile Phone Number Email Address Date Appointed: Date Terms Ends: ☐ Please check if this individual serves as the Commission Contact

(Name of County) Commission Information Historic Preservation Commissioners Year 201____, January 1, 201____ through December 30, 201____	
Commission Secretary	Full Name Mailing Address Work Phone Number Home Phone Number Mobile Phone Number Email Address Date Appointed: Date Terms Ends: ☐ Please check if this individual serves as the Commission Contact
Commission Member	Full Name Mailing Address Work Phone Number Home Phone Number Mobile Phone Number Email Address Date Appointed: Date Terms Ends: ☐ Please check if this individual serves as the Commission Contact
Commission Member	Full Name Mailing Address Work Phone Number Home Phone Number Mobile Phone Number Email Address Date Appointed: Date Terms Ends: Occupation/Profession ☐ Please check if this individual serves as the Commission Contact

(Name of County) Commission Information Historic Preservation Commissioners Year 201____, January 1, 201____ through December 30, 201____	
Commission Member	Full Name Mailing Address Work Phone Number Home Phone Number Mobile Phone Number Email Address Date Appointed: Date Terms Ends: Occupation/Profession ☐ Please check if this individual serves as the Commission Contact
Commission Member	Full Name Mailing Address Work Phone Number Home Phone Number Mobile Phone Number Email Address Date Appointed: Date Terms Ends: Occupation/Profession ☐ Please check if this individual serves as the Commission Contact

**BIOGRAPHICAL SKETCH
APPLICANT FOR HISTORIC PRESERVATION COMMISSION**

Mr., Ms., Mrs., Dr.

Work ()/Home () Mailing ADDRESS

PHONE NUMBERS: WORK-

HOME-

MOBILE-

EMAIL ADDRESS

INTEREST IN HISTORIC PRESERVATION (Describe education, employment, memberships, publications, and/or other activities which indicate your interest in and commitment to historic preservation; or provide a statement detailing your interest in local history and commitment to historic preservation; use the back and/or extra sheets if necessary)

EDUCATION:

EMPLOYMENT:

INTEREST:

While serving on the **(insert name of county)** Historic Preservation Commission, I will work to insure that the Commission enforces the Historic Preservation Ordinance/Resolution; upholds the CLG Agreement with the State of Hawaii, and works in compliance with the Secretary of the Interior's Standards for Archaeology and Historic Preservation.

Signature

Date

SAMPLE DISCLAIMER LETTER
(written on county letterhead)

Please submit a copy of this letter with the CLG application, if NONE of the historic preservation commission members meets the Secretary of the Interior's Professional Qualifications Standards.

Be sure to write the letter on official County stationary.

(Date)

Ms. Ohana
Deputy State Historic Preservation Officer
State Historic Preservation Division
601 Kamokila Blvd., Suite 555
Kapolei, Hawai'i,
96707

Re: Professional Qualifications Requirement for Historic Preservation Commissioners

Dear Ms: Ohana

We have made a diligent search of **(county)** for Historical Preservation Commission members and have found the individuals whose names are forwarded to your office as part of the application for Certified Local Government status. The persons selected are well versed in local history and/or individually committed to historic preservation in **(name of county)**.

We have not found any persons who are professionally trained in any of the historic preservation professions and who meet the Professional Qualification Standards, but we will continue our search and will add them to the commission as the opportunity presents itself.

Sincerely,

(Name and title of Mayor or Chairman, Council)

SAMPLE INVENTORY

Establishment and maintenance of an inventory for your community's historic resources will be an important management tool for the commission. Some commissions have found it useful to create this document as an Excel spreadsheet so that it is sortable in a variety of ways. At a minimum, the inventory should include commercial buildings, notable residences, buildings of fraternal organizations and others, churches, schools, and public buildings such as post offices and libraries. Creating this inventory is typically accomplished by undertaking a systematic survey of your community. Consider establishing teams of two people who will drive up and down the streets recording information about properties of interest (typically properties 50 years or older). While the inventory does not need to include every historic property, it does need to represent a good faith effort to compile an initial county inventory.

Before you proceed, please contact the Architecture Branch of SHPD for examples of sample inventories. The Architecture Branch can also provide you with information on how to conduct surveys of historic resources

SAMPLE PLAN

STATEMENT OF HISTORIC PRESERVATION COMMISSION LONG TERM GOALS AND ACTIVITIES

The Tropical County Historic Preservation Commission will undertake the following:

1. Obtain training for commission, officials and staff in survey, evaluation, and inventory set-up. Establish a system to encourage individuals, groups, and communities to initiate survey in their respective areas. Hold community meetings and invite county residents to share photographs and memories of their favorite properties. Sponsor workshops to train participants in recording, research, and completing the Hawaii Site Inventory Form. Initiate during the first year of commission operation.
2. Set up a system to coordinate evaluation and develop historic contexts for the county. Work with state staff to find a way to get properties evaluated. Initiate during the second and third year of commission operation.
3. Set up a property inventory. Try to get duplicate copies of inventory forms, reports, nominations and other documentation currently on file at the State Historic Preservation Division. Initiate during the second year of commission operation.
4. Have commission develop an understanding of the National Register nomination process and how to prepare a nomination so that we can assist the public or at least direct them to the right places for assistance. All commission members will attend the State sponsored, annual National Register workshop during the first year of operation.
5. Identify and try to work with persons and departments in county government as well as outside of county government with work responsibilities that effect or may affect historic properties in the county, for example the county engineer and the conservation department. Try to find ways in which the historic preservation commission can assist them so that historic properties are identified, preserved and maintained. Initiate during the first year of operation.
6. Apply for a CLG grant: planning-for-preservation grant project. Initiate during first year of operation.
7. Start developing an educational program to inform the public about historic properties in the County through of tours, pamphlets, programs and events at historic properties and training workshops in rehabilitation of historic properties. Identify partners with whom we can work on these projects. Initiate during the first year of operation.

CERTIFIED LOCAL GOVERNMENT (CLG) AGREEMENT

NUMBER: (##)

CLG: (Name of County)

This agreement is made and entered into by and between the **(Name of County)**, Hawai'i hereinafter referred to as the CLG, and the State Historic Preservation Division, hereinafter referred to as the STATE; WITNESSETH THAT:

WHEREAS, the STATE is interested in granting Certified Local Government status to qualified county governments; and

WHEREAS, the STATE is empowered by federal statute to institute the Certified Local Government program in Hawaii; and

WHEREAS, the CLG has met all qualifications and criteria set forth by the STATE and the U.S. Department of the Interior, including the passage of an historic preservation ordinance and the creation of a historic preservation commission;

NOW, therefore, it is agreed by and between the parties hereto as follows:

1. That the STATE will consider the CLG eligible for the STATE's 10% pass-through funds from the Department of the Interior; and
2. That the STATE will monitor all preservation activities of the CLG, including those of its historic preservation commission; and
3. That the CLG and the STATE mutually agree to abide by the general and specific conditions and responsibilities attached hereto as Exhibits A and B and any additional responsibilities hereto attached as Exhibit C; and
4. The CLG will faithfully comply with all applicable Federal and State laws as specified by the STATE; and
5. The CLG will faithfully comply with all applicable regulations and directives issued by the STATE and the U.S. Department of the Interior; and
6. The CLG shall hold the STATE and Federal government harmless from damages in any action arising from the performance of any work performed under the auspices of this agreement or any grant.

IN WITNESS WHEREOF, the parties hereto have executed this agreement on the day and year last specified below.

CLG
County

Signature

Title

Date

STATE

Deputy State Historic Preservation Officer

Date

EXHIBIT A

GENERAL CONDITIONS

ARTICLE I: General Responsibilities of a Certified Local Government.

- A. The CLG will enforce all appropriate state and local ordinances for designating and protecting historic properties.
- B. The CLG will organize and maintain a historic preservation commission which must meet at least four times per year. The commission will be composed of community members with a demonstrated positive interest in historic preservation, or closely related fields, to the extent available in the community, with consideration of at least one representative in history and one in architecture. If an appropriate discipline cannot be represented, the CLG shall utilize expertise in this area when considering nominations to the National Register of Historic Places and other actions that will impact properties which are normally evaluated by a professional in such discipline. This can be accomplished by consulting with the State Historic Preservation Division, another CLG, or hiring a consultant on an as needed basis.
- C. The CLG will review National Register nominations on any property that lies in the jurisdiction of the local historic preservation commission. After allowing for public comment, the commission and the chief elected local official(s) shall decide if the property meets the criteria of the National Register. This recommendation must be submitted to the STATE within sixty days (or sooner if mutually agreed upon) of the commission decision.
- D. The CLG shall provide for adequate public participation in the local historic preservation programs, including the process of recommending properties for nomination to the National Register of Historic Places. This will be accomplished in a format issued by the STATE in its program guidelines.
- E. CLG Commission members will participate in STATE sponsored or approved historic preservation training activities.
- F. The CLG shall submit two copies of an annual report of its historic preservation activities in a format prescribed by the STATE.
- G. The CLG shall maintain a system for the survey and inventory of historic and prehistoric properties in a manner consistent with and approved by the STATE.

- H. The CLG shall not unlawfully discriminate on the basis of sex, race, color, and/or national origin in any of its activities in implementing its programs.

ARTICLE II: Amendment of Agreement.

The CLG or the STATE may, during the duration of this agreement, deem it necessary to make alterations to the provisions of this agreement. Any changes, which shall be mutually agreed upon, shall be incorporated into this agreement. The provisions of the amendment shall be in effect as of the date of the amendment unless otherwise specified within the amendment. A waiver of any conditions of this agreement must be in writing from a duly authorized official of the STATE.

ARTICLE III: Patent and Copyright.

- A. No material or product produced in whole or in part under this agreement shall be subject to patent or copyright by either party in the United States or in any other country.
- B. The U.S. Department of the Interior reserves a royalty free non-exclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use, any materials produced in whole or in part under this agreement for government purposes.

ARTICLE IV: Accounts and Records.

- A. Accounts: The CLG shall maintain books, records, documents, all aspects of financial management and other evidence pertaining to all activities under this agreement.
- B. Audit and Inspection: At all times during normal business hours and as frequently as is deemed necessary, the CLG shall make available to the STATE all of its records pertaining to all matters covered by this agreement.
- C. Retention of Financial Records: All records in the possession of the CLG pertaining to this agreement shall be retained by the CLG for a period of three (3) years beginning with the date upon which this agreement is issued. All records shall be retained beyond the three (3) year period if audit findings have not been resolved within that period.
- D. The CLG shall provide the STATE copies of all audit reports issued during the agreement period.

ARTICLE V: Termination of Agreement.

- A. Termination for Cause: The STATE or the CLG may terminate this agreement in whole or in part, at any time, whenever it is determined that the other party has failed to comply with the conditions of the agreement. The STATE or the CLG shall promptly notify the other party in writing of the determination and the reasons for the termination, together with the effective date.
- B. Termination for Convenience: The STATE and the CLG may terminate this agreement, in whole or in part, when both parties agree that the continuation of the agreement would not produce beneficial results. The two parties shall agree upon the termination conditions,

including the effective date and, in the case of partial termination, the portion to be terminated. Termination will be made without prejudice.

- C. Rights in Uncompleted Products: In the event the agreement is terminated, all finished or unfinished products prepared by or for the CLG under this agreement shall, at the option of the STATE, become its property.

ARTICLE VI: Interest of Officials and Others.

- A. STATE: No officer or employee of the STATE shall participate in any decisions relating to this agreement which affect his or her personal interest or the interest of any corporation, partnership, or association in which he or she is, directly or indirectly interested or has any interest, direct or indirect, in this agreement or the proceeds thereof.
- B. CLG: The CLG covenants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required to be performed under this agreement.

ARTICLE VII: Assignment of Interest.

Neither this agreement or any interest therein nor claim there under shall be assigned or transferred by the CLG to any other party or parties.

ARTICLE VIII: Agreement Coverage.

This instrument contains the entire agreement between the parties and any statements, inducements or promises not contained herein shall not be binding upon said parties. This agreement shall inure to the benefit of, and be binding upon the successors in office of, the respective parties.

If any of the provisions herein shall be in conflict with the laws of the State of Hawaii, or shall be declared to be invalid by any court of record in this State, such invalidity shall be construed to affect only such portions as are declared invalid or in conflict.

ARTICLE IX: Reports.

The CLG shall submit to the STATE two (2) copies of an annual report by December 15 of each year as specified.

ARTICLE X: Agreement Duration.

The agreement shall remain in effect until terminated by either or both parties.

EXHIBIT B
SPECIAL CONDITIONS

ARTICLE I: Identification of Parties.

This agreement is entered into by and between the State Historic Preservation Division, Department of Land and Natural Resources of Hawaii, hereinafter called the STATE and Name of County, hereinafter called the CLG.

ARTICLE II: Designation of Officials.

- A. STATE: The Administrator of the State Historic Preservation Division is the State Official authorized to execute any changes in the terms, conditions, or amounts specified in this agreement. He may designate a member of his staff to negotiate, on behalf of the STATE, any changes to this agreement.
- B. CLG: The chief elected official, (name of County), is authorized to execute any changes in the terms, conditions, or amounts as specified in this agreement. She/he may designate a member of his/her staff to negotiate, on behalf of the CLG, any changes to this agreement.

EXHIBIT C

CLG SPECIAL DELEGATED RESPONSIBILITIES

**PROFESSIONAL QUALIFICATIONS STANDARDS
NATIONAL PARK SERVICE
CODE OF FEDERAL REGULATIONS VOLUME 36, PART 61**

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

A. History

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

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

B. Archeology

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

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

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

C. Architectural history

The minimum professional qualifications in architectural history are a graduate degree in architectural history, art history, historic preservation, or closely related field, with coursework in American architectural history; or a bachelor's degree in architectural history, art history, historic preservation, or closely related field plus one of the following:

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

D. Architecture

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

E. Historic Architecture

The minimum professional qualifications in historic architecture are a professional degree in architecture or State license to practice architecture, plus one year of the following:

1. At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or closely related field; or
2. At least one year of full-time professional experience on historic preservation projects. Such graduate study or experience shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

RESPONSIBILITIES OF PARTICIPATING COUNTY GOVERNMENTS AND THEIR HISTORIC PRESERVATION COMMISSIONS

WHAT HAPPENS AFTER CERTIFICATION

As a participant in the CLG program, ~~the~~ County (staff, elected officials, and appointed boards, commissions and committees including the historic preservation commission) is expected to comply with the provisions of the CLG Agreement and its historic preservation ordinance or resolution.

CLG Standard 1. Enforce County or state legislation for the designation and protection of historic properties.

~~In CLG Agreement—~~

The County government is expected to take into consideration its local historic preservation ordinance or when dealing with issues and activities affecting historic properties. In particular, if a system for local designation is in place, the local government is expected to adhere to that procedure.

To insure that County ordinances comply with CLG standards, the County government is asked to furnish draft copies of new ordinances or proposed changes to the State Historic Preservation Division for review and comment. The State Historic Preservation Division shall review and comment on ordinances designating local historic districts. For administrative ease and to insure compliance with federal and state laws, regulations, standards and guidelines, counties in the Hawaii CLG program are asked to use the same designation, design review and appeal procedure for both historic landmarks and historic districts. In addition, Hawaii CLG counties shall submit nominations ordinances designating historic districts and designating historic landmarks to the State CLG Coordinator for review and comment prior to local adoption.

CLG Standard 2: Establish an adequate and qualified historic preservation commission by State or County legislation.

Each county's historic preservation ordinance contains a section specifying how commissioners are appointed; their qualifications, including desirable experience, training and expertise for commissioners; the length of appointment; the number of commissioners; requirements for decision making; and filling vacancies. These specifications should mesh with the Hawaii Code and the National Park Service requirements for CLG participation.

Qualifications:

The ideal historic preservation commission is composed of the following:

- a historian who specializes in Hawaiian local or public history;
- an architectural historian who specializes in ~~Island~~ Pacific Island and American architecture;

- an archaeologist (North American or ~~Island-Pacific~~ prehistory or history);
- a preservation architect;
- an attorney with knowledge ~~in-of~~ preservation law;
- a planner with preservation experience;
- ~~an owners~~ of ~~a~~ rehabilitated, National Register listed property~~ies~~; and
- a developer who works with historic properties.

Annually, the counties in the CLG program are expected to seek and recruit historic preservation professionals and others with relevant skills and expertise to serve on the commission. However, the reality is that most Hawaii counties do not have an array of historic preservation professionals in residence. Do not be discouraged, all Hawaii counties do have intelligent and hard working residents who can ~~learn~~~~on~~learn “on the job” if they have the time and interest to do so. Frequently, current commission members are knowledgeable about who in the community is interested in historic preservation and should be contacted for a roster of potential appointees.

Commission members should reside in the county and be in residence for most of the year. Commission members should be able to attend night meetings and occasional training workshops or conferences. CLG counties should insure annually that all positions on the commission are filled and that elected officials appoint new members or approve re-appointments. This information should be retained in a “historic preservation commission membership file.”

Each time there is a change in commission membership, the County should submit the new commissioner's biographical sketch or resume to the State CLG/Local Governments Coordinator for review and approval. Often, application forms for county commissions do not provide adequate information of a potential candidate’s qualifications; consequently, these forms should not be substituted for a biographical sketch or resume.

Commission Training

Under the CLG Agreement, each year, at least three commission members shall participate in State approved historic preservation training. In reality, the more commissioners, staff, elected officials and residents that participate in historic preservation training the better. Typically, the local historic preservation program is ~~a new, strange~~ and somewhat incomprehensible ~~“critter”~~. Getting everyone in the county acquainted with it through participation in training opportunities, benefits all.

Historic Preservation training focuses on one or more areas covered by the Secretary of the Interior's Standards for Archaeology and Historic Preservation. These include: Preservation Planning, Identification, Evaluation, Registration, Historical Documentation, Architectural Documentation, Archaeological Documentation, and Historic Preservation Projects which include the Treatments for Historic Properties: Preservation, Rehabilitation, Restoration and Reconstruction. Meetings, workshops, conferences and other training venues that do not focus on one or more of these areas do not qualify as historic preservation training.

Since Counties have established ~~Landmark Inventories (National Register, Hawaii Register and Local)~~surveys of significant properties and whereas the historic preservation commission

regularly conducts design review and issues certificates of appropriateness, it should insure that new members and new commission staff receive special training. The training should include understanding how to apply the Secretary of the Interior's standards and guidelines and local design guidelines to proposed projects and how to conduct a quasi judicial meeting which includes a public hearing as well as a formal review of the proposed project.

CLG Standard #3: Maintain a system for the survey and inventory of historic properties that furthers the purposes of the Act (National Historic Preservation Act as Amended 1992).

Locate historic properties

This is a three-step process involving survey or identification, evaluation and registration. The county is responsible for locating all kinds of historic properties (sites including archaeological sites, objects, buildings, structures and districts). The activity is on-going since each year a new set of properties becomes potentially eligible for the National Register of Historic Places on the basis of age criteria. Generally, to be listed on the National Register, a property must be fifty years old or older. Counties may apply for CLG Grants to underwrite all of the following activities.

All CLG historic preservation ordinances contain two provisions under Commission powers. These provisions also appear in the CLG Agreement. The first provision specifies that the county will establish a system for identification and inventory that is compatible with that of the State Historic Preservation Office. The second provision specifies that the county will encourage nomination of properties to the National Register of Historic Places.

Survey/Identification involves researching and documenting properties in order to get information on how the property was created, when it was created, how it was used, who was associated with it and to describe the physical appearance of the property, map it, photograph it. Survey/identification should be undertaken in phases with each phase focusing on a geographic area, or a particular historic context/theme, or a particular property type or an area that is experiencing change. The county can apply for CLG grant funds to underwrite survey/identification. .

In addition, the county commission can encourage property owners, volunteer or service organizations, and school groups to assist in survey and evaluation. Perhaps the most effective way of identifying historic properties is to set up an on-going system to research and record properties and develop historic contexts for the county. Research, recordation and context development provide the information needed in order to complete the next step evaluation.

Evaluation is a sorting process whereby properties are determined to have historic importance, significance, or determined to lack historic importance or significance. Typically, evaluation is done by applying the significance, age, and integrity criteria of the National Register of Historic Places. Applying there three criteria results in a document containing a detailed analysis of why the property is or is not significant. Evaluation serves to focus attention on those properties that

are historically significant and merit formal recognition through registration. Evaluation provides a way of locating properties that merit preservation, protection and appropriate maintenance.

Registration is formal recognition of a property's historic significance by placing it on a county or state register of historic places and/or by nominating the property to the National Register of Historic Places. The historic preservation commission plays a key role in the registration process. In the case of National Register nominations, the commission can initiate and fund the process with CLG grants. In addition, as a CLG participant the Commission and chief elected officials will be called upon to review and comment on all National Register nominations of properties within its jurisdiction.

The historic preservation commission, chief elected official of the county, and a historic preservation professional will comment on all National Register nominations within the county government's jurisdiction. The State National Register Coordinator provides the county government with the appropriate form and guidance on completing it. If the commission lacks an appropriate preservation professional, State Preservation Office staff can perform the professional review for the Local Government.

Property Inventory

The foundation of the commission's activities is its inventory—the local file of information about “identified, evaluated, and registered” properties in the county. This file serves as a reference for any type of planning, be it rehabilitation of a building or developing a road-widening project. The inventory informs about the location of properties, their type and, most important, their significance. It indicates which parts of a county have been surveyed and evaluated and for what kinds of properties. The inventory is developed through survey, evaluation, and registration projects. It is a file that consists of completed site forms with information about individual properties, survey and evaluation project reports, multiple property documents describing historic contexts, National Register of Historic Places nomination forms and local historic landmark and district nomination forms as well as maps, photographs, blueprints and other data relating to properties in the county. The State maintains a state-wide inventory of historic properties that includes National Register nominations.

Encourage preservation, maintenance and protection of historic properties within county limits.

1. Develop and maintain a Property Inventory. This is a file containing the results of identification, evaluation, and registration activities.

The inventory file contains information on the identity, location, condition and basis of significance of historic sites, buildings, structures, objects and districts within the jurisdiction of the local government. The inventory will include: completed Hawaii Site Inventory forms, completed State Archaeological site forms, multiple property documentation (reports on survey-evaluation projects), National Register and local designation nomination forms, photographs, maps, blue prints and other data relating to properties in the local government's jurisdiction.

Developing the property inventory is a top priority for the historic preservation commission. An accessible and well maintained inventory is critical for land use planning, determining if a project will affect historic properties, determining if proposed work on a property is appropriate, and determining if a property qualifies for particular grant and incentive programs.

The inventory is a public record and should be kept in a location that is secure yet accessible within a County owned facility.

2. Provide the State Historic Preservation Division with copies of information relating to their inventory for inclusion in the State Inventory of Properties and Historic Properties.

As CLG counties accumulate information on historic properties within their jurisdictions, they are expected to provide the State Historic Preservation Office with copies of this information in order to keep the State Inventory updated. This would include: completed Hawaii Site or State Archaeological inventory forms; landmark and district nomination forms to the county inventory; information on the condition of National Register eligible or listed properties within their jurisdiction; information on the condition of locally designated landmarks or properties within local historic districts; information on zoning actions such as the creation of historic overlay zones or conservation districts that would impact historic properties; or establishment of an easement program to preserve historic properties.

CLG Standard # 4 Provide for adequate public participation in the local preservation program, including the process of recommending properties to the National Register of Historic Places.

Commission meetings should adhere to the Hawai'i open meeting law. Meetings should be announced in advance and open to the public. The commission should actively engage the public in the local preservation program. For example, the commission could delegate responsibility for conducting survey and evaluation projects to residents and property owners in different parts of the county; the commission could train volunteers or local government staff to answer questions about historic preservation and provide technical assistance. When properties within the local government's jurisdiction are nominated to the National Register of Historic Places, the commission and chief elected official will review and comment on the National Register nominations.

The Commission not only will encourage nominations to the National Register, it also reviews and comments on all proposed National Register nominations within its jurisdiction. It is expected that the Counties in the CLG program will encourage nomination of all historic public buildings, structures, sites, objects and districts within its jurisdiction. This would include parks, sculpture, school buildings, city halls, courthouses, fire and police stations, bridges, roads etc. The review of National Register nominations is conducted by the Commission; the Mayor, and a historic preservation professional, type will depend on the property and the significance criteria which apply. If the County does not have a qualified preservation professional on staff, on the

commission, or residing in the County, then the appropriate State Historic Preservation Division staff member will do the review. The Commission, Mayor and Preservation Professional will read the nomination and determine if there are factual errors and determine if the nomination satisfactorily explains how the property meets the integrity, age, and significance criteria. National Register significance is based on these considerations not on factors such as economic impact or future uses of the building. Moreover, it is the historic preservation commission's responsibility to make sure the county officials and staff understand their obligation under this Standard.

This standard also encourages the Commission to involve the public, officials and staff in the local preservation program as volunteers in Commission sponsored projects; as initiators of historic preservation activities and projects; and as participants in Commission sponsored programs, workshops, conferences, tours, training sessions or other historic preservation related activities.

The commission will encourage public and local government to utilize State incentives for historic preservation. On a yearly basis, the CLG should undertake a minimum of one project in at least one of the following areas: planning, survey and evaluation, registration to the National Register or local designation, public education, or pre-development/rehabilitation.

CLG Standard # 5 Operate an effective Historic Design Review Board for the county's designated historic resources.

Hawai'i CLG counties have preservation ordinances requiring that proposed work on designated historic properties be reviewed by a local historic preservation commission or design review board. These commissions and/or boards are comprised of local citizens appointed by the county government. ~~Generally, when~~ When they review and approve proposed changes to a historic building they issue a "Certificate of Appropriateness." A Certificate of Appropriateness is simply a document stating that the proposed work is appropriate for the ~~historic district~~ district, or SHPD identified resource and meets criteria in the local code. Usually, the certificate is required before most exterior work begins and before a building permit can be issued. Work completed without a Certificate of Appropriateness creates a legal risk of fines and having to reverse any work done for failing to follow procedures. The ~~cCounty hHistoric pPreservation Commission~~ commissions ~~is-are~~ encouraged to develop and publish Design Review Guidelines in order to assist the ~~Commission-themselves~~ and property owner achieve good historic preservation work that meets the Secretary ~~of Interior's~~ of the Interior's Standards.

CLG Standard # 6 Demonstrate Compliance with Standards 1 through 5.

The CLG Agreement requires that counties annually prepare and submit in a timely fashion, two copies of the completed Certified Local Government Annual Report form to the State Historic Preservation Division. This form allows the commission to report on the historic preservation activities that occurred in the county during the year. Every county in the CLG program is subject to a performance review. The reviews start three years after certification and continue on a three year predetermined cycle thereafter. The annual report form figures heavily in the

performance review since it queries participating counties about their respective historic preservation programs. The annual report form serves as a guide to the activities and programs that CLG participants are expected to have in their local historic preservation programs.

HERE IS A SUMMARY OF WHAT A CLG COUNTY IS EXPECTED TO DO:

An effective historic preservation commission has a regular meeting time, place and location and minimally meets quarterly (e.g., 4 times a year). The historic preservation commission must comply with Hawai'i Code by publicizing the meeting time, place and agenda; by taking and filing minutes; by welcoming the public to all commission meetings where a quorum is in attendance; and by conducting official business (action) only when there is a quorum of the Historic Preservation Commission present.

The historic preservation commission develops and initiates county policy and programming for: survey-evaluation-registration, inventory development, planning, protection of historic properties, and public education. The commission works with county staff (planners, building officials, engineers) and other commissions (plan and zone, board of adjustment, economic development, public works, school board, conservation or parks and recreation) to integrate historic preservation into comprehensive land use planning, development, capital improvements and other local interests and initiatives.

A well-trained and educated historic preservation commission can play a useful role in assisting the County, agencies, public and private organizations comply with the Section 106 Review process. The commission will use the Secretary of the Interior's Standards and Guidelines as well as procedures issued by the Hawai'i Historic Preservation Division in the review process. If the County has established a property inventory (file) and/or consults with the State Historic Preservation Office, the historic preservation commission may be able to determine if a survey is needed, or if there are National Register-eligible or listed properties in a project area, or assist in designing a project so that it does not have an adverse impact, or recommend appropriate mitigation measures to avoid or lessen negative project impacts.

The State Historic Preservation office discourages historic preservation commissions from the following;

1. Long term involvement with single property and/or property stewardship
2. Establishing a museum

Both activities are time consuming and require large amounts of capital. In addition, they are narrow in focus and will impede the preservation commission from fulfilling its commitment to locate historic properties throughout the community and facilitate their preservation, protection, maintenance and use. Commissions should encourage other public or private entities to take on these worthwhile projects.

Here is a summary of how the Historic Preservation Commission can fulfill its responsibilities:

1. Become acquainted with the Secretary of the Interior's "Standards and Guidelines for Archaeology and Historic Preservation" and follow them where required and appropriate. The Standards outline approaches to identification, evaluation, registration, and the treatment of historic properties.

The National Park Service provides a downloadable copy of the Standards on its web site. Alternatively, the commission can obtain a copy of the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation from the Local Governments coordinator.

In addition, there are three interactive programs on the National Park Service's Heritage Preservation Services section of the web site. These discuss appropriate treatments for historic buildings and structures. They are "a Walk Through," which shows you how to read a building; "Good Guides," which shows you how to care for a historic building; "Boilerplate Yes's," good rehabilitation options, and "Boilerplate No's," which tells how a building can lose its historic character or the things that should not be done to a historic building. These can be accessed at http://www.cr.nps.gov/hps/tps/online_ed.htm

2. Meet National Park Service CLG program standards and State requirements. These include:

Enforce appropriate State and Local legislation for the designation and protection of historic properties.

Local elected officials, governmental staff and historic preservation commission members should be familiar with the county's historic preservation ordinance and the Certified Local Government Agreement. Historic Preservation Commissioners should be familiar with their responsibilities as outlined in the ordinance.

The historic preservation commission should make sure that its local government continues to fulfill the mandate of its historic preservation ordinance. If revisions, amendments or new legislation is proposed, insure that these are compatible with the Secretary of the Interior's Standards and Guidelines and the Hawai'i Code Sections by providing the Local Government Coordinator with copies for review and comment.

The historic preservation commission should provide comment and guidance on activities within their jurisdiction that will impact unevaluated and/or evaluated properties (sites, including archaeological or historic sites: objects; buildings; structures and districts).

Counties undertaking local designation should provide the CLG program coordinator with draft copies of the ordinance or amendments to the ordinance that set up the system for review and comment. When designating local historic landmarks or districts, the historic preservation commission will provide the CLG program coordinator with a draft

of the nomination for designation and a draft of the ordinance for designation for review and comment.

The historic preservation commission should maintain good communication with the mayor and county council. This involves making sure these elected officials are familiar with the local historic preservation ordinance, the CLG Agreement, and understand what these mean in terms of county actions. Good communication also involves keeping elected officials informed of historic preservation commission plans, actions and activities.

Provide for adequate public participation in the local preservation program, including the process of recommending properties to the National Register of Historic Places.

Commission meetings should adhere to the Hawai'i open meeting law. Meetings should be announced in advance and open to the public. The commission should actively engage the public in the local preservation program. For example, the commission could delegate responsibility for conducting survey and evaluation projects to residents and property owners in different parts of the city or county; the commission could train volunteers or local government staff to answer questions about historic preservation and provide technical assistance. When properties within the local government's jurisdiction are nominated to the National Register of Historic Places, the commission and chief elected official will review and comment on the National Register nominations.

The commission will encourage public and local government to utilize State incentives for historic preservation. On a yearly basis, the CLG should undertake a minimum of one project in at least one of the following areas: planning, survey and evaluation, registration to the National Register or local designation, public education, pre-development/rehabilitation or maintenance and protection.

The local government's historic preservation commission completes an annual report for each year which documents compliance with the program standards and submits this form to the SHPO for review and evaluation.

Commissions are encouraged to develop by-laws to clarify how they will operate and insure continuity of operation as commission membership changes. Each commission defines its mission, role and the specific projects it will undertake. In Hawai'i, there is much variation. The newly certified historic preservation commission should use the plan submitted as part of its certification application as a guide in selecting projects and activities. Newly certified CLGs are encouraged to apply for a CLG planning grant to assist them in getting started and encouraged to attend as many training workshops as possible.

If a community has not conducted a survey of its historic properties, this generally is the next type of project that a CLG local historic preservation commission will undertake. Public education will be a continuing commission activity. As part of local government the commission will work with elected officials and paid staff on various preservation efforts.

So the first activity that a commission should do is initiate a process of identifying and recording historic properties within local government's jurisdiction (survey). This means that the commission should learn how to identify or survey properties and how to evaluate or to interpret evaluations of properties. The commission also needs to understand how to complete the Hawai'i Site Inventory forms which are used to record the information gathered from field investigation and archival research. Finally, the commission needs to set up a filing system for this information. This filing system will be its historic property inventory.

As the commission builds its inventory, the commission is responsible for providing the State with copies of completed inventory forms. In addition, the commission needs to consult with the State when the commission evaluates whether a property is significant and historic.

A CHECK LIST FOR EFFECTIVE COMMISSION OPERATIONS AND MAINTAINING CLG STATUS

1. The Commission
 - Members are all officially appointed by the Mayor/ Council
 - Members who are continuing on the commission are officially re-appointed by the Mayor/Council
 - No vacant positions
 - Demonstrated positive interest in historic preservation
 - Members should have the time to attend meetings and support projects
2. Meetings
 - Four times a year is not enough, realistically and minimally a commission should be meeting monthly or bimonthly.
 - There is a regular meeting day, time, and location
 - An announcement and the agenda is posted before the meeting
 - Follow the agenda, do not stray off agenda topics. Be concise and to the point in discussions.
 - There is a written set of minutes for every official meeting
 - The public is welcome
 - Do business only when there is a Quorum of members present. Anytime a quorum of commissioners gathers, that is considered an official meeting.
3. Other Responsibilities
 - Report regularly to your mayor and council.
 - Comply with local and state regulations regarding conflict of interest
 - Comply with State Ethics Law
4. Meet CLG program requirements
 - Operate in compliance with the Secretary of the Interior's Standards and Guidelines whenever appropriate.

- Set up a system for on-going survey, evaluation and registration
- Maintain a Historic Property Inventory that complies with the State's. Store inventory and other commission in a county-owned facility that is controlled but accessible.
- Prepare and follow an annual work plan
- Meet annual historic preservation training requirement
- Complete a minimum of one historic preservation activity a year
- Review National Register of Historic Places nominations
- Complete and submit one copy of the CLG Annual Report

RESPONSIBILITIES OF INDIVIDUAL HAWAII CLG HISTORIC PRESERVATION COMMISSIONERS

Many newly appointed historic preservation commissioners know something about local history or historic preservation when they join a commission but do not fully understand what is expected of them as commission members. This information sheet was prepared to assist historic preservation members fulfill their responsibilities as commissioners.

1. When you agree to serve on your county historic preservation commission, you become an unpaid governmental official. The commission is part of local government, serving at the pleasure of the mayor and council. It is the commission's responsibility to keep these officials informed of their activities, actions, and plans. It is also important for the commission to solicit the ideas and suggestions of local elected officials when developing plans and projects.

2. The commission works under local enabling legislation, the historic preservation ordinance. The commission is expected to follow local and state codes regarding the conduct of meetings and other commission business. The state attorney general's office has some information to assist you in complying with state statutes.

As commission members, you should become familiar with the following laws and agreements. These guide commission operations and commissioners are responsible for seeing that all obligations are met on a yearly basis:

- ◆ Local Historic Preservation Ordinance;
- ◆ CLG Certification Agreement between your local government and the State of Hawai'i;
- ◆ National Park Service and State of Hawai'i Conflict of Interest Policy;
- ◆ Hawai'i Open Meetings Law

3. Historic Preservation Commissioners have a special charge in that they not only develop local historic preservation policy and programs but also are actively engaged in doing activities called for by the local preservation policy and program. When you agree to become a commissioner, you need to have a strong, positive interest in historic preservation. You should be prepared to attend all commission meetings. If the commission undertakes a special project, such as a CLG grant project, you should be ready to work on the project and/or recruit volunteers and see that it

is completed. You should be prepared to participate in periodic historic preservation commission training workshops and conferences.

Because your commission has local designation and design review responsibilities, it is particularly important that commission members attend all commission meetings. Design review is a regulatory action; applicants for Certificates of Appropriateness are waiting for commission review and feedback before they can start their project. If a scheduled commission meeting includes a design review for a Certificate of Appropriateness, there must be a quorum present in order for the commission to review the project. It is unfair to the applicant and the property involved for the commission not to conduct the review at the officially scheduled time.

Effective commissioners are informed ones. If your commission has been operating for several years, review past minutes and annual reports to get a sense of what has been accomplished, what is planned, current goals and objectives. If your commission is newly formed, become informed and trained so that your local preservation program gets a good strong start.

4. Get to know the other commission members. Each member has a distinctive work style, particular gifts and skills, and special knowledge. When a commission is able to fully utilize its members as individuals and as a team, it can become a strong and productive organization. Be honest with one another about strengths and weaknesses, likes and dislikes. Then use this knowledge to the group's advantage. Do not make the shy, reclusive member be the commission spokesperson (unless they are willing). Be good listeners. Stick to your agendas, schedules, specific topic under discussion. Respect one another's time, use your time together effectively.

5. Doing Grant Projects. Certified Local Government (CLG) grant awards are contractual agreements between your local government and the State of Hawai'i to accomplish a particular objective. When you are awarded a CLG grant the State expects the county and its historic preservation commission to fulfill its obligation to complete the project. So, if your commission wants to do a grant project, all commissioners should be knowledgeable about all aspects of the project. Each commissioner should be aware of his or her project job responsibilities and willing to undertake them in a timely fashion. In other words, if the commission applies for and is awarded a CLG grant, all commissioners will be expected to fulfill their project responsibilities.

CLG historic preservation commissioners belong to a unique group. There are preservationists throughout the State, the region and nation-wide who are willing to share information, experience, and expertise with you. Feel free to contact them. Do not hesitate if you have questions, concerns, or need assistance. Contact someone. In particular, use the staff of the State Historic Preservation Division, your interests are their interests and they wish to assist you.

COMMISSION RECORDS

Each Historic Preservation Commission should maintain a record of its work. These records should be kept in a location where they are protected but still accessible to the public. Below is an example of the filing system a commission could use to organize its records and the kinds of documents the commission should save.

1. Certification
 - a. Application materials such as the letter applying for CLG status, resolution or ordinance, historic property inventory, preservation plan, list of original commissioners, resumes or biographical sketches of commissioners, disclaimer letter if there are no preservation professional on the first commission.
 - b. Certification Agreement between local government and the State.
 - c. Letter from the National Park Service confirming CLG status.
2. Commissioners
 - a. Documentation of commissioner recruitment process
 - b. Commissioners' resume and biographical sketches
 - c. Participation in training activities
 - d. Documentation of appointment and record of term
3. Administrative Records
 - a. Correspondence
 - b. Commission meeting announcements, agendas, minutes
 - c. Reviews for National Register nominations and HRDP grant applications
4. Annual Reports
5. Grant Projects
 - a. Grant Applications
 - b. Progress Reports
 - c. Documentation of Match and Expenditures
6. Inventory
 - a. Hawai'i Site Inventory Form for buildings, structures and objects
 - b. Archaeology Site form for prehistoric and historic period archeological sites
 - c. Survey and Evaluation Project Reports
 - d. National Register--nomination forms,
 - e. Correspondence from SHPD on properties determined eligible for National Register listing,
 - f. Completed local historic landmark and local historic district nomination forms
7. Design Review:
 - a. Ordinances designating Landmarks and Districts, detailing boundaries and sites, structures, buildings, objects and other features included in the designation;

- b. Applications for a Certificate of Appropriateness (COA);
- c. Minutes recording Commission Action in regard to COA;
- d. Design Guidelines

PROCESS FOR MONITORING AND DECERTIFICATION

The SHPO will provide all CLGs with an annual report form. Each CLG must complete and return the annual report form by October 31. The SHPO shall review and monitor CLGs to assure compliance with all applicable regulations specified herein. The SHPO will review the annual reports submitted by certified local governments, records of the administration of funds allocated from the Historic Preservation fund, and other documents as necessary, to assure that each government is fulfilling the required standards. The SHPO/State may conduct other review and monitoring as necessary.

The CLG must submit the annual report to the SHPO detailing all preservation activities conducted during the period of October 1st of the previous year to September 31st of the current year within the jurisdiction of the CLG.

Every four years the SHPO will evaluate the CLGs. This evaluation will be based on information provided in the annual report submitted by each CLG. The selection of CLGs to be evaluated in a given year will be based upon their dates of certification, such that those governments certified first will be those evaluated first. The SHPO will maintain an evaluation schedule for CLGs and will make the schedule available to them. The SHPO will submit the evaluation report to the Chief Elected official and CLG commission. Part IV of the manual contains a sample evaluation form.

The SHPO shall evaluate the performance of the CLG in accordance with the requirements of the procedures within this document, the National Historic Preservation Act, the federal regulations outlined in the certification agreement, and the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation.

If the SHPO evaluation indicates that the performance of the certified local government is inadequate, the SHPO shall document that assessment and recommend to the local government ways to improve its performance. The certified local government shall have a period of not less than thirty (30), nor more than one hundred eighty days (180) days to implement improvements. If the SHPO determines that sufficient improvement has not occurred, the SHPO shall recommend decertification of the local government to the Secretary of the Interior citing specific reasons for the recommendation.

If a local government is decertified, the SHPO will conduct financial assistance closeout procedures as specified in the *National Register Programs Manual*.

Certified local governments shall not unlawfully discriminate on the basis of sex, race, color, and/or national origin in any of their activities in implementing the program.

ANNUAL REPORT FORM

ADD TO DOCUMENT

CONFLICT OF INTEREST

All CLG commission members will refrain from voting in any activity in which they have a current or anticipated financial interest (either as owner, officer, trustee, fiduciary employee, part owner, or the recipient of any royalty, commission, contingency fee, professional services contract, brokerage fee, or other payment). It is required that any affected member will indicate the existence of any such conflict of interest prior to the consideration of the subject.

RESPONSIBILITIES OF THE SHPO

36 CFR 61.4 (b)(Code of Federal Regulations)

It shall be the responsibility of the SHPO to:

1. Direct and conduct a comprehensive statewide survey of historic properties and maintain an inventory of such properties; this high priority responsibility entails locating historic and archeological resources at a level of documentation such that the resources can be evaluated for potential nomination to the National Register of Historic Places and so that the survey data collected can be incorporated into State priorities and planning decisions concerning the area surveyed.
2. Identify and nominate eligible properties to the National Register of Historic Places and otherwise administer applications for the National Register.
3. Prepare and implement a comprehensive statewide historic preservation planning process; this high priority responsibility entails the organization of preservation activities (identification, evaluation, registration, and treatment of historic properties) into a logical interrelated sequence so that effective and efficient decisions and/or recommendations can be made concerning preservation in the State;
4. Administer the State program of Federal assistance for historic preservation within the State; if Historic Preservation Fund (HPF) monies are appropriated, this includes the administration for the HPF Grant-in-Aid program;
5. Advise and assist Federal, State and local government agencies in carrying out their historic preservation responsibilities;

6. Cooperate with the Secretary, the Advisory Council on Historic Preservation, and other Federal, State, and local government agencies to ensure that historic properties are taken into consideration at all levels of planning and development;
7. Provide public information, education, training, and technical assistance relating to the National and State historic preservation programs; and otherwise fulfill the State's liaison responsibility with the Federal preservation programs, other States, local governments, Indian tribes, private organizations, and individuals;
8. Cooperate with local governments in development of local historic preservation programs and assist local governments in becoming certified.

RESPONSIBILITIES OF THE SHPO FOR TRAINING CLGs

The State Historic Preservation Division will make available orientation materials to each CLG. Further, the SHPO will conduct or make available two training opportunities for each CLG annually, and at least three representatives of each CLG's historic preservation review commission must attend at least one such event. The SHPO staff will be available to visit the local community to assist with implementation of the CLG's program

Acknowledgement of work used from other states in developing this manual.

The Hawaii State Historic Preservation Division would like to thank the states of Texas and Utah for use of some of their CLG materials. Most of all we appreciate the significant help from and use of materials developed by the Iowa State Historic Preservation Office and its CLG division.

**STATE OF HAWAI'I
CERTIFIED LOCAL GOVERNMENT:
PART 2
GRANT APPLICATION
PROCESS**

DRAFT

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PART I

INTRODUCTION

Jointly administered by National Park Service (NPS) and the State Historic Preservation Offices (SHPO), the Certified Local Government (CLG) Program is a model and cost-effective local, state, and federal partnership that promotes historic preservation at the grassroots level. Working closely with national organizations such as the National Alliance of Preservation Commissions the CLG program seeks:

- 1) To develop and maintain local historic preservation programs that will influence local decisions critical to the preservation of historic properties, and
- 2) To ensure the broadest possible participation of local governments in the national historic preservation program while maintaining preservation standards established by the Secretary of the Interior.

An incentive for participating in the CLG program is the pool of matching grant funds made available annually to participating counties. In Hawaii, the CLG grant fund amounts to over 10% of the state's annual Historic Preservation Fund (HPF) grant allocation from the National Park Service. For the past several years the CLG grant round has set aside approximately \$55,000. If the national appropriation increases to more than \$65 million in the future, the figure will increase to 50% of that additional amount.

To qualify for a CLG grant a county must meet two criteria:

- 1) Have a certified local historic preservation program:
The county must have an established local historic preservation program created by ordinance and must have applied for and received Certified Local Government status from the National Park Service, Department of the Interior.
- 2) Be current in CLG Annual Report submittals:
The county must be current in their submission of the Hawai'i CLG reports. This means that the county CLG has submitted its annual report.

If you have questions, contact the CLG coordinator for the SHPD.

IMPORTANT GRANT DATES AND DEADLINES

- | | |
|----------|---|
| April 1, | Submit a draft CLG grant application for review and comment by State Historic Preservation Division staff. It is <u>highly</u> recommended that you submit a draft application for review and to insure that your budget is ample to successfully complete the project. – BE SURE TO INCLUDE AN APPROPRIATION REQUEST TO THE COUNTY GOVERNMENT. |
| May 1, | The State will return comments on draft applications to the applicants. |
| July 1, | Final grant applications must be post marked by this date. Hand-delivered applications must be delivered by this date. |

August 1,	State Historic Preservation division will make final recommendations for CLG grant awards.
August to Sept.	Develop Contracts so work can begin soon after October 1, assuming the Federal budget is passed
October 1,	Earliest possible start date for CLG Grant projects
September 1-	CLG Grant projects must be completed (NEXT FEDERAL FISCAL YEAR_)

FREQUENTLY ASKED QUESTIONS

WHAT TYPES OF PROJECTS ARE ELIGIBLE FOR CLG FUNDING?

Activities that involve looking for and establishing the significance of buildings, structures, sites, objects or districts are eligible. In historic preservation language, these activities include identification, evaluation and registration. Planning activities are eligible when the focus is on historic preservation.

A planning project could be developing a historic preservation component for a county comprehensive plan; or a plan to develop historic contexts and conduct a series of identification-evaluation-registration projects; or planning could involve studying local ordinances and codes, proposing historic preservation-friendly revisions and, ideally, having those revisions implemented by the county Council.

Educational projects that involve historic preservation are eligible. Applying for scholarship monies to send commissioners or staff to the National Alliance of Preservation Commissions Forum; developing video tapes and brochures for tours of historic properties; developing historic preservation curriculum for elementary or high school classes are examples of educational activities. In addition, CLG grants can be used for Pre-Development projects. Pre-development projects include doing a structural assessment of a property and developing rehabilitation recommendations; developing maintenance plans for properties; studying adaptive reuse or alternative uses for a property and making recommendations as to the most appropriate. Generally, these projects focus on a single, National Register listed property that is owned by the local government or is accessible to the public.

WHAT TYPES OF PROJECTS ARE NOT ELIGIBLE FOR CLG FUNDING?

The grants cannot be used to cover the cost of preparing the grant applications, of building maintenance, of acquisition of property, or the cost of moving properties. CLG grants cannot be used to cover the cost of doing archival research unrelated to historic properties or the cost of workshops, publications, flyers or exhibits that do not directly relate to historic preservation. CLG grants cannot be used for museum projects that do not directly relate to historic preservation.

CAN A CLG WORK WITH ANOTHER AGENCY OR ORGANIZATION ON A CLG GRANT PROJECT?

Yes. Check with SHPD, CLG Coordinator for more information about on "Pooling CLG Grants" and "Delegating Third-Party Administration."

CAN A CLG WORK ON A GRANT PROJECT THAT INVOLVES HISTORIC PROPERTIES LOCATED OUTSIDE THE CLG LIMITS?

Yes, if all local governments involved approve and if the project meets the CLG Grant program requirements.

HOW MUCH MONEY IS AVAILABLE? HOW MUCH CAN BE REQUESTED?

Approximately \$55,000.00 has been allocated in recent years for use as CLG Grant funds.

There is no cap for grant projects. However, please use common sense in making your requests.

It is very important that you ask for enough funding to cover project costs. It is better to ask for a slightly larger grant than a reduced one. Please contact SHPD for examples of past grant applications and budgets. It is also strongly recommended that you contact several consultants about your project to help you determine costs

WHAT ARE COST REIMBURSABLE AND MATCHING GRANTS?

Cost-reimbursable means that the grant funds can only be used to reimburse the CLG for actual expenditures after the CLG has paid for that expense. After a CLG has been awarded a grant, the CLG completes the grant project, submits documentation to the State on the paid project expenses, and the State reimburses the CLG for the grant portion of the paid expenses. The State will reimburse the CLG for grant project costs when it has reviewed and approved the documentation that supports the expenditures. This means that the local government may have to carry the cost of the grant for a brief period between the time it pays the grant project bills and the time it is reimbursed by the State.

Matching: The CLG shares in the cost of the project by contributing a share (match) of project costs. The CLG share of costs can consist of cash **and/or** it can be in-kind contributions such as labor, materials, facilities or services. In-kind labor costs must be documented in terms of hours and given a value per hour. For example, volunteers performing services within his or her profession may evaluate their donated time at the maximum rate allowed for professionals. The work of volunteers, performing services outside his or her profession, will be evaluated at the Federal minimum wage rate per hour. Hawai'i allows CLGs to claim as match, in-kind services such as supplies, developing photographs, photocopying, office rent, clerical support, or certain administrative costs when these are donated to the project by the local government or a third party. When a CLG chooses to count these supplies or services as match, documentation is required.

CLG grants have a 60:40 match ratio. This means that the CLG grant will cover 60% of the total project costs, and the CLG will provide 40% of the total project cost as match. For example, if the total cost for a project is \$1,000, then the CLG requests a grant of \$600 and provides a match of \$400. **Please be sure that your match equals 40% or more of the total cost of the project, when filling out the budget page.**

CAN THESE GRANTS BE USED ON PROJECTS WHERE THERE IS OTHER FEDERAL INVOLVEMENT?

These grants can be matched with federal Community Development Block Grants (CDBG), and under certain circumstances Transportation Equity Act-21 (TEA-21) Enhancement funds.

Certified Local Government grants cannot be used for Section 106 (federally assisted, licensed, or permitted) compliance. CLG grants cannot be matched with grants from the National Endowment for the Humanities, National Science Foundation, and National Endowment for the Arts.

ARE THERE ANY PARTS OF THE APPLICATION PROCESS THAT MIGHT TAKE MORE TIME THAN EXPECTED?

Yes. You might need between two weeks and a month to get the approval of your local government and the signature of the Chief Elected Official on the final grant application.

CAN THE CLG GET HELP IN PREPARING THE GRANT APPLICATION?

Yes! Here are your options:

- You are **strongly** encouraged to contact the Historic Preservation Division Staff members with questions and requests for help.
- Submit a draft application for staff review and comment.
- Contact staff to find out which CLGs have done similar projects, so you may contact them and ask for their advice. Also you may request a copy of a funded grant application for a similar project.
- Contact preservation professionals who work as consultants on grant projects. You may hire a consultant to prepare the application. However, be advised that grant money cannot be used to reimburse the consultant for preparation of the application, nor can the CLG promise to hire the consultant to work on the project if the grant is awarded.

WHEN WILL WE KNOW IF WE ARE AWARDED A GRANT?

Applicants will be notified in August.

WHEN CAN WORK ON THE PROJECT BEGIN?

Work can begin when the CLG receives the Notice to Proceed and a Grant in Aid Agreement that has been signed by the State and the Chief Elected Official of the CLG. Costs incurred prior to this do not qualify as grant related expenses and will not be reimbursed or regarded as match.

Generally, preliminary work, such as sending Requests for Proposals and signing on consultants, will begin in October or November if possible. Grant projects that are not underway by June are subject to cancellation. Projects must be completed by September of the following federal fiscal year.

WHO CAN SERVE AS A CONSULTANT FOR A PROJECT FUNDED WITH A CLG GRANT?

All consultants (architects, historians, or other professionals) must meet the Secretary of the Interior's Professional qualifications and be approved the Hawai'i Historic Preservation Division. CLG grant awardees are required to send Requests for Proposals (RFP) to a minimum of three consultants. Selection can be based on locally determined criteria, e.g., a mixture of experience, qualifications, and cost, rather than cost alone.

REQUIRED REPORTS

CLG grant awardees are required to submit bi-monthly progress reports on their grant projects. The report form is available from SHPD. It asks for a summary of grant project activities that were completed during the two months and a summary of grant monies expended and match that was generated. The report helps the CLG and the State track the progress of the project and provides an early alert system if problems develop.

WHEN ARE GRANT FUNDS ACTUALLY TRANSFERRED TO THE CLG?

The county must have enough money “up-front” to be able to carry the project (including paying for consultants and other project costs) until it gets reimbursed by the State. After the draft grant products have been reviewed and approved by the State, the city or county may request reimbursement of 80% of the grant award. The CLG must first pay the project costs. Then submit a request for reimbursement documenting their payment and sufficient cash and/or in-kind match to support payment.

At the end and close of the project, the CLG can request reimbursement on the remaining balance, 20% of the grant award.

WHO ARE THE KEY PLAYERS IN THE CLG GRANT PROCESS?

County Financial Officer: Typically, this is the City Clerk or the County Auditor. The Clerk or Auditor manages the CLG grant budget, oversees expenditures, insures that accounting meets Federal and State standards, and coordinates with the Project Director in preparation and submission of requests for reimbursement for CLG grant expenditures.

Consultant: Typically, this is a professionally-trained archaeologist, historian, architectural historian, or historical architect who meets the Secretary of the Interior’s Professional Qualification Standards and is hired by a CLG to work on a CLG grant project. The consultant serves as the principal investigator for the project, works directly with the CLG, and channels all communication to the State through the CLG project director. Lists of archaeological, historical, and architectural historian consultants can be obtained from the State Historic Preservation Division.

Local Project Director: A historic preservation commissioner, paid County staff member, or volunteer who works with the consultant in administering and directing the project. The project director reports bi-monthly to the state CLG coordinator and to the County Historic Preservation Commission on the status of the project.

State CLG Coordinator: the professional staff of the Hawai’i Historic Preservation Division serves as the project manager or advisor for each of the funded grant projects. The staff coordinator represents the State in the administration of the awarded grant projects; serves as the primary point of contact with the Local Project Director and consultants; answers questions, provides technical information on the project and reviews and comments on grant products.

WHAT HAPPENS IF WE CANNOT FINISH OUR PROJECT?

Your State Project Manager will work closely with you to try to avoid this happening. Grant projects can be amended after the award is made as long as the amendment(s) do not substantially change the original type of project. In other words, a survey and evaluation project could not be changed to a public education or planning project. However, the project's size, schedule (within 24 mos) and products may be revised under extraordinary conditions.

WHAT HAPPENS IF WE DO NOT SPEND ALL OF THE GRANT AWARD OR IF WE DO NOT HAVE ENOUGH MATCH?

You will only be reimbursed for the amount of the grant award that you can prove that you spent. If you have not produced enough match, your CLG grant award will be reduced since its size is contingent on the amount of local cash and in kind match that you are able to provide.

WHAT HAPPENS IF ALL OF THE STATE’S CLG GRANT MONEY IS NOT SPENT?

The National Historic Preservation Act requires that each State Historic Preservation Office disburse all of the CLG grant money. If at the end of the grant period, a CLG has not expended all of their grant money and/or has not generated enough match to meet the total award—everyone in the CLG and Historic Preservation Program is penalized. The Hawai’i Preservation Division has to return the unspent balance of the CLG grants to the National Park Service awarded, thus decreasing State Historic Preservation Office funds. In the next fiscal year, the Park Service will deduct the unspent amount from the Historic Preservation Grant award to Hawai’i. In effect, Hawai’i is penalized two-fold when CLG grant awardees do not fulfill their obligations. Please notify the SHPD CLG Coordinator **ASAP** if you believe you will not use the entire amount granted to you.

PART II ELIGIBLE PROJECT CATEGORIES

CLG grants are intended to support local preservation efforts. They can be used to underwrite the following types of activities: Planning for Preservation, Planning, Survey/Evaluation, Registration, Pre-Development, Development and Public Education.

The grants cannot be used for maintenance on historic properties (buildings, structures, sites, objects, districts). Nor may CLG grant money be used to cover operating costs, care for museum collections, prepare exhibits, prepare publications or organize events that are not directly related to historic preservation topics or issues.

The following is an in-depth discussion of the different types of projects that are supported by CLG grants:

PLANNING FOR PRESERVATION

These are start-up grants geared to help newly certified or inactive commissions receive basic training in three areas: 1) preservation activities—planning, survey, evaluation; 2) project development, management, and completion; and 3) working with a historic preservation professional. The goal of these projects is to help the Commission and Community understand the role and use of planning, survey and evaluation in a local historic preservation program, particularly in developing a historic property inventory and using the inventory in comprehensive planning.

A planning for preservation project is limited in scope. The project should focus on activities that provide historic preservation training to commission members and volunteers and provide an opportunity to apply that training. Training may include instruction on research, recording, and context development for survey and evaluation and hands-on application when commissioners and volunteers utilize this training to research previous historic preservation work in the city or county and record properties or when volunteers record properties by completing Iowa Site Inventory forms. Training in historic preservation planning may include instruction from the consultant on comprehensive land use planning basics and the commission’s role in the planning process. Training can involve meetings with local governmental officials, local organizations and individuals to identify ways to integrate historic preservation into future community projects.

The project should also involve preparation of a project report that includes a bibliographic listing of previous historic preservation work done in the community. The report will include a discussion of potential historic contexts and associated property types and properties; and the report will contain the consultant's recommendations for future survey, evaluation, and/or planning projects. The consultant will write the report. The commission members and volunteers will do the major portion of the research and assist the consultant in the mechanical aspects of report preparation, collation, and reproduction of the report. It is recommended that a commission focus on either archaeological or architectural/historical properties when doing a planning for preservation project.

The proposed project must comply with the Secretary of the Interior's Standards and Guidelines for planning, identification and evaluation, and any guidelines required by the State in the application.

Planning for Preservation grant projects cannot be combined with other types of projects. For example, the commission may be trained in survey procedures, do preliminary research and inventory work, but the commission cannot perform a survey as part of the project. If your commission wants to survey, then apply for a survey project.

SURVEY AND EVALUATION

CLG counties are responsible for locating historically significant buildings, structures, objects, sites (including archaeological sites) and districts within their jurisdiction. The process of locating is called "identification" and known informally as "survey." The process determining if a property is significant is called "evaluation." Evaluation involves taking the information gathered in identification and applying it to determine if a property meets the Significance and Integrity Criterion of the National Register or of a local register.

Critical and essential steps in developing a local historic preservation program are locating historic properties and building a file of information about them. "Identification" provides the foundation of a local historic preservation program because as a result of locating properties it also generates information about those properties. That information consists of completed Hawai'i Site Inventory forms, Survey Reports, Photographs, Maps, plans of properties. These documents make up the file of information that is called an "Inventory" and used for preservation planning, property management and protection.

Survey data should be readily integrated into the State's planning process and inventory, consequently reports must be in a particular format and information on individual properties. Always consult SHPD before proceeding with a survey project.

Identification projects must gather enough information to make decisions. If it is a reconnaissance survey, enough information is needed to decide which areas and individual properties merit intensive survey and evaluation. If it is an intensive survey and evaluation project, then sufficient information to develop historic contexts and make significance evaluations is needed. Identification projects must be conducted according to a research design that specifies the objectives, methods and expected results of the survey. (Identification Standards I through III). Identification projects must be designed to lead to nominations of significant properties to the National Register (or to a determination of eligibility).

Identification projects can vary in focus, scope and intensity. For example, a survey project could look at the history of properties (buildings, structures, sites, objects), such as how properties reflect different events or developments within a town or county, such as the coming of the railroad or being designated a county seat. A survey project might look at the architecture, design, or engineering of properties. An example would be to look for Plantation Style properties, or to look for timber-framed buildings, or to survey for sugar factory design. Survey projects can focus on the prehistoric or historic archaeology of an area. For example, search for the remains of homes used by early settlers or trying to locate significant early heiau. Finally, survey and evaluation projects may be interdisciplinary, examining historical, architectural, archaeological significance in combination. A survey can examine certain property types, e.g., courthouse, homes; or it can focus on a particular area: a town, an industrial district, a rural area. There are two levels of intensity: “Reconnaissance,” covering a large area but not in depth and “Intensive,” covering a small area in depth.

RECONNAISSANCE SURVEY involves archival research and enough fieldwork to locate properties in the survey area. The emphasis in a reconnaissance level survey is on developing historic contexts. Historic contexts are themes in history, architecture, and archaeology that will be used to evaluate the significance of properties. Reconnaissance surveys emphasize research. Fieldwork is limited, recordation involves noting the location of a property, the type of property, photo-documenting the property, and providing a description. In the case of archaeological reconnaissance surveys, fieldwork may involve pedestrian survey and visual examination of promising areas identified on the basis of background research. Hawai’i Site Inventory Forms and/or State Archaeological Site Forms may be partially completed with a photograph, map location, and other information.

Reconnaissance surveys are used to determine the nature of the next “level of documentation.” For example, results of a reconnaissance survey may indicate when it is advisable to do an intensive level survey of a historic district, when it is advisable to survey intensively individual properties or when additional survey is unnecessary because no historic properties are in the surveyed area. The results of a reconnaissance survey may indicate that it would be productive to survey properties associated with a particular historic context.

Generally, reconnaissance surveys cover more area and larger numbers of properties than can be covered in an intensive level survey. The research undertaken in a reconnaissance survey will produce information on historic contexts for the area covered during the survey. A comparison of these contexts can suggest which would be the most productive to pursue in a follow-up intensive survey.

If the survey is archaeological or interdisciplinary, there are some additional provisions. Archaeological site information is recorded on the State Archaeological Site Forms. See the SHPD staff for interdisciplinary surveys. Finally, provision must be made for permanent curation of artifacts and associated records at a repository that meets the Secretary of the Interior's Standards for Curation.

INTENSIVE SURVEY AND EVALUATION combines survey with evaluation. Intensive Survey involves in-depth archival research and fieldwork to record properties in the survey area. In the case of archaeological sites, intensive survey and evaluation may involve various forms of subsurface testing sufficient to gather information about the horizontal and vertical extent of the associated remains, their structure and composition. For all types of intensive survey and evaluation projects, the objective is to gather sufficient information to recommend proposed significance or non-significance of the investigated properties and develop historic contexts in terms of National Register of Historic Places listing.

The recordation should be comprehensive enough to illustrate the historic character of the property and document integrity. The research should gather enough information to document significance of properties, develop one or more historic contexts and describe them in the Multiple Property Cover Document that serves as the final project report. These projects are very labor intensive, requiring many people and/or many hours to completely record: map, photograph, describe and to research: each property and context, to complete the evaluations of potential significance, to prepare the Multiple Property Cover Document and to complete the associated documentation (site inventory forms and photographic records).

The size of your survey area and the number of properties, requiring recordation, should be selected on the basis of three factors: personnel, hours, and/or cash. You will need a combination of reliable volunteers who are committed to the project, County staff who can devote work hours to the project, and/or the cash to pay for the consultant. The point is to make a realistic assessment of your resources and tailor the size of the project accordingly.

Survey projects can be done in phases. It might be useful to divide the proposed survey area into smaller units if you think you do not have the personnel and/or cash to do the entire area. Remember a historic district can consist of as few as two individual properties and can be increased as further survey and evaluation is completed.

ONLINE ASSISTANCE An explanation of identification (survey) and evaluation and an outline of requirements are found in the Secretary's Standards and Guidelines for Evaluation. Go to <http://www2.cr.nps.gov/freepubs.htm> to download [The Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation](#). This version is updated and annotated and can be downloaded and printed.

You may view a comprehensive list of all multiple property documentation (context documents) by visiting the National Park Service web site at www.cr.nps.gov/nrcover.htm

The following National Park Service Publications provide more information and are available on-line at <http://www.cr.nps.gov/nr/publications/bulletins.html>

Guidelines for Local Surveys: A Basis for Preservation Planning. National Register of Historic Places -- Bulletin 24.

Researching a Historic Property. National Register of Historic Places -- Bulletin 39.

Guidelines for Counting Contributing and Noncontributing Resources for National Register Documentation. National Register of Historic Places -- Bulletin 14.

How to Apply National Register Criteria for Evaluation. National Register of Historic Places -- Bulletin 15.

How to Complete the National Register Registration Form. National Register of Historic Places -- Bulletin 16A.

How to Complete the National Register Multiple Property Documentation Form. National Register of Historic Places -- Bulletin 16B.

EVALUATION is determining whether a property or group of properties meets the National Register or local significance and integrity criteria and therefore is eligible for listing on the National Register of Historic Places or local designation. The evaluation process will not place properties on the National Register but will recommend the best candidates for nomination as individual and/or district listings. Essentially, evaluation involves using a historic context as the framework for determining significance and then using the results of research to show how and why a property meets one or more of the National Register significance and integrity criteria. It is recommended that evaluation be done in conjunction with intensive survey.

REGISTRATION

Registration is official recognition of a significant and therefore historic property by nominating or designating it to a register maintained by the federal or local government. Registration projects involve placing properties on the National Register of Historic Places or on a municipal or county register of historic places. Registration projects should be undertaken if the property has been determined potentially eligible for National Register nomination through an intensive survey and evaluation project or personal research (survey and evaluation) which has been submitted to the State Historic Preservation Office and resulted in a determination of potential eligibility.

Registration activities also may include refinement and elaboration of historic contexts and submission of the Multiple Property Cover Document along with at least one property nomination for approval and listing on the National Register. Multiple Property Cover documents and the historic contexts outlined within cannot be used for nomination purposes until they have undergone the same State and Federal review process as nominations.

NATIONAL REGISTER NOMINATIONS

Counties that have surveyed and evaluated properties are encouraged to complete the process by nominating properties, determined significant and eligible for listing, to the National Register of Historic Places. This typically involves completing additional research and recordation, preparing and submitting the nomination for a series of reviews by State Staff and then for the final review to the State National Register Review Board. Guidance for preparing National Register nominations can be found in the National Register Bulletins listed above. National Register nomination projects must have final nominations and supporting document ready for review by the State Historic Places Review Board. The following guides, available on the Web at www.cr.nps.gov/nr/publications, should be of help to you:

Guidelines for Counting Contributing and Noncontributing Resources for National Register Documentation. National Register of Historic Places -- Bulletin 14.

How to Apply National Register Criteria for Evaluation. National Register of Historic Places -- Bulletin 15.

How to Complete the National Register Registration Form. National Register of Historic Places -- Bulletin 16A.

How to Complete the National Register Multiple Property Documentation Form. National Register of Historic Places -- Bulletin 16B.

LOCAL REGISTRATION Since all CLG Counties have passed an ordinance that allows for the designation of local historic landmarks and districts, then those counties may use a CLG grant to prepare nominations for local designation of individual landmarks or historic districts.

If a CLG commission does a local registration project, they should plan to involve interested or affected parties and the general public in all aspects of the project. Incorporate workshops, focus groups, or other public meetings at all phases of the project to allow for public participation.

Local registration projects funded with these grants must employ National Register of Historic Places criteria, standards, and guidelines for measuring significance and for documentation. Using the State and National forms are encouraged for a more streamlined procedure and one which has been tested in court.

PLANNING

Planning within the Secretary of the Interior's Standards encompasses the development of a long-term program for identification, evaluation, and registration of historic properties and contexts within a city or county. The objective is to develop and maintain an inventory of historic properties which can be used to assist in the treatment, maintenance and long-term protection of those properties.

In addition, the National Park Service recognizes that planning also involves integrating county historic preservation into comprehensive planning processes. This type of planning can include development of any of the following:

1. Local policies: governmental commitment to maintain publicly owned historic buildings or policy to seek historic properties when additional facilities are needed;
2. Incentives: revolving funds, property tax abatement, freeze, or credit; no or low cost loans;
3. Streets: promote appropriate parking, streetscape design and maintenance, signage, relate traffic patterns to use for historic properties;
4. Maintenance programs for historic properties: free or low cost paint, tool bank/exchange; development of training programs in appropriate painting, pointing, repair procedures;
5. Architectural salvage and recycling building materials;
6. Regulatory: local designation, historic conservation zoning, historic preservation easements, historic building codes;
7. Programs to ensure maintenance, protection and continued use of historic properties. This type of planning also involves establishing review and communication networks among local governmental staff and departments (planning, engineering, roads, parks, utilities, permits);
8. Accessibility issues for historic buildings.

The planning projects can be done on a step-by-step basis, or a community/county might choose to develop a plan incorporating many of the activities described below:

- Develop historic contexts to guide future survey and evaluation projects in your city or county.
- Develop a plan for completing intensive level survey and evaluation projects of your city or county.

- Reviewing your local government's ordinances (e.g., zoning, subdivision, historic preservation) and regulations (e.g., building codes, health and fire codes) which affect historic properties. Prepare revisions that allow for recognition and protection of local historic properties.
- Developing design guidelines for proposed alterations of National Register listed and/or locally designated historic landmarks or properties in local historic districts;
- Developing local incentives to encourage appropriate rehabilitation, use, and preservation of historic properties;
- Developing a historic preservation component to incorporate into your local comprehensive plan.
- Developing a system for local designation of single properties and historic districts.
- Develop a financial incentive program for rehabilitating and maintaining historic properties.
- Develop a training program and literature to enhance and facilitate interdepartmental communication about historic preservation issues.

PUBLIC EDUCATION

These projects provide CLG historic preservation commissions with an opportunity to educate their communities about local historic properties and the local historic preservation program. Public education activities should be based on work that meets the Secretary of the Interior's Standards, where applicable. Public education projects must relate to historic preservation activities. Ideally, the projects should also relate to historic properties within your city or county—you need to provide this linkage in your grant proposal.

Public education projects can include these activities: preparing a publication, audio or visual materials; presenting a workshop, conference, lecture, or class; developing curriculum for local schools; adult education programs; or training materials for realtors, contractors, or owners of historic properties. A commission can work with local partners (e.g., civic, historic, youth groups) on the project. The project must focus on historic preservation. Here are some examples of public education projects:

- Apply for scholarship money to cover participation in the National Alliance of Preservation Commissions Forum
- Develop a walking tour and brochure featuring National Register properties in your community, see <http://www.cr.nps.gov/nr/travel/index.htm> for additional ideas;
- Work with elementary or high school teachers to develop courses and projects that use local historic properties to teach various aspects of local history, see <http://www.cr.nps.gov/nr/twhp/index.htm> for additional ideas;
- Present a workshop on historic paint colors for owners of historic properties;
- Use the results of a survey to develop an exhibit on historic farms and their stories, see [Telling the Stories: Planning Effective Interpretive Programs for Places Listed in the National Register of Historic Places](#) at <http://cr.nps.gov/nr/publications/bulletins/interp/> for more ideas;

A commission might organize a workshop on a preservation topic of local interest, e.g., researching your property, applying design guidelines in an historic district, and how to conduct a survey. Exhibits, produced with these grants, must be directly linked to historic preservation: photographic exhibit of National Register listed properties; video tape providing instruction about rehabilitation; power-point presentation on filling out a site inventory form, workshop on porch restoration, etc.

Grant money can be used for planning and organizing the project, promotion and publicity, preparation of materials (registration, schedules, and evaluation forms), obtaining speakers or renting special materials such as videotapes, and producing materials to hand out at the meeting. Grant money cannot be used for refreshments or meals served at the conference. Conference activities should be based on work that meets the Secretary of the Interior's Standards, where applicable.

PRE-DEVELOPMENT PROJECTS

Pre-development projects are used to plan for 1) applying the appropriate treatment, 2) long-term stabilization and maintenance, and 3) use or adaptive reuse of National Register listed properties. In effect, predevelopment projects provide plans for activities that protect and preserve significant, historic properties. Eligible activities include preparing architectural plans to implement the appropriate "Historic Property Treatment," conducting engineering studies, researching and writing historic structure reports, and preparing feasibility studies or master plans. The projects may focus on prehistoric or historic archaeological sites as well as on buildings, structures, and objects. The Secretary of the Interior's Standards http://www.cr.nps.gov/local-law/arch_stnds_0.htm provide guidance for preparing the documentation required for pre-development projects.

If the project will involve a building, structure, or object, then all work must follow the Secretary of the Interior's Standards for the Treatment of Historic Properties, 1995.

<http://www2.cr.nps.gov/tps/standguide/index.htm>

You might want to look at the checklist for rehabilitating historic properties,

<http://www2.cr.nps.gov/tps/cheklist.htm>. In addition, the final report may need to follow Historic Structure Report format. See Preservation Brief #43 Preparing a Historic Structure Report (<http://www.cr.nps.gov/hps/tps/briefs/brief43.htm>)

For archaeological sites, pre-development grants should be used only to develop plans to preserve and manage sites, e.g., stabilization, non-destructive uses, and erosion control. These grants are not to be used for additional study of the site's prehistoric and/or historic occupations.

The State requires the following of applications for pre-development projects:

1. Funds can be used only on properties that are listed on the National Register of Historic Places or determined eligible. Priority will be given to properties that are endangered.
2. Funds should be normally used on properties that are publicly owned or that are owned by a not for profit organization and open for public use. Others should be approved by SHPD.
3. CLGs requesting pre-development funds must have prepared a preservation plan that contains the following:
 - The historic contexts of the community's development are identified and ranked in terms of importance or priority.
 - Property types are identified and linked to historic contexts and to the local resources that represent them.
 - Statement of local preservation goals and objectives.
 - The plan should demonstrate that the property targeted for pre-development merits use of public funding in terms of the community's goals and priorities.

4. Applications for predevelopment projects must have photographs of each property to be assisted. For historic /architectural properties, one interior view and one exterior view are required of each property. For archaeological properties, one photograph is required.

PART III COMPLETING THE APPLICATION

WHAT IS INVOLVED IN DOING A GRANT PROJECT?

Grant projects tend to be labor intensive and do require time. Please develop a good balance between use of consultants and volunteers. If you are considering a survey and evaluation project, be ready to commit substantial time and effort to research and recordation. If you are considering developing some form of local protection for historic properties, e.g., landmark and district designation; conservation districts, plan on lots of meetings, publicity so that you get the community involved, and many drafts and revisions. Grant projects offer an opportunity to involve new people and groups in your historic preservation effort.

Here are the key elements in a grant project:

- Working with state CLG coordinator on all aspects of the project through phone, email consultation and submission of bi-monthly progress reports.
- Develop a satisfactory request for proposals (RFP) to send to consultants, establish criteria for selecting a consultant and to developing a subcontract for hiring the consultant.
- Hiring a consultant.
- Meeting with consultant to go over project goals, set project schedule, research design if needed, allocation of project responsibilities, and get consultant's input on best way to do the project.
- Recruiting, training and organizing volunteers to do project activities.
- Do the project activities (e.g., meetings, training, research and/or recordation, organize and present event, assist in report preparation) over a 6 to 8 month period.
- Preparation of draft grant products and submission to State for approval.
- Preparation of final grant products and submission to State for approval.
- Preparation and submission of Request for Reimbursement(s) with accompanying documentation of expenses and match.

Consultant, Professional—what does this mean?

CLG grant funded projects must be conducted or supervised or reviewed by an appropriately qualified professional, which generally means a preservation professional who meets the Secretary's Professional Qualification Standards for the relevant discipline. When a project involves a workshop, presentation, publication, exhibit, or event, you may also need to seek other professional expertise. If more than one discipline is involved, then the consultant or consultants should have expertise in those disciplines.

Currently, Professional Qualification Standards have been promulgated for Architecture, Archaeology, Architectural History and History. Standards for Cultural Anthropology, Folklore, Curation,

Conservation, Rural or Urban Planning, Cultural Geography are not available. In any event, the professional staff in the State Historic Preservation Division determines if an individual qualifies as a preservation professional or has professional expertise in non-preservation areas, e.g., exhibit design, graphic design, publishing, publicity, marketing, technology.

If there is a county employee or a historic preservation commissioner who meets the Professional Qualification Standards, that individual can serve as the consultant for the project. If it is a county employee, the project work should be considered part of the employee's normal work duties and would qualify as in-kind match, the value of which would be calculated at his or her hourly rate. If a Historic Preservation Commission member meets the professional qualifications and is willing to serve as the consultant, then the work is done on a volunteer/ *pro-bono* basis, using time spent on the project as in-kind match calculated at a professional rate. Federal and State definitions of "conflict of interest" prohibit a county or city from hiring a historic preservation commission member or employee to work on a historic preservation project.

In summary, on the application, specify the types of professional expertise needed for the grant project. For each professional, calculate the amount of time needed and the professional hourly rate, and, if out of town, include per diem and travel expense—as appropriate. If the consultant is to be paid from the CLG grant, then put the total salary, per diem, and mileage amounts in the column marked Federal/CLG Grant. If the consultant is a city or county employee or a historic preservation commissioner, then put the total salary expense in the "applicant match, in-kind" column.

Division of project responsibilities, who does what?

The Historic Preservation Commission needs to decide when they complete the grant application, how work on the project will be allocated. Some commissions have the consultant do most of the work. This means asking for a larger grant because of the salary and travel expense for the consultant. Other commissions choose to assist the consultant and do much of the work themselves. Often this will reduce the cost of the project. If a commission chooses to do project work, it is very important that the commission fulfills this commitment. Survey and evaluation projects will fail when commission members do not complete their assigned research and recordation tasks. Remember, if a CLG does not use all of their grant award or fails to provide sufficient match, then the unspent money must be returned to the National Park Service and next year that amount will be deducted from the Hawai'i Historic Preservation Grant. The next two sections describe the jobs that typically are assumed by the Historic Preservation Commission, volunteers and staff and those that are generally assigned to Consultant.

What are the responsibilities of the local project director and Historic Preservation Commission members in the grant project?

- The Commission prepares the Request For Proposals (RFP) and consultant subcontract; obtains State review and comment on the RFP and contract, sends the RFP to no less than 3 consultants, reviews the consultant proposals, selects the consultant, and hires the consultant.
- Organize any meetings, training sessions, tours or other events held as part of the project. This will include scheduling, finding locations, publicizing, actively recruiting participants or volunteers, setting up, hosting, and cleaning up.
- Assist consultant in gathering information, illustrations or photographs for the draft and final project reports.

- Prepare, print, and distribute to the State all grant products. Actually, this is negotiable. Some consultants can provide this service themselves but will need to be reimbursed for it.
- Prepare one-page report.
- Submit draft and final products to the State for review and comment.
- Submit completed bi-monthly progress reports to the State Project Manager during the course of the project.
- Submit requests for reimbursement along with documentation to the State CLG Coordinator.
- Submit requests to the County to pay the consultant.
- Maintain documentation of local match: hours volunteered, mileage expended, materials donated, donated facilities, donated professional services, etc.

Typically, what are the consultant's responsibilities?

- Provide professional expertise and guidance.
- Provide and lead training and project related work sessions.
- Provide guidance for conducting specific project activities such as research and recordation or inventory development and maintenance.
- Serve as a consultant and provide expertise in public meetings.
- Present and explain project results to the commission.
- Provide handouts and assistance for locating reference materials.
- Conduct some research, collate the results of volunteer recordation and research efforts.
- Guide volunteers in completion of forms and paperwork.
- Serve as primary speaker or trainer in educational session.
- Work with volunteers to develop educational materials, media presentation, or publication.
- Conduct pre-development studies and prepare specifications and plans.
- Guide volunteers who are assisting in production of draft and final reports
- Prepare the draft and final project reports

WHAT COSTS AND ACTIVITIES ARE ASSOCIATED WITH PROJECTS?

Translate these lists into the activities you will need to undertake to complete your project. Use the lists to give you a sense of time, materials, and costs involved in doing each activity.

Consultants will need to be paid for hours spent on:

1. Preparing for training sessions, meetings, and preparation of hand out materials, draft report, final report.
2. Necessary Research.
3. Travel to your community, touring your community, travel to research facilities.
4. Conducting training sessions or meetings.
5. Consulting with the local project director and SHPD project manager in person, on the phone, or by email.
6. Doing on site demonstrations of research or recordation of properties.

Consultants may receive:

1. Reimbursement for mileage accumulated during project related travel.
2. Reimbursement for meals and lodging while traveling.
3. Instead of reimbursement, some consultants are willing to receive in-kind lodging and meals, in effect be guests in the homes of Staff or Historic Preservation Commission members.

The following services and supplies may be needed to conduct the project:

- Correspondence between State, consultant, local project director.
- Publicity mailings, emails, phone calls for meetings, training sessions, and presentations.
- Print and produce the draft and final reports or other printed materials (handouts, brochures, exhibit labels, etc.).
- Various paper supplies: stationary, copy paper; envelopes, file folders, labels, etc;
- Photographic materials: Digital photographs will be accepted, see Appendix for details to assist you in determining associated photographic costs. Black and white film and Kodachrome 35 mm color film:, developing, printing, and duplicating services. Black and white and Kodachrome film must be used, no substitutions are allowed.
- Drafting services to make maps and plans.
- Clerical services.

The following communication costs are typically used on projects:

- Telephone
- Email
- Postage
- Fax
- Printing costs

Curation costs for Archaeological Survey and Evaluation Projects

Archaeological surveys will need to specify a curation facility, where archaeological materials, recovered during the survey, will be stored. The curation facility must meet the Secretary of the Interior's Standards for Curation. Generally, curation facilities have a per unit charge for curation, e.g., \$20.00 per box. There are other agencies that meet the Secretary of the Interior's Standards.

REQUIRED PRODUCTS FOR ALL PROJECTS

The following items must be produced. Be sure to include the list on the application. Estimate the cost of producing each and figure that into the project budget.

1. Two draft copies of the Request for Proposals and a list of consultants to whom it will be sent;
2. Copies of the final Request for Proposals for distribution to consultants;
3. Copies of the draft subcontract agreement with the consultant;
4. Copies of the fully executed subcontract agreement with the consultant;
5. Copies of a one-page report, summarizing the project results, required for all CLG grant-funded projects;
6. Bi-monthly reports

ADDITIONAL REQUIRED PRODUCTS FOR EACH CATEGORY OF PROJECT

The following are lists of items that must be produced for specific types of projects. Be sure to include the list for your type of project on the application. Estimate the cost of producing each and figure that into the project budget.

RECONNAISSANCE SURVEY PRODUCT LIST

- Two (2) draft copies of the project research design outline project activities and schedule
- Three (3) draft copies of the final report which follows the format of a Multiple Property Cover Document
- Two (2) sets of any typed Hawai'i Site Inventory forms, prepared for building, structure, object or site (other than archaeological) recorded or updated during the project. Attached to each submitted form should be at least one, labeled, black and white print, enclosed in a Print-File type plastic sleeve.
- At least one black and white photograph will be taken of each surveyed property; for each roll of black and white film used, develop two contact sheets and one set of negatives, to be filed in Print File type plastic sleeves
- Two (2) copies of any color slides on 35 mm, Kodachrome film taken for the survey
- Two (2) typed copies of "Photograph/Catalog Field Sheet" for each roll of black and white or color slide film
- A minimum of five (5) copies of the final project report, to include 4 bound copies and one unbound, print-ready master copy

INTENSIVE SURVEY AND EVALUATION PRODUCTS

For Architectural and Historical Survey and Evaluation Projects:

- Two (2) copies of a research design outlining the project activities and schedule;
- Two (2) finished sets of typed Hawai'i Site Inventory forms for each building, structure, object or site (other than archaeological) recorded or updated during the project, each form with at least one black and white photographic print enclosed in a Print-File type plastic sleeve;
- At least one black and white photograph will be taken of each surveyed property; for each roll of black and white film used, develop two contact sheets and one set of negatives, to be filed in Print file type plastic sleeves;
- Two (2) copies of any color slides on 35 mm, Kodachrome film taken for the survey;
- Two (2) typed copies of "Photograph/Catalog Field Sheet" for each roll of black and white or color slide film;
- A minimum of five (5) copies of the final project report, to include 4 bound copies and one unbound, print-ready master copy;

For Archaeological Survey and Evaluation Projects:

- Two (2) copies of a research design outlining the project activities and schedule;
- Three (one original and two copies) finished sets of typed Archaeological site inventory forms, for each new site located. For previously reported sites, prepare an updated site inventory form;
- Two sets of black and white photographs documenting sites, methodology, associations, features, profiles, associated topography, and disturbances;

- For each roll of black and white film used for the project, develop two (2) contact sheets and one set of negatives to be filed in Print file type plastic sleeves;
- If slides are taken during the project, two (2) colored slides (an original and a copy) showing sites, methodology, associations, features, profiles, topography, and disturbances.
- Two (2) typed, completed copies of "Photograph/Catalog Field Sheet," for each roll of film;
- A minimum of five (5) copies of the final project report, to include five bound copies and one unbound, print-ready master copy;
- Two (2) copies of a one-page report, summarizing the project results, as required for all grant-funded activities;
-

REGISTRATION PROJECTS PRODUCTS

For the National Register Nomination:

- Two (2) copies of the Request For Proposals (RFP) sent to consultants and the list of consultants to whom it will be sent;
- Two(2) copies of the fully executed subcontract agreement with the consultant;
- Two (2) copies of the research design outlining the project activities and schedule;
- Three (3) copies of final National Register nomination form on archival, 25% cotton acid-free paper, including appropriate maps on continuation sheets.
- One (1) original USGS 7.5' (minute) topographical map, with property location marked in pencil;
- Two (2) finished sets of appropriately labeled black and white photographs, showing at least four sides of the building and representative interior spaces, or representative photographs of a district. Photos must be at least 4"x 6" in size, processed on black and white photographic paper and meet National Park Service specifications found in "How to Complete the National Register Registration Form."
- Two (2) contact sheets and negatives for each roll of black and white film filed in a "Print-File" preserver.
- Two (2) sets, with a maximum of ten (10) color slides, showing at least four sides of the building and representative interior spaces, or representative photographs of the district.
- Two (2) final copies of a typed and completed "Photograph/Catalog Field Sheet" for each roll of film and each "Print-File" Sleeve of color slides.
- An original and a copy of the completed Historic Places Review Board Form for the nomination, indicating that the Historic Preservation Commission and the Chief Elected Official have reviewed and commented on the nomination.

For Local Designation:

- Two (2) copies of the draft Request For Proposals (RFP) to send to consultants and the list of consultants to whom it will be sent;
- A minimum of five (5) final copies of the RFP;
- Two (2) copies of the draft subcontract agreement with the consultant;
- Three(3) copies of the fully executed subcontract agreement with the consultant;
- Two (2) copies of a research design outlining the project activities and schedule;
- A minimum of three (3) draft copies of the nomination form; use of National Register Nominations or National Register Nomination format is encouraged

- A minimum of five (5) final copies of the nomination form in National Register nomination format, with required text, maps, plans, photographs, and bibliography;
- If a historic district is being designated, three (3) copies of documentation of residents' consent or lack of objection to the designation. These can be letters, lists of attendees at public meetings, minutes of public meetings, petitions;
- Three (3) copies of the public notice, agenda, and minutes for the meeting at which the commission will consider the nomination;
- Three (3) draft copies of the ordinance, designating the property as a historic landmark or historic district;
- Two copies of the ordinance, designating the property;
- Two (2) copies of the public notice, agenda, and minutes from the Council meeting in which the nomination was considered.

PLANNING PROJECTS

- A minimum of three (3) copies of the RFP
- Two (2) copies of the draft subcontract agreement with the consultant
- Three(3) copies of the fully executed subcontract agreement with the consultant
- Two (2) copies of a research design outlining the project activities and schedule
- A minimum of three (3) draft copies of the plan, ordinance, guidelines or other document being prepared as part of this project
- A minimum of five (5) final copies of the plan, ordinance, guidelines, manual or other document, being prepared as a result of this project

PUBLIC EDUCATION PROJECTS

If a consultant is hired:

- Two (2) draft copies of the Request for Proposal and a list of consultants to whom it will be sent
- A minimum of three (3) copies of the final Project Request for a Proposal for distribution to consultants;
- Two (2) copies of the draft subcontract agreement with the consultant;
- Three (3) copies of the fully executed subcontract agreement with the consultant;
- Two (2) copies of a research design outlining the project activities and schedule;

If brochures, flyers or pamphlets are produced:

- Two (2) draft copies of any brochure, flyer, or pamphlet;
- A minimum of twenty-five (25) copies of each final version of any brochure, flyer, or pamphlet

If a conference, workshop, or lecture is presented:

- A minimum of two (2) copies of each of the following types of material: all promotional material, programs, conference notebooks or hand-outs created by the CLG as part of the project;
- Two (2) copies of a draft evaluation form to be distributed to participants
- Two (2) copies of each of the following:
 1. A list of participants with names, addresses and CLG Affiliation
 2. Completed Conference Evaluation Forms collected from each of the Participants

3. Promotional Flyers, press releases, etc.
4. Programs and hand-outs;

If an exhibit is presented:

- Two (2) copies of promotional material, program, captions or other text;
- Two (2) sets of labeled photographs or slides documenting any exhibit produced

If audio-visual materials or publications are developed:

- Two draft copies of scripts, publications, curriculum materials, or outline/conceptual plan for audio-visual materials;
- Five (5) final copies, including one unbound, print-ready master copy of script, publication, and curriculum materials;
- Four final copies of proposed slide show in slide tray with all slides numbered and labeled; labeled video tapes; labeled CD-Roms; and/or labeled DVDs.

PRE-DEVELOPMENT PROJECTS

- Two (2) copies of the final RFP;
- Three(3) copies of the fully executed subcontract agreement with the consultant;
- Two (2) copies of a research design outlining the project activities and schedule
- Three (3) copies of the draft project report (this will be the feasibility study, structural assessment, etc.);
- A minimum of five (5) copies of the final project report (this will be final version of the feasibility study, structural assessment etc), to include four bound copies and one unbound, print-ready master copy

PART IV

DEVELOPING YOUR BUDGET

All costs for your project must conform to federal guidelines. Detailed information is provided in Office of Management and Budget Circulars A-87 and A-122 and in the National Park Service, Historic Preservation Fund Grants Manual, 1997. These are summarized in the following discussion.

There will be a period of time when the CLG will have to cover the cost of the grant. That time is the period between submission of final products and Request for Reimbursement and the CLG's receipt of a reimbursement check from the State. Be sure that your chief elected official and city/county fiscal officer understands this.

BUDGET EXPLANATION:

- The Grant Costs (budget) for the project is made up of two parts: the CLG Grant and the Applicant's Match. The CLG Grant consists of those costs or portions of costs that are to be reimbursed by the Historic Preservation Fund (HPF) grant (federal) dollars. The Applicant's Match consists of those costs or portions of costs that are provided by the CLG local government (applicant match). All costs, both the HPF federal portion and the Applicant match must be adequately documented on the budget page.
- The Applicant's match may consist of Cash Contributions, representing the Applicant/grantee's cash outlay, including the outlay of money contributed to the grantee by nonfederal third parties, and/or In-Kind Contributions, representing the value of non-cash contributions provided by the grantee or nonfederal third parties. In-kind contributions represent the value of non-cash contributions provided by the grantee or nonfederal third parties. These can consist of charges for real property, non-expendable personal property, and the value of goods and services directly benefiting and specifically identifiable to approved objectives of the grant-supported project.
THERE IS NOT A CASH MATCH REQUIREMENT FOR CLG GRANTS. AN APPLICANT'S MATCH MAY CONSIST ENTIRELY OF IN-KIND MATCH
- The match ratio for all projects is 60/40. The federal grant should be sixty percent (60%) of the total cost for the project. The local government provides forty percent (40%) of the total cost for the project. If the total cost of a project is \$10,000, then the requested grant should be for \$6,000.00 and the applicant match provided by the local government should be \$4,000.00.
- All of the costs must be in payment of an obligation incurred during the grant period. You cannot charge for costs incurred prior to the award of the grant, nor can you charge for costs that will be incurred after the grant project is completed.
- All costs must represent expenditures that are necessary to the accomplishment of the grant objectives and are outlined in the budget. Make sure that each cost in your budget represents an expense that is needed to support the proposed grant activity.
- Generally, you cannot use transferred federal monies as applicant match; nor can you use money from other federal grants as applicant match. The rule of thumb is that federally derived money

cannot match federally derived money. There are two exceptions. The first is Community Development Block Grant money; this can be used as applicant match for CLG federal grants. The second exception is TEA-21 enhancement grants, administered by the Hawai'i Department of Transportation. Under certain conditions, the Hawai'i Department of Transportation will allow CLG Grant monies to serve as match for TEA-21 Enhancement Grant monies.

COSTS

The following costs are allowed:

- Communications. Communication costs incurred for telephone calls or service, fax, mail, messenger and similar communication expenses necessary for and directly related to grant project operations are allowable and may be charged to either the federal and/or applicant portion of the budget. Specify type of communication, cost basis and amount of usage, and total cost. For example,
 - *Postage mailing products: # of Items x Rate x Estimated total weight*
 - *Telephone: # of Calls x Length of Call x Rate per minute*
 - *Email: # of Email Postings x local rate (charged by Kinkos or like organization)*
- Donated Goods (i.e. expendable personal property/supplies and donated use of space) may be furnished to a grantee. The value of the goods and space is not reimbursable. However, the value of the donations may be used to meet matching share requirements. Specify type of donated good, quantity donated, cost basis and total value.
 - *Paper: # of Reams x Cost per Ream*
- Room or Equipment rental. Rental and use private or publicly owned meeting space or of equipment: earth moving, surveying, computer, photographic, audio-visual and/or other equipment needed to conduct grant project activities is acceptable, provided the equipment is only needed for a short time. The value shall be based on the rental agreement. The cost of which may not exceed the rental cost of comparable equipment in that locality. This may be charged to either the federal and/or the applicant's share of the grant project costs. Specify type of rental (room or type of equipment), estimated length of rental, rental rate and total cost of each rental. For example,
 - *Room rental (local rate for conference room rental) # of hours use x hourly rate*
 - *Photographic or computer system rental: # hours used x hourly rental rate*
- Materials and supplies. The cost of materials and supplies, necessary to carry out the grant project, are allowable. This may include film, maps; material for grant related correspondence, reports, flyers, pamphlets. Purchases made specifically for the grant project should be charged at their actual prices after deducting all cash discounts, trade discounts, rebates and allowances received.

Withdrawals from general stores or stockrooms should be charged at cost under any recognized method of pricing, consistently applied. These may be charged to the federal and/or applicant's share of the project. Specify type of material or supply being used, amount, price and total price.

Materials and supplies donated by third parties. The cost of these supplies may be charged at cost under any recognized method of pricing, consistently applied. The value should be placed

in the applicant match in-kind column of the budget. Show type of material or supply, cost, and total value.

- Professional and consultant service costs. Cost of professional and consultant services rendered by persons or organizations that are members of a particular profession or possess a special skill, are allowable. A subcontract with consultant outlining responsibilities, standards, products and fees will be required. Consultants are reimbursed for all time spent on the project (planning training workshops, participating in workshops/meetings, research, fieldwork, travel time to the CLG, research facilities, etc.). The current federal hourly rate is \$88.10 or \$705.00 per day.

On the budget page, show total number of hours, hourly rate of pay, and total compensation for consultant and as separate costs, total mileage, mileage compensation rate and total cost for mileage as well as total per diem days, per diem rate, and total cost of per diem expense.

- Publication and printing costs. Costs of printing and reproduction services necessary for grant administration and grant project activities are allowable. Photographic processing and printing are included in these costs and should be identified as such. These can be charged to the Federal and/or the applicant share of the total project cost. Specify type of item, number produced of each item, show per page or copy rate and the total cost. Specify type of film, number of rolls to be purchased, cost per roll, developing cost per roll, special printing or duplication costs. For example:
 - o 10 rolls Black and White film @ \$9.00 per roll;
 - o Printing 10 rolls of black and white film @ \$10.00 per roll plus \$2.00 for contact print for each roll;
 - o Duplicate prints # of black and white prints x duplication cost per print
 - o Printing/Photocopying (use local rate e.g., Kinko's, Office Max, Wal-Mart). Number of pages x Number of copies x price per page.
- Personnel. Project-specific personnel hired as regular employees specifically for the grant project. Eligible costs are salary expenses. These costs may be charged to the federal portion and/or the applicant portion of the budget. These costs are classified as "cash" on the budget page of the grant application. On the budget page, for each project specific employee hired, show the total estimated hours times the hourly rate and total salary expense, e.g., *draftsman @ \$20.00 x 5 hours.*
- Volunteers. Volunteer personnel may contribute time to the grant project. If a volunteer is performing tasks within his/her normal trade or profession, eligible costs include the volunteer's normal rate of pay up to established maximums. Benefits are not eligible. If the volunteer is performing tasks outside of his/her normal trade or profession, eligible costs may include only federal minimum wage (\$7.25 effective July 24, 2009) for the hours worked. These costs may be utilized only for the applicant portion of the budget and are classified as In-kind/Volunteer on the budget page of the grant application. In Budget Table, show as follows, *30 volunteers x @ \$7.25 x 10 hours per volunteer = \$2,175.00*
- Personal Services. These costs would include reimbursement to regular employees of the city or county who spend all or part of their time working on the grant project. Eligible cost is the salary of the employee. The employee must be working in the same skill for which he/she is

normally paid; otherwise, minimum wage is used. These costs may be charged to the applicant match portion only. These are considered in-kind match and would be placed in the In-kind/Volunteer match column. In Budget Table, show estimated hours X hourly rate for each employee and total salary cost. On budget page show as follows, *Planning Director, hourly salary rate \$30.00 x 40 hrs*

- Mileage. The mileage of trips taken in performing grant activities costs may be charged to the grant budget. Mileage costs do not include costs of mileage from place of residence of project personnel to the project site (except consultants who live in one community and travel to job site in another community). Mileage paid for by the Applicant/grantee to consultants or personal hired to work on the project may be charged to the federal portion and/or to the applicant match portion of the budget. Donated mileage accumulated by CLG employees or third party volunteers while engaged in project activities may be charged only to the applicant match portion. Maximum mileage rate is 39 cents per mile. On the budget page, show total estimated mileage times mileage rate and total cost of or value of accumulated mileage, e.g., *consultant mileage 500 miles x 39 cents per mile = \$195.00*
- Travel. Travel costs are allowable for expenses for transportation, lodging, subsistence, and related items incurred by consultants or other paid employees while engaged in grant project activities. Such costs may be charged on an actual basis, on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip, and results in charges consistent with those normally allowed in like circumstances in non-federally sponsored activities. These costs should be formalized in advance.

What costs can be underwritten by the grant?

- With two exceptions, all costs can be charged to the grant. The two exceptions are staff salaries, commissioner and volunteer reimbursement for time and mileage.
- Costs can be divided between the grant and the applicant. For example, a charge of \$200.00 for copying could be pro-rated to \$100.00 as part of the grant request and \$100.00 as CLG applicant match.

What can be used as “Applicant In-Kind Match”?

- All the time that the local project director and commission members spend involved in grant project related activities.
- All the time that volunteers and meeting participants spend involved in grant project related activities including meetings, review of documents, planning
- All the time that county staff and officials spend involved in grant project related activities
- All the mileage that commissioners, volunteers, staff and officials accumulate traveling to participate in grant project related activities.
- The value of all communication costs (telephone, email, post, fax), materials (paper supplies, film, etc.), services (clerical, photographic, drafting, graphic arts, editing, administrating, etc) that local project director, volunteers, commissioners, and staff contribute to the project.

- The value of goods (e.g., paper, film, copying or printing etc.) and services (e.g., producing multiple copies of the final report, computer services, professional photography, graphic artist, promotional) contributed to the project by the County or the public.
- Local value of equipment or facility rental for meetings and other project related events. In regard to equipment rental, e.g., use of projectors, public address systems, video recorders, Iowa Communication Network, or equipment (remote sensing, machinery) for archaeological investigation

The following costs are not allowed:

- Any cost related to a fundraising appeal.
- Archival research. Cost of purely archival research is unallowable. Grant -assisted research must directly relate to achieving the purposes of the grant project.
- Alcoholic Beverages. Costs of alcoholic beverages are unallowable.
- Archaeological Salvage. Costs of data recovery unrelated to increasing an understanding of a National Register property are unallowable.
- Honoraria. Payments for honoraria are not allowable when the primary intent is to confer distinction on, or to symbolize respect, esteem, or admiration for a recipient. (Payments for services rendered, such as a speaker's fee at a grant-assisted workshop, are allowable).
- Lobbying. The cost of certain activities associated with obtaining grants, contracts, cooperative agreements, or loans is an unallowable cost. The costs associated with activities or any form of communication designed to influence in any manner a Member of Congress to favor or oppose any legislation or appropriation are unallowable. For non-profit organizations, attempts to influence outcomes of any Federal, State, or local election, referendum, initiative, or similar procedure, through in kind or cash contributions, endorsements, publicity or similar activity; any attempt to influence: the introduction of Federal or State legislation; or the enactment or modification of any pending Federal or State Legislation; legislative liaison activities, including attendance at legislative sessions or committee hearings, gathering information regarding legislation, and analyzing the effect of legislation, when such activities are carried on in support of or in knowing preparation for an effort to engage in unallowable lobbying.
- Meals. Costs of meals for grantee employees or CLG Commission members are not allowed, except as per diem when such persons are on travel status in conjunction with activities eligible for HPF assistance (e.g., scholarship to attend the NAPC Forum).
- Mitigation expenses. Cost of mitigation activities performed as a condition or pre-condition for obtaining a Federal permit or license or funding by other Federal programs are not allowable.
- Museums. Costs of museum exhibits, staff salaries, and other administrative expenses, including maintenance, are unallowable, if they are not directly related to HPF-eligible activities.

COMPLETING THE BUDGET PAGE

Use the information on allowable and unallowable expenses as well as the product lists for each activity as guides in identifying costs related to doing a particular activity. Remember some costs can be split between the grant and applicant match. Other costs can only be charged as applicant match. Try to put all costs that will entail cash payments in your grant request and all costs that can be covered by donated services, equipment, room rental etc. in the Applicant In-Kind Match column to lessen local cash outlays.

The most important figure on the Budget Page and the one that cannot be changed once your grant is awarded is the amount of the CLG grant.

SAMPLE BUDGET

Projected Costs	CLG Grant (Federal)	Applicant Match		Project Subtotals
		Cash	In-Kind	
Consultant 240 hours at \$50/hr	\$12,000.00			\$12,000.00
Consultant Mileage 1800 at 39 cents/mile		\$702.00		\$702.00
Consultant Lodging 8 days @\$65/day	\$520.00			\$520.00
Photography (film & Processing) 15 roll@\$30/roll	\$450.00			\$450.00
Copies/Maps Miscellaneous/As Needed		\$150.00		\$150.00
Volunteer Hours (general) 450 hr@ \$7.25/hr			\$3262.50	\$3262.50
Volunteer Hours (professional) 15 hrs @\$30/hr for site research and review			\$450.00	\$450.00
Project Director (city staff) 210 hrs @ \$18.90/hr			\$3,969.00	\$3,969.00
Finance Director (city staff) 5 hrs @ \$29.14			\$146.00	\$146.00
Office Supplies/ Miscellaneous Materials			\$300.00	\$300.00
Phone/Fax/Postage/ Computer Services/ Clerical			\$315.00	\$315.00
Totals	CLG Grant \$12,970.00	Total Applicant Match		Total Project Cost \$22,264.50
		\$852.00	\$8442.50	
		\$9,294.50		

PART V

PROCESS AND CRITERIA FOR EVALUATION OF APPLICATIONS AND RECOMMENDING GRANT AWARDS

THE REVIEW PROCESS

During the historic preservation professional staff review, applications are checked to make sure they meet federal and state grant requirements (Evaluation Standard 1) and to provide preservation professional comment on how the project meets the other four Evaluation Standards

The State Historic Preservation Division staff conducts individual and group reviews. They score the applications and comment on them in their individual reviews, then meet and discuss the total scores and ranking of the applications during their group review. The group review is concluded with a funding recommendation. They can recommend the following:

- a. That a proposed project be funded in full
- b. That a proposed project be partially funded
- c. That a proposed project not be funded

The final review is done by the SHPO who considers the review and recommendations of the professional staff, then makes funding decisions. The evaluation process begins upon receipt of the final applications and will be completed by the beginning of August.

EVALUATION STANDARDS

All CLG grant applications are evaluated using the five standards described below:

Standard I.

COMPLIANCE WITH FEDERAL STANDARDS AND STATE CLG GRANT PROGRAM GUIDELINES

Desired: The proposal and project activity conforms to federal standards and state CLG grant program guidelines. Meeting these standards and guidelines means that the applicant used the appropriate application form, provided complete information, provide required number of copies, had original signature of chief elected official on one application on first page and the final budget page. In addition, the application was for historic preservation project, the proposed activities complied with the Federal Standards and State guidelines. The applicant proposed to generate all of the required products for that type of project. The budget was complete and all proposed costs met federal and state requirements

Not Desirable: If the proposed grant activity does not conform with federal standards or state CLG grant program guidelines, the project includes activities, products or projected costs that are not allowed, information is incomplete or missing, then the project may be disqualified. The project includes activities, products or projected costs that are not appropriate for the proposed project. The applicant incorrectly identified the type of project: e.g., identified as a planning project when it is registration project. The project will be done without the use of a historic preservation professional. Budget unit rates do not comply with federal or state standards.

Any project that is submitted before the final deadline and is found to be incomplete or problematic will be returned to the applicant to allow for revisions and corrections. To qualify, the applicant will need to submit the revised application by final deadline.

Standard II

CLEARLY STATED OR SPECIFIC GOALS THAT CAN BE REALISTICALLY ATTAINED WITHIN THE FUNDING PERIOD AND PROPOSED BUDGET.

Desired: There is a clearly stated goal for the project. The scope of work contains the requisite activities and products for achieving the goal and completing the type of project. The commission will use a qualified consultant and has sufficient in-house personnel (commission volunteers, county staff, community volunteers) to do the job. The budget is realistic in terms of time and cash allotments for completion of the various project activities. There is sufficient time to do the work.

Not desirable: It is unclear what the project goal is, several conflicting goals have been identified. The project includes activities and products cannot be completed within the proposed time frame. The local match for the project seems weak, e.g., not enough volunteers, too few hours, or too ambitious, expect too much from local volunteers. There is a lack of understanding of what such a project entails as reflected in the activities and schedule in the scope of work. Project personnel will not have the expertise needed to complete the work or there is not a clear demonstration of in-house paid or volunteer help to complete the project. The project cannot be completed within the stated time frame and/or for the proposed cost.

Standard III

MEASURABLE RESULTS OR PRODUCTS (NUMBER, QUALITY)

Desired: The applicant clearly describes the project impact and generated products and explains how this will further the local or state historic preservation effort. The applicant describes the results or products and how these will help to grow the historic preservation program. The project will result in the required products and there will be additional benefits, for example, public meetings in which the consultant will work with the commission and other volunteers from the community. An effort will be made to publicize the project. The project may provide a model in terms of the way it is organized or the products generated for other CLG's,

Not desirable: The project will not result in the required products and/or schedule and budget suggest insufficient funds and time have been allotted to project so that the products will not be good ones.

Standard IV

LINKAGE WITH GOALS AND OBJECTIVES EMBODIED IN STATE OR LOCAL PRESERVATION PLANS.

Desired: The applicant demonstrates how this completion of this project fits into local and/or State goals. For example, the applicant discusses how a planning for preservation project will assist a newly certified City or County in understanding how they can use their historic preservation program to the benefit of the community and identify some future projects. Another example, the applicant discusses how the proposed survey and evaluation project will contribute to the local and state property

inventory, position the area for future registration projects and better comprehensive land use planning in that area.

Not desired: The applicant makes no reference to long term local or state preservation goals and objectives. The applicant has not demonstrated an understanding of how this project will further historic preservation objectives in the county and or the State.

Standard V.

ABILITY TO COMPLETE THE PROJECT

Desired: The applicant demonstrates through previous CLG grant performance or work on other historic preservation projects an ability to complete the task. In addition, the applicant shows commission commitment to the project through the involvement of commissioners; public support for the project through the involvement of staff, community groups and individuals. Local officials demonstrate project support through in-kind and cash match contributions.

Not Desired: The applicant does not address problems that occurred in previous CLG grant or other projects. There appears to be insufficient support by the commission, staff, groups and individuals. There is no local governmental support or involvement.

SAMPLE

**CERTIFIED LOCAL GOVERNMENT
GRANT-IN-AID AGREEMENT**

Contract No. 2007-07

**HAWAI'I STATE HISTORIC PRESERVATION DIVISION
GRANT-IN-AID AGREEMENT FOR:**

Kaua'i County, Hawai'i

**Phase II testing of archaeological sites and National Register eligibility determination of
architectural properties**

This agreement is made and entered into by and between **Kaua'i County**, hereinafter referred to as the RECIPIENT, and the Hawai'i State Historic Preservation Division, hereinafter referred to as the STATE; WITNESSETH THAT:

WHEREAS, the STATE, is interested in broadening the role of local governments in historic preservation through the Certified Local Government program; and

WHEREAS, the STATE, in accordance with the National Historic Preservation Amendments of 1980, is providing 10% of its annual federal Historic Preservation Fund appropriation to Certified Local Governments; and

WHEREAS, the RECIPIENT has demonstrated its interest in historic preservation by becoming a Certified Local Government, and desires to complete **Phase II testing of archaeological sites and National Register determination of architectural properties;**

NOW THEREFORE, it is agreed by and between the parties hereto as follows:

1. That the RECIPIENT is qualified to complete the attached Scope of Work (Exhibit C);
2. That the RECIPIENT will be responsible for overseeing all aspects of fiscal management;
3. That the RECIPIENT provide a permanent copy of financial records suitable for State and Federal audit as directed under the Single Audit Act of 1984, P.L. 98-502, if required;
4. That the STATE provide for only project costs eligible under provisions stipulated by the National Park Service, U.S. Department of the Interior for grants -in-aid. Project work which does not meet Secretary of Interior Standards will not be reimbursed for under this contract;
5. That the STATE monitor the project and provide input as called for in the attached Scope of Work (Exhibit C);
6. That the Recipient and the STATE mutually agree that if, during the duration of the contract, it is deemed necessary by either party to make alterations to or amendments to this Agreement, such changes shall be incorporated into this contract upon mutual agreement and shall be in effect as of the date of the amendment unless otherwise specified within the amendment;
7. That the STATE agrees to pay the project eligible costs under the terms of this Agreement;
8. That the RECIPIENT and the STATE mutually agree to abide by the general and specific conditions attached hereto as Exhibits A, B, C, and D;

9. That the RECIPIENT and the STATE mutually agree that all work performed under this contract will be completed by June 30, 2008:
10. That the RECIPIENT and the STATE mutually agree that the cost of this contract shall be **\$10,000.00** (Exhibit D). All eligible costs necessary to carry out the project shall be initially advanced by the RECIPIENT and then the STATE shall reimburse the RECIPIENT for **\$10,000.00** upon receipt of all work products and as specified in the Scope of Work. The agreement will end on June 30, 2011. The final bill must be submitted with the final report by June 30, 2011.
11. Expenditures are to be according to the Budget, attached as Exhibit D. Adjustments between budget categories are permissible following written mutual consent between the RECIPIENT and the STATE;
12. The RECIPIENT will faithfully comply with all applicable Federal and State laws, regulations and guidelines, including the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation as published in the Federal Register on September 29, 1983;
13. The RECIPIENT shall hold the STATE and federal government harmless from damages in any action arising from the performance of work described herein.

IN WITNESS WHEREOF, the parties hereto have executed this contract on the day and year last specified below.

RECIPIENT

Mayor Kaua'i County

Date

STATE

Deputy State Historic Preservation Officer, State of Hawaii

Date

EXHIBIT A
GENERAL CONDITIONS
Certifications etc. in Detail available for CLG coordinator at SHPD

EXHIBIT B
SPECIAL CONDITIONS
Conditions available in Detail for CLG Coordinator at SHPD

EXHIBIT C
SCOPE OF WORK

A. WORK ELEMENTS

This project is for the completion of Phase II level testing and research and will result in the specific identification of archaeological sites and architectural properties eligible for the National Register in Subsections F, G, and H and Subsections J, N, and O and recommendations for the completion of these nominations by future studies. This project is a continuation of an effort to analyze and preserve the history of Kaua'i County and is based on the results of a comprehensive planning survey.

The project will also include more intensive historic research and inspection of the architectural properties identified in the previous grants in order to completely address questions concerning eligibility of the properties under Criterion A and/or B and under the Early Settlement Era context.

Phase II testing will require permission of the current property owners; therefore it is anticipated that some properties will be denied access for testing. It is estimated that a minimum of five archaeological sites and 10 architectural properties will be examined during this study.

Phase II archaeological testing will involve intensive testing and level of evaluation using test unit excavation (0.5 m x 0.5 m up to 1 m x 1 m units) to address questions concerning site integrity and information potential in order to complete a determination of either eligibility or ineligibility for the National Register of Historic Places for each site. Test unit excavation will be documented by sketch maps, profile drawings, and photographs. A research design will also be completed and submitted for review prior to initiation of fieldwork.

Archaeological site information will be recorded on Hawai'i State Archaeological Site Forms. The report will be in Multiple Property Cover Document format and meet information/content requirements. Provision will be made for permanent curation of artifacts and associated records at a repository that meets the Secretary of the Interior's Standards for Curation.

The end products of the project will include draft and final reports summarizing the results of the Phase II testing of the archaeological sites and the additional research and study of the architectural properties. The final report will include any properties identified as eligible for the

National Register of Historic Places. Additional products will include black-and-white prints and color slides of sites and properties (a minimum of one each per property examined), updated archaeological site record and architectural inventory forms, photo log sheets, negatives, and contact prints of negatives. The end result will provide Kaua'i County with documentation needed to pursue National Register status listing for eligible properties within these subsections.

This project will require the work of the Kaua'i County Historic Preservation Commission, area volunteers, and a consultant or consultants who qualify as an Architectural Historian and Historical Archaeologist according to the Secretary of the Interior's Professional Qualification Standards. The consultant(s) will be responsible for the quality and completion of the work performed as well as the recruitment, training, and coordination of volunteers for the project.

The project director will be _____, Kaua'i County CLG Grants Manager and staff liaison to the Kaua'i County Historic Preservation Commission. Grants manager will be responsible for administration of the grant and coordination of Historic Preservation Commission meetings. Administration will include effective budget management, timely and accurate report preparation and submittal, and ensuring the scope of work is implemented completely and according to schedule. Historic Preservation Commission chair, will also assist in grant management. The 9-member Commission as a whole is expected to dedicate 40 hours to this project. They will be responsible for soliciting proposals for a qualified consultant(s) and selection of the most appropriate candidate. They will also aid in identifying and organizing volunteers as needed.

Volunteers will be recruited from the Kaua'i County Historic Preservation Commission, historical societies, and county residents. Volunteers will be carefully selected and trained by the project consultant(s). They will assist with conducting property research, photography, and on-site documentation. Their work will be under the oversight of the project consultant(s).

B. PRODUCTS

See CLG coordinator and appropriate Branch Chief for List of Products required for each type of CLG Grant

The RECIPIENT will prepare and distribute the following products:

General requirements:

The Historic Preservation Commission will be responsible for furnishing the STATE and the public with draft copies of the project report for review and comment. The draft report must be complete when submitted for review. The STATE may request, and the RECIPIENT will supply, additional revised draft products (report, site inventory forms, etc.) for review and comment at no additional cost to the STATE. If additional, revised draft products are required, each will be due 30 days after the STATE requests the revisions.

C. SCHEDULE: ACTIVITIES AND PRODUCT SUBMISSION

Details available from CLG Coordinator

D. REIMBURSEMENT SCHEDULE

Payments by the STATE shall be made upon receipt of billing invoices from the RECIPIENT that relate expenses being billed to budgeted expenses identified in Exhibit D. Each payment request will be audited by the STATE to insure that sufficient progress has been made in support of the invoice. Timely submission of products is essential for reimbursement. Claims for reimbursement must be accompanied by a progress report. Claims must be submitted to the SHPD CLG coordinator.

The following payment schedule will be used:

Approval of draft products	up to 80% of grant
Approval of all products	remaining balance of the grant

E. COORDINATION

This project will be managed by the RECIPIENT in cooperation with the STATE. The RECIPIENT will be represented by the Project Director, _____; (808) 892-5118; and the STATE will be represented by _____, State Historic Preservation Division who will provide routine information and technical guidance.

The RECIPIENT's Project Director will maintain continuous coordination with the STATE's CLG coordinator during the course of the contract. This will consist of written bi-monthly progress report due on the 5th of each month. These reports will keep the STATE abreast of contract progress and serve as a vehicle for assessing performance of the contract. Progress reports shall be directed to the state's CLG Coordinator. The project manager is encouraged to send these reports via email.

BUDGET

40

CERTIFIED LOCAL GOVERNMENT
BI-MONTHLY PROGRESS REPORT

Grant Recipient:
Grant #:
Report for months of:
Contact Person:
Daytime Phone #:
Describe the progress made during this 2 month period toward accomplishing the goals of your project. Refer to work elements and products listed in the Exhibit C-contract scope of work.
Is the project currently on schedule? If not, please explain. Describe any significant problems encountered this month which may impede the successful and timely completion of your project.
Return by the 5th of every two months to: (email is recommended)
Email Electronic Copy to the State Project Manager and CLG Coordinator:
Or Mail Hard Copy to: State Historic Preservation Division
601 Kamolika
Kapolei, Hawaii

(continued on the reverse side)

Itemized Project Match

Category	Column 1 Match accumulated this month (hours, mileage, etc.)	Column 2 Value of match accumulated <u>this</u> <u>month</u> (Column 1 x unit cost)	Column 3 Total match accumulated <u>to date</u> (including this month)	Column 4 Amount of match committed to per contract (Exhibit D)
A. Volunteer hours	_____ hours	\$	\$	\$
B. Staff/other hours	_____ hours	\$	\$	\$
C. Mileage	_____ miles	\$	\$	\$
D. Room use and rental		\$	\$	\$
E. Contributed Materials		\$	\$	\$
F. Contributed Communication		\$	\$	\$
G. Contributed Services		\$	\$	\$

Digital Photo Options

Suggestions to improve longevity

For consultants and other project applicants who elect to complete photographic tasks for a survey, or National Register nomination with a digital camera, the following procedures apply.

For Architectural, Historical, and Archeological Survey and Evaluation Projects:

Photo image

1. Image size (for 4" X 5" prints) must be 1600 X 1200 pixels at 300ppi (pixels per inch) or larger. For 5" X 7" prints, the image size must be 2048 X 1536 pixels at 300 ppi or larger.
2. Digital image will be saved in 24-bit (or larger) color format
3. Electronic image will be both taken and saved as an uncompressed .TIF (Tagged Image File format). The file name for each image saved on the CD-R must correspond with the photo log and state the Hawaii Site Inventory number, image number, and property name.

Prints

An inkjet/laser print on archival paper (acid free, 25% or more cotton) of a photo (no more than 2 per page) with a caption at the bottom of the page identifying the property name, town, street address, UTM location, Hawaii Site Inventory number, and CD-R number/photo image number.

CD-Rs submitted

Provide a CD-R for the report, inventory forms and photos and Photo Catalog Field Sheet. Finalize the CD-R so that it can be read in any CD or DVD drive. Do not include more than one project per CD-R. An assigned number for each CD-R will be available from the statewide inventory coordinator.

Each CD-R must be labeled with:

1. CD-R number
2. The name of the project, including grant number if applicable.
3. The name and HADB number of associated report or multiple property documentation form, if applicable
4. The county and town where the survey/evaluation project occurred.
5. Name of person or firm providing the information and evaluation
6. Year when project was completed.
7. Inventory number, if for an individual property.

For National Register Nomination Projects

Photo image

1. Image size for 4" X 5" prints must be 1600 X 1200 pixels at 300ppi (pixels per inch) or larger. For 5" X 7" prints, the image size must be 2048 X 1536 pixels at 300 ppi or larger.
2. Digital image will be saved in 24-bit (or larger) color format
3. Electronic image will be saved as an uncompressed .TIF (Tagged Image File format). The file name for each image saved on the CD-R must correspond with the photo log included in the nomination and the information labeled on the back of each photograph, which references the state of Hawai'i and county in which the property is located

Prints

Three sets of black and white prints from digital photos must be provided that meet the National Register 75-year permanence standard for acceptable ink and paper combination (see National Register of Historic Places and National Historic Landmarks Survey Photo Policy Expansion, March 2005 at <http://www.cr.nps.gov/nr/policyexpansion.htm>).

Labeling Photo Prints

Two methods of labeling photographs are acceptable. Labeling may be done by printing in pencil (soft lead works best) or with an archival photo-labeling pen on the back of each photograph. The following information must be included:

1. Name of the property or, for districts, the name of the building, streetscape view, or street address followed by the name of the district.
2. County and state where the property is located.
3. Name of the photographer.
4. Date of the photograph.
5. Description of view indicating direction of camera.
6. Photograph number. For districts, use this number to identify the view indicating direction of camera on the sketch map located within the nomination.

CD-Rs submitted

Assigned CD-R numbers are available from the statewide inventory coordinator

Four CD-Rs will be required:

One CD-R for the nomination form (provided upon completion of final revised nomination as per directions of the State Historic Places Review Board). This CD-R will be labeled with:

1. CD-R number
2. The name of the property (one property per CD-R), including Hawai'i Site Inventory number.
3. The associated multiple property documentation form (if applicable).
4. The county where the property is located.
5. The name of the preparer of the nomination
6. Year of the nomination

Two CD-Rs of photos submitted with the nomination, which include one CD-R for the National Park Service in Washington, DC, and one for the Certified Local Government (CLG), if applicable. The two CD-Rs must be labeled with:

1. CD-R number
2. The name of the property (one property per CD-R).
3. The associated multiple property documentation form (if applicable).
4. The county and state where the property is located.

One CD-R of photos and a PowerPoint presentation (if possible, if not slides will still be accepted for presentation to the State Historic Places Review Board) of the photos submitted with the nomination for the SHPO. The CD-R must be labeled with:

1. CD-R number
2. The name of the property (one nomination property per CD-R).
3. The associated multiple property documentation form (if applicable).
4. The county and state where the property is located.

