



HISTORY *Colorado*

STATE HISTORICAL FUND



Grant Management Workbook

Updated September 2011

State Historical Fund Grant Management Workbook

This workbook has been created to complement the Grant Management Workshop presented by State Historical Fund staff. It offers basic information on all aspects of receiving and managing State Historical Fund (SHF) grants, including the roles of staff and how they will be involved in your project, and basic processes and forms that are involved in bringing a SHF grant project to completion.

It is the hope of SHF staff that such information will help grant recipients successfully apply for and manage SHF grants for their historic preservation projects.

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Staff Roster

General SHF Phone(303) 866-2825
 FAX NUMBER(303) 866-2041

Office Support Staff

Deborah Johnson, Grant Systems Coordinator(303) 866-2769
 Alexis Ehr Gott, Grant Systems Associate(303) 866-2825

Public Outreach/Applications

Cynthia Nieb, Deputy Director and Director of Public Outreach(303) 866-2809
 Lyle Miller, Outreach Specialist(303) 866-2779
 Erika Warzel, Outreach Specialist & Property Protection Coordinator(303) 866-3493

Projects Management

Patti Kinnear, Preservation Projects Manager(303) 866-2976
 Elizabeth Blackwell, Historic Preservation Specialist(303) 866-2851
 Estella Cole, Historic Preservation Specialist(303) 866-2896
 Gheda Gayou, Historic Preservation Specialist(303) 866-2835
 Anne McCleave, Historic Preservation Specialist(303) 866-3536
 Thomas Carr, Staff Archaeologist(303) 866-3498
 James Stratis, Director Special Projects and Education(303) 866-2822

Contracts and Financial Management

Janette Vigil, Contracts Officer(303) 866-3067
 Susan Frawley, Contracts Coordinator(303) 866-3043
 vacant, Contracts Specialist(303) 866-2961
 Dawn Fenimore, Contracts Specialist(303) 866-4028
 Lindsay Orr, Contracts Specialist(303) 866-2887

State and National Register

Astrid Liverman, National and State Register Coordinator(303) 866-4681
 Leslie Giles, Architectural Survey Coordinator(303) 866-4822
 Heather Bailey, Historian(303) 866-4683
 Heather Peterson, Historian(303) 866-4684

Administration

Ed Nichols, Colorado Historical Society President, CEO
 and State Historic Preservation Officer(303) 866-3355
 Steve Turner, Vice President for Preservation, State Historical Fund Director and
 Deputy State Historic Preservation Officer(303) 866-2776

Email addresses for the above are always firstname.lastname@state.co.us

Mailing Address: State Historical Fund
 History Colorado Center
 1200 Broadway
 Denver, CO 80203

Overview of the State Historical Fund and Its Grant Programs

Mission: The State Historical Fund (SHF) is a State-funded grant program for **historic preservation**. The SHF was established by the passage of the 1990 Colorado constitutional amendment that legalized gaming in the historic mining towns of Central City, Black Hawk, and Cripple Creek. The SHF's mission is *to foster heritage preservation through tangible and highly visible projects for direct and demonstrable public benefit.*

Since its establishment to date, the Fund has awarded over 3,900 grants with a total worth of more than \$247 million. Grants have been given to projects in all 64 counties of Colorado.

What is Historic Preservation?

Historic Preservation is a field that concerns itself with retaining historic places, including archaeological sites. It does so through a variety of methods, such as:

- Identifying, evaluating and designating historic properties
- Raising awareness and understanding of historic places
- Planning for and implementing physical work on historic buildings, structures and sites that is guided by the *Secretary of Interior's Standards for the Treatment of Historic Properties* (see Appendix A)

The State Historical Fund has funded projects involving all of these activities. See the description of our grant project types on the following pages.

Eligibility: Applicants for SHF grants must be *public entities* (such as local or county governments) or *non-profit organizations* with 501 or 521 tax status.

Private individuals, for-profit organizations, and federal agencies may not apply for SHF grants, but can participate in SHF grant projects by finding appropriate eligible applicants willing to apply for, and administer SHF grants as fiscal agents. The municipal governments of Cripple Creek, Central City, and Black Hawk are not eligible to apply for SHF grants.

Grant Types & Deadlines

Grant Types: There are several types of grants available from the SHF. The most commonly applied for are the *Competitive Grants*, which fund many types of projects that fit within the SHF mission. Other types, such as *Historic Structure Assessments*, *Archaeological Assessments*, and *Emergency Grants* must meet specific criteria and are limited to their established allowable award amounts.

Please refer to the following chart for the application deadlines and notification dates for each grant type:

Grant Type	Application Deadline	Notification Date
Assessments (Historic Structure & Archaeological)	<i>Ongoing - may apply at any time</i>	<i>After review complete</i>
Emergency Grants	<i>Ongoing - may apply at any time</i>	<i>After review complete</i>

Competitive Grants		

≤ \$35,000 in requested grant funds	<i>April 1 and October 1 of each year</i>	<i>June 1 and December 1, respectively</i>
> \$35,000 in requested grant funds	<i>April 1 and October 1 of each year</i>	<i>August 1 and February 1, respectively</i>

Please note that this workbook refers to the process of applying for and managing *Competitive Grants*. Please contact SHF Staff for information on the other grant types.

Competitive Grant - Project Types

Competitive Grants through the SHF can be one of three eligible project types: *Acquisition and Development*, *Education*, or *Survey & Planning*. Below is a brief explanation of each. Please contact SHF Outreach staff to discuss your proposed project and whether it fits into SHF's mission and the eligible project types.

Acquisition & Development

These grants are for those projects that involve the excavation, stabilization, restoration, rehabilitation, reconstruction, or the acquisition of a property or site and can only occur on *officially designated historic properties*. To qualify for consideration, a property must be officially designated at the time of application. Designated properties include those listed on the Colorado State Register of Historic Properties or National Register of Historic Places. Designation through an official municipal or county landmarking process that has been adopted by ordinance or resolution also meets this requirement. Proof of local designation is required at the time of application for all Acquisition & Development projects involving properties not designated through the State Register of Historic Properties or National Register of Historic Places. For more information on designation, see Appendix D of this workbook.

Acquisition grants must include justification that the proposed purchase price of the property is of fair value.

Archaeological projects are considered Acquisition & Development when the level of investigation is "intensive excavation." In such cases, the site must be designated before the application is submitted. Please call the SHF Staff Archaeologist, Tom Carr, at 303-866-3498 to determine the level of excavation required by your project.

Education

Such grants are for those projects that provide historic preservation information or information about historic sites to the public.

Survey & Planning

These projects involve identification, recording, evaluation, designation and planning for the protection of significant historic buildings, structures, sites and districts. For archaeological projects, all levels of survey and test excavations are considered Survey & Planning projects and prior historic designation is not required. However, once testing reveals eligibility for designation, further excavation may not occur without designation.

Creating a Competitive Project for SHF Funding

In order to fare well in the competitive review process, a project should be clearly defined, properly planned, and able to be successfully implemented. It is therefore imperative to develop a project that meets these criteria. How does one do this?

1. Understand and plainly define your project goals:
 - Are they reasonable & attainable?
 - Why are they important to accomplish?
 - Can you clearly identify the steps needed to reach them?
 - Are they the correct first or next step for a phased project? Are the phases carefully planned, including mobilization?
 - Do they meet relevant standards or best practices?
 - For education projects, can you identify your audience and define how you will market the project?
 - Are your goals eligible for SHF funding?

2. Formulate a Scope of Work and Budget
 - Put the steps of your project into an outline form, with action verbs as the main descriptor (e.g., “Repair Windows” or “Create Brochure”) for each task
 - Solicit quality cost estimates from experts for each step of your project
 - Note that the Scope will probably remain fluid as you plan the details of your project and begin to pin down associated costs – for example: you may identify additional, needed tasks that you hadn’t thought of, or you may realize the project is too big and will need to be pared down into phases. *It is best to figure this out prior to submitting the application so that your project is as well-planned and competitive as possible and you are not blind-sided in the middle of the project.*
 - Be sure to account for all needed work and line items (i.e., contingency, archaeological monitoring for any ground work, etc.) since SHF cannot increase the award amount or the Scope of Work.

3. Identify the products (aka deliverables) you will need to demonstrate the appropriateness of your project’s steps, and/or show the progress of the project.
 - Understand how review of these deliverables by SHF staff will affect the timeline of your project
 - Understand what SHF staff will be looking for in their review (meets fiscal policies, meets relevant standards, etc.)

4. Assemble a team whose members will provide expertise needed to successfully complete the project: (Architect? Archaeologist? Historian? Contractor? Accountant? Etc.)

- Who will serve as the day-to-day contact for the project?
- Who will be needed to create/revise the various deliverables so that they will meet SHF's expectations?
- Who will complete the financial reporting?
- Is the team member the right choice (Do they have relevant experience with HP projects? Is there any conflict of interest?)
- Putting together your team may involve identifying some members upfront and others "down the road," but it is important to know what "slots" you need to fill so that when the time comes, you can choose an experienced team member who will add real value to the project.

SHF Outreach Staff can provide advice on how to create a project that is primed for success, including whether what you seek to accomplish meet the Secretary of Interior's Standards.

The following pages give Work Breakout Structures for the three SHF competitive grant project types. For each project types, the WBS identifies the project task and who is responsible for it. Use them as a starting point for identifying what you need to accomplish and who will help you accomplish it.

Sample Acquisition & Development Project

Work Breakdown Structure

<i>Task</i>		<i>Responsible Party</i>
Apply for Grant		(Grant Applicant)
	Describe project	
	Obtain preliminary cost estimate	
	Develop Project Scope & Budget	
	Determine proposed deliverables	
	Identify team members	
	Obtain support letters	
** SHF review / approval req'd		
Hire Architect		
	Submit Subcontract Certification	** Grant Recipient Contact (GRC)
	Hold Initial Consultation	All
	Provide photographic documentation	
	Provide historic photographs	** (GRC)
	Provide "before" photographs	** (Architect)
	Provide "after" photographs	** (Architect)
	Verify existing conditions (based on previously completed assessment)	(Architect / consultants)
	Complete materials testing as required	** (Architect / consultants)
	Develop plans and specifications (Construction (Bid) Documents)	(Architect / consultants)
	Review plans and specifications	** (GRC & SHF)
	Provide Bidding/Construction Admin services	(Architect)

Sample Acquisition & Development Project Work Breakdown Structure, continued

Task	Responsible Party
Hire Contractor	
Advertise and bid project	(GRC)
Negotiate bid	(GRC & Architect)
Submit Subcontract Certification	(GRC)
Hold Preconstruction Meeting	All
Implement Construction Activities, such as:	(Contractor, GRC, Architect)
Restore Foundation	(Contractor)
Reinforce roof structure/re-roof	(Contractor)
Paint Roof Trim	(Contractor)
Replaster exterior	(Contractor)
Repoint Masonry	(Contractor)
Restore / Rehabilitate Windows / Doors	(Contractor)
Paint Exterior Wood Trim	(Contractor)
Interim Site Visit, if necessary	All
Project Close-Out	(GRC, Architect, SHF)
Grant Administration	
Hire Project Manager	(GRC)
Submit Progress Reports	(GRC)
Submit Deliverables	(GRC)
Submit Financial Repts & Pay Requests	(GRC)

Sample Survey & Planning Project Work Breakdown Structure

Task	Responsible Party
Apply for Grant	(Grant Applicant)
Describe project	
Obtain preliminary cost estimate	
Develop Project Scope	
Develop Project Budget	
Determine proposed deliverables	
Identify team members	
Obtain support letters	
** SHF review / approval req'd	
Hire Consultant	
Publish RFP / RFQ for consultant services	Grant Recipient Contact(GRC)
Submit Subcontract Certification	** (GRC)
Hold Initial Consultation	** All
Meet Stakeholder Groups	(GRC & Consultant)
Perform File Search	(Consultant)
Complete Reconnaissance Survey	** (Consultant)
Identify Resources for Intensive Survey	** (GRC & Consultant)
Complete Fieldwork/Photography	(Consultant)
Obtain Owner Permission (When Needed)	** (GRC & Consultant)
Complete Background Research (Forms and Report)	(Consultant)
Complete Draft Survey Forms	** (Consultant)
Consult w/ NR/SR Regarding Eligibility	(Consultant)
Create Survey Report	** (Consultant)
Review Survey Forms and Survey Report	(GRC & SHF)
Provide Comments on Draft Products	(GRC & SHF)
Finalize Products	** (Consultant)
Share and Publicize Survey Results	** (GRC & Consultant)
Grant Administration	
Hire Project Manager	(GRC)
Submit Progress Reports	** (GRC)
Submit Deliverables	** (GRC)
Submit Financial Repts & Pay Requests	** (GRC)
Project Close-Out	(GRC & SHF)

Sample Education Project Work Breakdown Structure

<i>Task</i>	<i>Responsible Party</i>
Apply for Grant	(Grant Applicant)
Describe project	
Obtain preliminary cost estimate	
Develop Project Scope	
Develop Project Budget	
Determine proposed deliverables	
Identify team members	
Obtain support letters	
** SHF review / approval req'd	
Hire Consultant	
Publish RFP / RFQ for consultant services	Grant Recipient Contact (GRC)
Submit Subcontract Certification	** (GRC)
Hold Initial Consultation	** All
Meet Stakeholder Groups	(GRC & Consultant)
Complete Background Research	(Consultant)
Assemble Text, Images, Video, etc, to Share	(Consultant)
Obtain Permission to Reproduce Copyrighted Images	** (Consultant)
Develop Draft Educational Materials	** (Consultant)
Review Draft Educational Materials	(GRC & SHF)
Finalize Educational Materials	(Consultant)
Produce Materials	(Consultant)
Publicize Efforts	(GRC or Consultant)
Provide Copies or Photos of Materials	(GRC or Consultant)
Grant Administration	
Hire Project Manager	(GRC)
Submit Progress Reports	** (GRC)
Submit Deliverables	** (GRC)
Submit Financial Repts & Pay Requests	** (GRC)
Project Close-Out	(GRC & SHF)

State Historical Fund Competitive Grants: Application Form, Sample Applications, and Handbook

Competitive Grant requests to the State Historical Fund must be made through a completed *Competitive Grant Application Form*. The *SHF Grant Handbook* is a resource for applicants that provides information on SHF rules, policies, and grant processes.

In addition, sample applications of various project types have been created as a resource for potential applicants. Please use the sample applications as examples of what a complete and informative grant application looks like; note that they are examples *only* and that they cannot dictate the specifics of your project.

You can find the Application Form, sample applications, and Handbook on our website at the link below:

<http://www.historycolorado.org/grants/application-forms>

You may also receive paper copies of these documents by requesting them from SHF staff, but please note that you will need a digital copy of the application form in order to complete it.

Competitive Grant Application Form: Categories & Point Scores

The application form for SHF Competitive Grants asks for information to help staff and reviewers determine, for example, the importance of the proposed project, how well thought-out it is, and whether the project can be successfully completed. Applications are scored by reviewers according to how well the applicant answers each area of requested information.

Below are the grant application categories and their possible point scores:

- A. *Applicant Capacity* (0-10 points)
- B. *Property or Project History* (0-10 points)
- C. *Project Description* (0-20 points)
- D. *Urgency* (0-15 points)
- E. *Timeline* (0-5 points)
- F. *Public Benefit* (0-15 points)
- G. *How the Project Relates to the State Plan* (0-5 points)
- H. *Scope of Work and Budget* (0-20 points)

The application form should be filled out by following the accompanying *Competitive Application Instructions*, which give specific tips on what information should be given under each category, and any additional attachments that may be helpful in understanding the grant request. Applicants are also encouraged to use the *Grant Handbook* as a reference as they prepare their grant application.

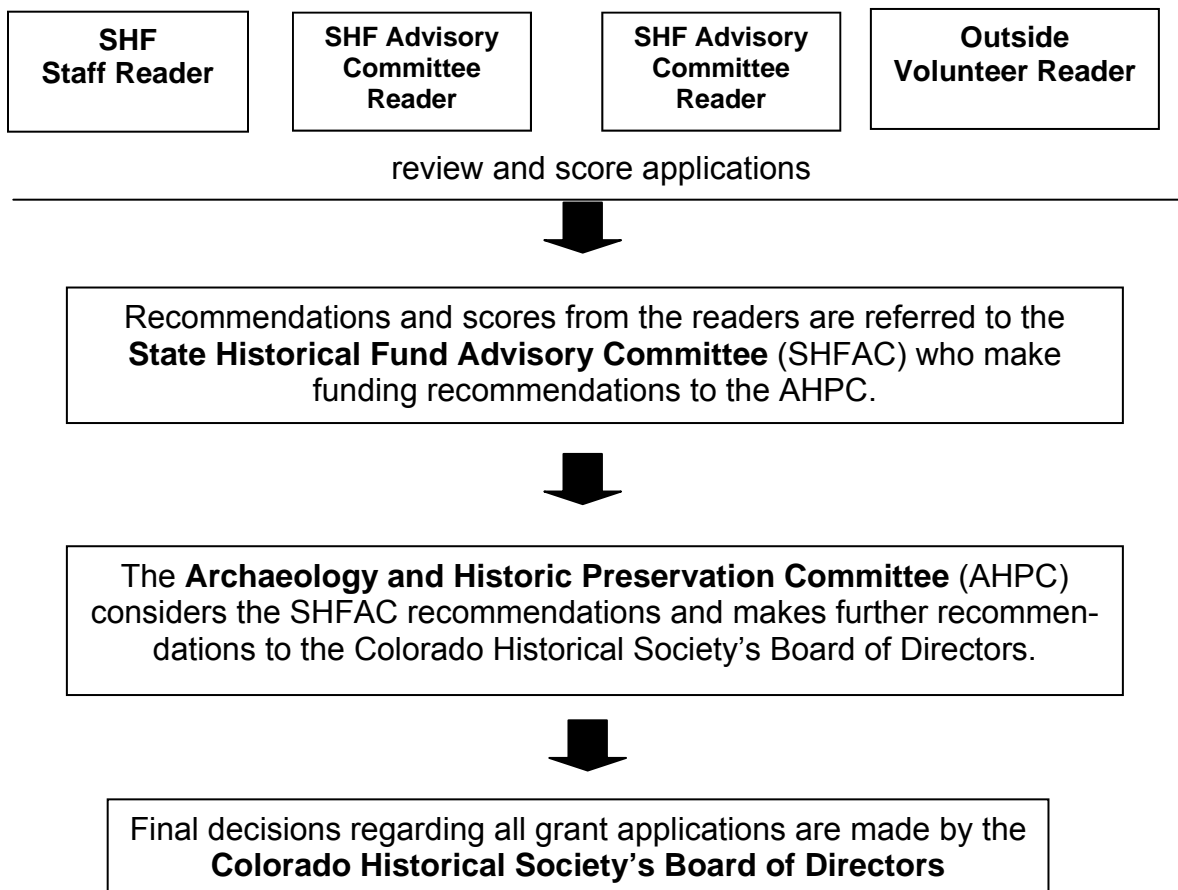
SHF Outreach staff are another resource for creating a grant application that will be competitive in the review process. They can review and critique draft applications and give advice on what information should be included for the particulars of a project. Please refer to page 3 for contact information for Outreach staff.

Grant Review and Award Process

Non-Competitive Grants, (Historic Structure Assessment, Archaeological Assessment, and the Emergency Grant) are evaluated and awarded by Colorado Historical Society staff.

Competitive Grant applications of \$35,000 or less are evaluated by Colorado Historical Society staff and final decisions are made by the Colorado Historical Society Board of Directors.

For all Competitive Grants over \$35,000 the decision-making process is as follows:



Working with SHF Once You Are Funded

When your grant application is funded, you are assigned a team of experts from SHF that will be involved with your project from start to finish. Each team consists of an Historic Preservation (HP) Specialist and a Contracts Specialist, who have distinct but interrelated duties in overseeing your project:

Historic Preservation Specialists

HP Specialists are experts in preservation, rehabilitation, archaeology, architecture, cultural resource surveys and other activities relevant to each project. They ensure that the performed work meets the project's applicable standards. The HP Specialist carries out this responsibility by:

- Delineating required deliverables for the grant contract
- Reviewing Deliverables (per Exhibit C)
- Maintaining regular communication on the project's status through
 - ✦ Review of Progress Reports from Grant Recipient Contact (GRC)
 - ✦ On-site consultations
- Reviewing Requests for Contingency Use
- Assisting GRCs in solving problems or finding solutions to complex project conditions and circumstances

Contracts Specialists:

Contracts Specialists ensure that the GRC adhere to SHF's fiscal rules and policies, and provide guidance on the financial reporting of your project. The Contracts Specialist's duties include:

- Creating Contracts, with input from HP Specialists
- Reviewing:
 - ✦ Financial Reports
 - ✦ Payment Requests
- Approving and Generating:
 - ✦ Contract Amendments (Exhibit A)
 - ✦ Contract Revisions (Exhibits B and C)
- Ensuring Grant Recipients Comply with Contract Requirements

Getting Under Contract for Your SHF Project

When you are awarded a grant, you will be sent a letter notifying you of the grant award and any property restrictions required, as well as a grant packet that includes information on the grant contracting process.

Before you can begin your awarded grant project, you must be under contract with SHF. In order to get the project under contract the following steps take place:

- Things the State Historical Fund (SHF) Need
 - Microsoft Word copy of the Scope of Work
 - Microsoft Word copy of the Budget
 - Estimate of how long it will take for your organization to review, sign, and return the contract
 - Confirmation your Cash Match is available
- What the SHF does next
 - Reviews the Scope of Work and Budget
 - Ensures the Scope of Work accurately reflects the intent of the application
 - Separates Budget from Scope to comply with State Controller's office, and ensures Budget accurately represents the Scope of Work
 - Creates list of Deliverables and Submittals
 - Creates and sends three original copies of the contract to the grant recipient
- Executing the Contract
 - Grant Recipient reviews and signs all three contract copies
 - Return all three contracts to SHF office
 - SHF Routing for full execution
 - Once routing complete, contract fully executed at this point – you may begin your project
 - SHF will send one original contract to the Grant Recipient
 - The other two copies are retained at the SHF office

SHF Contract Components

The SHF grant contract has many different components, which are as follows:

- Main Body – Identifies the responsibilities of the Grant Recipient and the SHF; grant award amount; contract term (start and end dates)
- Exhibit A – Scope of Work
- Exhibit B – Budget
- Exhibit C – List of Deliverables and Submittals
- Attachment 1 – Financial Report Form
- Attachment 2 – Payment Request Form

A sample of the contract relevant to your project (based on applicant and owner type, project type and amount of award) is enclosed with your grant packet sent at the time of notification. As will become clear, the Exhibits (A, B, and C) are what guide the specifics of the grant project. See the following pages for samples of Exhibits A, B and C, based on a sample Acquisition and Development grant.

Town of Glorie
Exterior Restoration and Interior Rehabilitation
Project #2012-03-007

SCOPE OF WORK

- I. Project Purpose:** The purpose of this project is to upgrade the mechanical and electrical to meet code requirements, replace the roof, flashing and roof drain, repoint the west exterior wall, and repair all eighteen windows and two doors, which are in various states of failure.
- II. Scope of Work is as follows:**
- A. Architectural and Engineering Planning
 - 1. Develop plans & specifications
 - a. Roofing
 - b. Masonry Repair
 - c. Window repair
 - d. Boiler and Electrical replacement
 - 2. Develop Maintenance plan
 - B. Restoration
 - 1. Masonry Repair
 - a. Remove copings and store for reinstallation
 - b. Repair parapets; rebuild where collapsed
 - c. Clean face brick on principal facades
 - 2. Roof
 - a. Remove existing roofing, roof drain and flashing
 - b. Inspect flagpole base and repair if required; repaint flagpole
 - c. Install new roof drain and overflow
 - d. Install piping from roof drain to storm sewer
 - e. Re-roof building; install new perimeter and roof penetration flashing and counter-flashing
 - f. Install new copings on south and east walls
 - g. Re-paint stamped metal copings for west and north walls
 - h. Re-install metal copings on west and north walls and ensure that seams don't leak
 - 3. Windows and Doors
 - a. Remove metal pans from west windows
 - b. Repair weathered wooden elements
 - c. Reglaze all glass
 - d. Scrape, prime and repaint windows and doors
 - e. Rehabilitate/replace door hardware to achieve handicapped accessibility
 - 4. Mechanical and Electrical
 - a. Replace main electrical panel
 - b. Remove existing boiler
 - c. Install new HVAC system; retain existing radiators

In accordance with Section 12-47.1-12-1 C.R.S. (1999) The Limited Gaming Act which authorizes the Colorado Historical Society to administer the State Historical Fund as a statewide grants program.

Town of Glorie
Exterior Restoration and Interior Rehabilitation
Project #2012-03-007

PROJECT BUDGET

TASK	PROJECT TOTAL
A. Architectural & Engineering Fees	\$15,670
B. Restoration	
1. Masonry	\$45,660
2. Roof	\$27,955
3. Window & Doors	\$6,850
4. HVAC	\$20,000
5. Electrical	\$8,000
C. Grant Administration	\$3,700
<hr/>	
<i>Project Subtotal (A-C)</i>	<i>\$127,835</i>
D. Contingency*	\$10,000
PROJECT TOTALS	\$137,835
Cash Match (35%):	\$47,595
Grant Request (65%):	\$90,240

**Contingency may not be used without prior written approval from SHF Staff.*

LIST OF SUBMITTALS

Project Reports		
<u>Project Reports</u>	<u>Due Date</u>	<u>Society Response</u>
a. Payment Request Form (Attachment 2). Deliverables #1-6 below must be reviewed and approved before Advance payment is made.	N/A	Advance payment of grant award \$33,536.
b. Progress Report # 1	May 1, 2012	Review*
c. Progress Report # 2	August 1, 2012	Review*
d. Interim Financial Report (Attachment 1). Deliverables #7-9 below must be reviewed and approved before Interim payment is made.	August 1, 2012 **	Review & Approve Interim payment of grant award \$41,920.
e. Progress Report # 4	November 1, 2012	Review*
f. Progress Report # 5	February 1, 2013	Review*
g. Progress Report # 6	May 1, 2013	Review*
h. Final Financial Report (Attachment 1)	May 1, 2013***	Review & Approve. Final Reimbursement of grant award \$8,384 Plus any approved contingency.

*At the discretion of the SHF technical staff, progress reports may not receive a response.

** Interim financial report due date is a guideline. Please submit Interim financial report when majority of advance has been expended and you are ready for the next payment.

*** Project period ends. All Deliverables due on or before this date.

PROJECT DELIVERABLES

Submit the following Project Deliverables. Deliverables #1-8 must be reviewed and approved by SHF before commencement of treatments (construction).

<u>Project Deliverables</u>	<u>Society Response</u>
1. Consultant resume - Architect	Review/Comment and or Approve
2. Subcontract copy - Architect	Review/Comment and or Approve
3. Subcontract copy - General Contractor	Review/Comment and or Approve
4. Initial Consultation with SHF Historic Preservation Specialist (within 60 days of contract start date)	Review/Comment and or Approve
5. Before/existing condition photos of areas affected by Scope of Work	Review/Comment and or Approve

Town of Glorie
Exterior Restoration and Interior Rehabilitation
Project #2012-03-007

- | | |
|--|-------------------------------|
| 6. Historical photos/documentation of areas to be treated | Review/Comment and or Approve |
| 7. Preconstruction meeting with SHF Historic Preservation Specialist | Review/Comment and or Approve |
| 8. Construction Documents / Plans and Specifications | Review/Comment and or Approve |
| 9. Mock up of Masonry | Review/Comment and or Approve |
| 10. After photos of areas affected by Scope of Work | Review/Comment and or Approve |
| 11. Copies of Change orders, if necessary | Review/Comment and or Approve |
| 12. Contingency Use Forms, if necessary | Review/Comment and or Approve |

Initial Consultation

Once you are under contract, you will need to schedule an initial consultation, or kick-off meeting, with your SHF team. Both the HP Specialist and Contracts Specialist assigned to your project will meet with you (on-site, if relevant) to discuss the grant contract, SHF's grant processes, and the goals of the project. The following pages cover common topics discussed at this meeting.

Selecting Consultants and Contractors

- Consultants and Contractors are:
 - Architects, Engineers, Archaeologists, Project Managers, and other professional specialists
 - General Contractors, Plumbers, Roofers, Blacksmiths, and other professional craftsmen, tradesmen, or production specialists
 - Are referred to as *Subcontractors* as they are hired by you, the Contractor under the SHF grant contract
- An open and transparent process must be used to select your subcontractors to avoid a conflict of interest or appearance of one.
 - Use your organization's established rules for selecting contractors
 - If your organization does not have an established system you may use the State recommended Request for Proposals (RFP) process (Found in Grant Handbook)
- What to look for
 - Bonds and Insurance
 - Referrals
 - Warranty for both materials and workmanship
 - Colorado State licensure – Architects
 - Experience
 - Estimates
 - Ability to itemize work to meet SHF requirements for financial reports
 - Cost – Be wary of very low bids. You do not have to select the lowest bid.
 - Ability and willingness to work with you – the grant recipient – as the boss
- Whomever works on the Project; You, the grant recipient, are ultimately responsible

SHF Review of Submittals & Deliverables

Submittals identified on Exhibit C of the SHF grant contract are progress reports and financial reports. Financial Reports are reviewed by SHF Contracts staff and are addressed in the corresponding section of this workbook.

In order for the State Historical Fund HP Specialist to adequately evaluate the progress toward successful completion of your project, Progress Reports are required at set intervals during the course of the project. There is no form to complete, but the Progress Reports should include the following information:

- The Project Number and Project Title
- The Primary Contact's name and phone number
- The work that has been accomplished since the last Progress Report
- The work that will be accomplished before the next Progress Report
- Assistance that SHF staff could provide to help you complete your project
- A brief explanation if no progress has been made on the project, and the expected date for progress.

Please note that at the discretion of SHF technical staff, progress reports may not receive a response.

Unlike the financial reports, Progress Reports have specific due dates. Because grant contract performance is recorded, scheduled progress reports should be submitted even if no progress has been achieved by the due date.

Your regular communication with your HP Specialist, (above and beyond the required progress reports), whether written, e-mail, fax or telephone, is strongly encouraged.

Typical Deliverables for Competitive Grant Projects

Deliverables are the products SHF requires to make sure the project is meeting relevant standards and is progressing. Deliverables are listed in Exhibit C, which will also indicate what deliverables are required before construction work can begin (for Acquisition & Development projects) and which are required before an interim payment can be made.

The Grant Recipient Contact (GRC) should collect Deliverables from their hired consultants, familiarize themselves with the deliverables, and then forward them to their HP Specialist. The GRC should expect a review letter in return from the HP Specialist on the approvability of the Deliverable within 30 calendar days from the date the Specialist receives it. As you turn in deliverables, keep a copy for yourself in your notebook so that you can refer to it if any questions arise. Also keep any correspondence from SHF.

- Typical deliverables for all projects include: initial consultation with assigned SHF staff, subcontract certification forms, etc.
- Acquisition & Development projects also typically require: before photos, historic photos, construction documents (plans/specs), a pre-construction meeting with HP Specialist, mock-ups of work, archaeological report (if monitoring is required), and after photos.
- Survey & Planning projects also typically require drafts of written and graphic materials, followed up by final versions: for *Survey* projects, this could be results of resource surveys, survey forms, survey report; for *Planning* projects, this could be the plan to be developed (such as an interpretive plan, a master plan, or plans and specs); sharing and publication of results are also expected.
- Education projects also typically require drafts of written and graphic materials such as brochures, videos, etc., as well as any needed permission to reproduce copyrighted materials.

Note that for all deliverables, SHF staff review and approval is required in order to be considered complete. SHF staff cannot approve deliverables that do not meet the Secretary of Interior's Standards (see Appendices) or do not adhere to our policies. If you need advice on the best way to proceed, contact your HP Specialist.

Financial Reports

Financial Reports are required to document the tasks you have paid for (including who received the payment, the check or invoice number, and the amount paid). The tasks paid for must be directly part of the project's Scope of Work (Exhibit A).

A Financial Reporting System has been created by SHF staff for you to use in documenting your project's financials. You can find this system, as well as copies of our financial reporting forms, at the following link to our website:

<http://www.historycolorado.org/grants/shf-contracts>

In addition, if you have questions about financial reporting or need assistance in completing your financial paperwork, contact your assigned Contract Specialist and they will be happy to help you.

Receiving Grant Payments - Schedule and Cash Flow

In addition to listing the required deliverables and submittals of your project, Exhibit C of your grant contract also indicates the amount of your advance, interim, and final payments. A typical project has a Payment Schedule of:

Advance Payment	Interim Payment	Final Payment*
40% of grant award	50% of grant award	10% of award, plus approved contingency

Larger or more complex projects may follow a Payment Schedule of:

Advance	1st Interim	2nd Interim	Final*
30% of award	30% of award	30% of award	10% of award, plus approved contingency

** Please note that all final payments are a reimbursement of the final 10% of expended costs. You may need to adjust your cash flow to cover these expenses until the final payment is made.*

Advance Payments do not require any paperwork other than a completed Payment Request Form. Interim and Final Payments require accompanying Payment Request Forms, Financial Reports, and Certification of Expenditures. See link on previous page for where to find all of these forms.

Review and approval of financial reports is between 30 and 45 days. Once approved, payments come from the Department of Treasury and can take up to three weeks to arrive in the mail.

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Budget Revisions & Contingency Use

Although a grant project's Budget amount cannot be increased, nor can the tasks associated with the Scope of Work, there is room for small adjustments.

Budget Revisions are allowed when the cost of some line items goes down and the cost of other go up. To see what revisions can be made to the Budget, you should contact your SHF team to discuss the circumstances and learn what is allowable.

Contingency Funds cannot be used without documented approval from your Historic Preservation Specialist. They are for unexpected and unforeseen costs experienced during the project. These costs must be directly related to the tasks in the Scope of Work.

To request use of contingency or revision to your budget, you must complete the Budget Revision and Contingency Use Form (found via the link listed on the previous page). Be sure to communicate any potential requests to your SHF team so they can advise you accordingly.

Project Completion

Final Payment and Project Closeout

You are ready to submit your Final Financial Report and request the final grant payment when all vendors (i.e., Payees, Subcontractors) have been paid and all work is finished. Your final grant payment will be made once all Deliverables are approved. As noted in previous sections, the Final Payment will be a reimbursement of the final 10% of remaining grant funds plus any approved contingency.

Once the final payment is made, the project is officially completed and the grant is closed out.

Keeping Record of Your Project

Even though your project is complete, it is **important to retain all documentation of the project for at least three years after your contract expiration date**. Such documentation should include the invoices and records of your financial reporting.

- Invoices: Be sure all of your invoices contain basic cost information, that is, the calculation used to determine the amount billed for a task.
- Project Administration: Time sheets or other documentation showing how the costs of project administration were determined., including units and rates.
- Indirect Expenses: Actual receipts for expenses related to project administration are required
- Travel Documentation: Identify the miles traveled and rate charged (at the approved Colorado State rate). Allowable rates for travel may be found in the Grant Manual. Actual receipts for lodging and per diem are required

Tips for Managing Your SHF Grant

Any project requires a certain level of management and tracking to ensure that a successful, timely completion is reached. If a project involves grant funds from the State Historical Fund, the amount of tracking is potentially increased due to the requirements of the SHF grant. The following are some tips on how to manage your SHF grant. Though they are typically rooted in common sense, these tips bear repeating to ensure successful completion of a SHF-funded project, which is the goal for all involved.

Grant Management Tips: Organization

Organization keeps all the information you will need for your SHF grant readily accessible, so that questions from either project team members or SHF staff about such issues as the status of a certain deliverable, financial report, or subcontractor payment can be quickly answered. Organization also reduces the likelihood of missing information that may delay certain processes, such as grant payments.

One way to effectively organize is to keep a project binder that contains all the information relevant to your SHF grant project. Below are suggested tabs for such a project binder:

- Project Contacts - contact information for all project team members, such as:
 - SHF Preservation Specialist
 - SHF Contracts Staff
 - Architect/Engineer and Other Consultants
 - Contractors
 - Other team members, etc.
- Grant Contract & Application - copies of each for easy reference to items such as:
 - Exhibit A: Scope of Work
 - Exhibit B: Budget
 - Exhibit C: Submittals & Deliverables
 - Contract end & start dates
- Financials - copies of all the project's financials, including:
 - Invoices
 - Checks
 - Financial reports
 - Payment Requests
 - Cert. of Expenditures
- Deliverables & Progress Reports - copies of deliverables, progress reports & related items:
 - Deliverable checklists (documenting which deliverables submitted when)
 - Letters from SHF staff giving comments/approval on submitted deliverables
- Bids - copies of bids in order to:
 - document RFP publication, if applicable
 - track bids received
- Correspondence - copies of important emails, letters, etc., such as:
 - requests to use Contingency

In addition, make sure you know your SHF project number and keep a copy of the *SHF Grant Handbook* and *Manual* handy for easy reference.

Grant Management Tips: Tracking Financials

One of the most important aspects of managing a SHF grant is to accurately track the project financials. Doing so allows you to correctly report to SHF Contracts staff what items you have paid for and with what funds (grant or cash match) you have paid them.

The following are basic tips for tracking your project's financials for accurate reporting:

- Make sure the invoices you receive from hired consultants and contractors reference the tasks listed in your project Budget (Exhibit B of the grant contract)

For example, general contractors usually list work performed by construction divisions, such as "Masonry," "Concrete," "Metal," etc. However, your project may list in the Budget the repair of brick parapets and exterior brick walls as separate items. The invoice from the contractor should differentiate between these two tasks rather than combining them under "Masonry."

- Keep copies of paid invoices and associated checks

Copies of all financial transactions are important to track what invoices you have paid and what funds (SHF grant or otherwise) you have received for the project. In addition, your SHF grant contract requires that you keep this information in auditable condition for three years.

- Be aware of grant payment timing and cash flow

SHF Contracts staff must review and approve your financial reports before they can issue the next scheduled grant payment. This process takes time and can mean that you are unable to pay pending invoices until you receive the next grant payment. It is usually best practice to keep your project team informed as to the timing of the grant payments and how it may affect your ability to pay them.

- Consider creating a spreadsheet that helps track expenditures of project funds

Such a spreadsheet might track how much money has been allotted for each work item in the budget, as well as how much has been paid out as the project progresses. The purpose of the spreadsheet would be to see at one glance where the project stands financially as the project moves forward. **The SHF financial reporting system is a great tool!**

Grant Management Tips: Tracking Grant Requirements & Deadlines

Your SHF grant contract requires certain Deliverables and Submittals to ensure that your project is progressing and that when it is complete it will meet SHF standards. These requirements are specified in Exhibit C of your grant contract. It is a good idea to become familiar with this document.

The following are tips for tracking these requirements and any associated deadlines:

- Review Exhibit C of your grant contract carefully
- Enter any specified due dates for grant requirements (such as Progress Reports) in your calendar.
- Be aware of what Deliverables are required before you can proceed to the next step of the project. Some examples are:
 - Deliverables that are required before a grant payment can be made. Be aware of these so that your grant payment requests are not delayed.
 - Deliverables that are required before actual construction work can begin
- As mentioned previously, keep copies of all submitted Deliverables and their associated Deliverable Checklist so you know what you have submitted and when. Also keep track of the letters from SHF staff indicating they have reviewed the Deliverable and whether it has been approved.

Grant Management Tips: Keeping in Touch

It is important to keep in touch with SHF staff about your project to ensure that everyone is aware of the progress of the project, that you as the Grant Recipient are aware of any items needed by SHF staff to complete a review or process a payment, and that SHF staff is aware of any issues you may have and how they may be of help. We all strive for the success of a grant project, and open communication is a key component of this success.

Here are a few basic, but important, tips for communicating with SHF staff:

- Ask questions - if you are unsure what is expected of you or the project, or if a procedure is unclear, you need to know that information. SHF staff are here to answer your questions, so please ask them.
- Be aware of the process - the SHF has certain standards and procedures to ensure that our awarded grants use public monies correctly and for what they were intended. It's important to be aware of our procedures so you can effectively guide your project without unnecessary delays. If you are unsure what these standards and procedures are, please refer to the *Grant Handbook* and ask questions of SHF staff.
- Stay in touch - SHF grants require written Progress Reports every few months to keep assigned staff abreast of your project's progress. But if you have timely information to share, please let us know as it arises so we can offer input or other information that you may need.

The State Historical Fund is charged with fostering historic preservation throughout Colorado by funding preservation related projects that have a demonstrable public benefit. As a Grant Recipient of a SHF grant, you are an important part of that enterprise. By working together, we can continue to make great strides in preserving and protecting Colorado's diverse historic sites for the benefit of the entire state.

Appendices

Appendix A: The Secretary of Interior's Standards for the Treatment of Historic Properties

ROOTED IN OVER 120 YEARS OF PRESERVATION ETHICS in both Europe and America, the *Secretary of the Interior's Standards for the Treatment of Historic Properties* are common sense principles in non-technical language. They were developed to help protect our nation's irreplaceable cultural resources by promoting consistent preservation practices.

The Standards may be applied to many property types: buildings, sites, structures, objects, and districts. It should be understood that the Standards are a series of concepts about maintaining, repairing and replacing historic materials, as well as designing new additions or making alterations; as such, they cannot, in and of themselves, be used to make essential decisions about which features of a historic property should be saved and which might be changed. But once an appropriate treatment is selected, the Standards provide philosophical consistency to the work.

All SHF grant projects must adhere to the Standards for the project's chosen, appropriate Treatment(s).

Four Treatment Approaches

There are standards for four distinct, but interrelated, approaches to the treatment of historic properties - preservation, rehabilitation, restoration, and reconstruction.

Choosing an appropriate treatment for a historic building or landscape, whether preservation, rehabilitation, restoration, or reconstruction, is critical. This choice always depends on a variety of factors, including its historical significance, physical condition, proposed use, and intended interpretation.

Preservation focuses on the maintenance and repair of existing historic materials and retention of a property's form as it has evolved over time. (Protection and Stabilization have now been consolidated under this treatment.)

To learn more about **Preservation** and its established Standards, visit <http://www.nps.gov/history/hps/tps/standards/preservation.htm>

Rehabilitation acknowledges the need to alter or add to a historic property to meet continuing or changing uses while retaining the property's historic character.

To learn more about **Rehabilitation** and its established Standards, visit <http://www.nps.gov/history/hps/tps/standards/rehabilitation.htm>

Restoration depicts a property at a particular period of time in its history, while removing evidence of other periods.

To learn more about **Restoration** and its established Standards, visit <http://www.nps.gov/history/hps/tps/standards/restoration.htm>

Reconstruction re-creates vanished or non-surviving portions of a property for interpretive purposes.

To learn more about **Reconstruction** and its established Standards, visit <http://www.nps.gov/history/hps/tps/standards/reconstruction.htm>

Appendix B: Preservation Briefs & Tech Notes

The National Park Service has several online publications through their Technical Preservation Services division that give technical advice on preserving, rehabilitating, and restoring historic buildings, structures, and landscapes.

The Preservation Briefs cover a wide range of topics, including repointing of masonry, ornamental plaster, awnings, slate roofs, accessibility, graffiti, and maintenance, to name just a few. You can view the full list of the Briefs and read them individually online at:

<http://www.nps.gov/history/hps/tps/briefs/presbhom.htm>

The Preservation Tech Notes offer in-depth practical information on specific preservation topics using case studies. They cover topics that range from removing paint from wood siding to evaluation techniques for masonry to rehabilitating iron bridges. You can find the Tech Notes online at:

<http://www.nps.gov/history/hps/tps/technotes/tnhome.htm>

Appendix C: Standards for Survey Projects

A Cultural Resources Survey is the collection and analysis of information concerning the physical remains that represent our past.

All cultural resources surveys funded by the State Historical Fund should be planned relative to the guidelines specified in the Colorado Cultural Resources Survey Manual (published by the Colorado Historical Society). This publication discusses the survey process for archaeological as well as historical and architectural survey.

The survey manual is available for purchase at the Colorado Historical Society or can be downloaded online at:

<http://www.historycolorado.org/oahp/survey-manual>

The manual discusses the basics of Colorado's standards for survey. However, there are several other things you'll need to successfully complete a survey. The Colorado Historical Society has developed a number of different survey forms to accommodate the wide variety of historic resources across the state. The survey manual lists the different forms and can help you determine which best suits your project. Each form has its own distinct set of instructions explaining the types of information expected in the various areas of the form. Finally, the Colorado Historical Society has compiled a lexicon table for use in specific fields of the architectural inventory form (Form #1403).

The survey forms, instructions and lexicon table are all available online at:

<http://www.historycolorado.org/oahp/survey-inventory-forms>

SHF staff will review survey projects according to the guidelines provided by the Colorado Historical Society. Therefore, it is important to review all of this information prior to beginning a survey project.

You can find additional information on cultural resources surveys or staff contact information online at:

<http://www.historycolorado.org/oahp/survey-inventory>

or

<http://www.historycolorado.org/oahp/national-state-registers>

Appendix D: Designation of Historic Properties

There are three types of designation to officially recognize a property as historic:

- National Register of Historic Places
- Colorado State Register of Historic Properties
- Local designation, where applicable

To learn more about the National and State Register programs, please visit the following link to our website:

<http://www.historycolorado.org/archaeologists/national-and-state-registers>

To learn more about local designation and whether your municipality or county has adopted an ordinance establishing designation, please visit the following link on our website, which will take you to a PDF list of communities in Colorado that have adopted such an ordinance:

http://www.historycolorado.org/sites/default/files/files/OAHP/crforms_edumat/pdfs/1568.pdf

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