

State Historic Preservation Office

Hurricane Sandy
Disaster Relief Assistance Grant
for Historic Properties
Program Guidelines
& Application Instructions
For New Projects

September 2013

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Hurricane Sandy

Disaster Relief Assistance Grant for Historic Properties

Public Law 113-2 appropriated \$50 million from the Historic Preservation Fund (HPF) for historic preservation projects providing relief for damages in Connecticut, Delaware, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Virginia, West Virginia, and the District of Columbia caused by Hurricane Sandy, which occurred during 2012. Four Federally-recognized Indian Tribes within the disaster area are also eligible to receive funding. After the mandatory sequestration impacting FY 13 appropriations, the amount of available funds was reduced to \$47.5 million.

FEMA issued major disaster declarations in 12 States and the District of Columbia after Hurricane Sandy. Within those States receiving major disaster declarations, FEMA further designated individual counties as eligible to receive Individual Assistance (IA) and/or Public Assistance (PA). In counties that FEMA declared eligible to receive IA, FEMA will provide direct assistance to individuals and households. In counties that FEMA declared eligible to receive PA, FEMA will provide direct assistance to State and local governments and certain private nonprofit organizations for emergency work and the repair or replacement of disaster-damaged facilities. Among the 12 States and DC that received major disaster declarations, there were only four States in which FEMA made both IA and PA available. These States are Connecticut, New Jersey, New York, and Rhode Island. The remaining eight States and the District of Columbia are eligible for only Public Assistance.

The NPS interprets this as indication from FEMA that the 4 States eligible for both Individual and Public Assistance received the most widespread and significant damage from Hurricane Sandy. In Connecticut the eligible counties are Fairfield, New Haven, Middlesex, and New London.

Grant Overview and Purpose

The purpose of the Hurricane Sandy Disaster Relief Assistance Grant for Historic Properties is to provide technical assistance and emergency repairs to historic and archaeological resources which were impacted by Hurricane Sandy. Only hurricane-related damage is eligible for grant assistance.

On behalf of the National Park Service, the Connecticut State Historic Preservation Office (SHPO) offers grant assistance for the restoration of properties listed on or eligible for listing on the [National Register of Historic Places](#) which were damaged by Hurricane Sandy.

The grants awards range from \$2,500-\$500,000. Grants will be awarded based on funding availability, scoring criteria and a review by the SHPO staff. Please see our website for the scoring criteria and guidance.

This is a reimbursement grant. Grant funds are paid to grantees on a single-payment reimbursement basis following the completion of the project and approval of all work by SHPO staff. However, due to the nature of this grant program, the single reimbursement requirement can be waived at the request of the applicant and approval by SHPO. A formal request must be made in the application. SHPO will review the requests and inform applicants at the time of the grant award.

No non-federal match is required for these emergency grant funds and the funds can only be used for eligible predevelopment and development activities.

Due to the length of time between Hurricane Sandy and the introduction of this grant program, SHPO may reimburse property owners who have completed eligible projects that meet the Secretary of the Interior's Standards for the Treatment of Historic Properties. Potential applicants who have completed projects according to the Standards may be eligible for reimbursement and may also apply for additional eligible projects. Please see the Guidelines and Application for Completed Projects on our website.

Properties owned by religious organizations are not eligible this program. Properties owned by religious organizations should contact SHPO for information regarding [the Historic Restoration Fund](#) or [Threatened Properties Fund](#) grant programs.

All projects must meet the [Secretary of the Interior's Standards for the Treatment of Historic Properties](#); any alterations to historic buildings must comply with the provisions of the [Americans with Disabilities Act](#), and requirements regarding post-disaster recovery, specifically the [FEMA guidelines](#) regarding rebuilding within designated floodplains. All Federal, State, and local review and compliance standards and laws must be followed.

These grants require plans and specifications to be completed by a Historical Architect who meets the [Secretary of the Interior's Professional Qualifications Standards](#) as published in the Code of Federal Regulations, 36 CFR Part 61. The plans and specifications must be reviewed and approved by SHPO prior

to work commencing. The development of these documents is an eligible activity under this grant program.

In the case of [National Historic Landmarks](#), the plans and specifications must be reviewed and approved by NPS.

If the applicant has completed work on the damaged property and would like to apply for additional projects, the applicant must complete both the Completed Projects Application for reimbursement and the New Projects Application.

The use of state and/or federal funds requires an open bidding process. Contractors cannot be pre-selected and any potential contractor cannot play any role in the design of the project or application.

For properties not listed on the National Register of Historic Places, applicants must complete the [Determination of Eligibility Form](#) on our website. The applicant and/or owner must agree to list the property as part of this application. If SHPO determines that the property is eligible for listing, the completion of a National Register nomination will be a part of the grant application and the property will be brought to the CT State Historic Preservation Review Board for recommendation of listing. If the Review Board recommends listing, the Nomination will be sent to the National Park Service for approval and listing. If SHPO determines the property is not eligible for listing on the National Register of Historic Places, the application will be considered ineligible for this program.

This grant program cannot be combined with the Historic Restoration Fund, Threatened Properties Fund, or any Federal Historic Tax Credit programs; however applicants may apply to the State Historic Tax Credit programs.

[Project Signs](#) must be posted in a prominent location at the project site. The signs must identify the project, the historic significance of the property, and the support of the NPS and SHPO. Please see our website for the sign sample. The cost of producing the sign is an eligible reimbursement expense under this grant program.

Applicants:

Eligible applicants:

- Owners of properties which were damaged by Hurricane Sandy **AND** listed on the National Register of Historic Places **OR** properties determined to be eligible for listing by SHPO **AND** located within the following counties:
 - Fairfield
 - New London
 - New Haven
 - Middlesex

Ineligible applicants:

- Federal agencies
- Properties owned by religious organizations

No agency or organization can act as a fiscal agent to receive or disburse grant funding.

Eligible Properties:

- Properties must be listed on the National Register of Historic Places **OR** determined to be eligible for listing on the National Register of Historic Places by SHPO **AND** located within the following counties:
 - Fairfield
 - New London
 - New Haven
 - Middlesex

Ineligible Properties:

- Federally-owned properties
- Properties not listed on or not eligible for listing on the National Register of Historic Places
 - To determine if your property is listed on the National Register of Historic Places please visit http://en.wikipedia.org/wiki/National_Register_of_Historic_Places_listings_in_Connecticut or <http://nrhp.focus.nps.gov/natreghome.do?searchtype=natreghome>
 - To determine if your property is eligible for listing on the National Registers of Historic Places, please complete the [Determination of Eligibility Form](#) and return the form to Stacey Vairo, State and National Register Coordinator, at Stacey.Vairo@ct.gov

What We Fund:

Eligible Activities and Costs:

See pages 14-15 for additional information regarding the eligible activities

- Predevelopment
 - Historic Structures Reports
 - Conditions Assessments
 - Plans and Specifications
 - Engineering Studies
 - Landscape Studies
 - Archaeological Surveys
- Archaeological Stabilization
- HABS/HAER Recordation
- Restoration
- Rehabilitation
- Structural Stabilization
- Restoration, rehabilitation, preservation or stabilization of a documented historic landscape
- National Register nominations for properties determined to be eligible by SHPO
- Elevation of Structures per FEMA regulations
- Moving of Structures per FEMA regulations

Only project specific expenses that have been approved by SHPO are eligible toward the grant.

All reports/surveys completed under this program must be completed by a consultant who meets the Secretary of the Interior's Professional Qualifications Standards as published in the Code of Federal Regulations, 36 CFR Part 61

What We Fund (Continued):

Ineligible Activities and Costs:

- Acquisition
- Costs incurred prior to the contract start date
- Costs incurred after to the contract expiration date
- Architectural salvage
- Archaeological salvage
- Total reconstructions
- Additions
- Routine Maintenance
- Archival research
- Court actions
- Curation
- Equipment purchase
- Fines or penalties
- Fundraising efforts
- General operating expenses
- Work funded by insurance and other recovery entities
- Hospitality expenses including food, beverages, entertainment
- Site work unrelated to the elevation or moving of a structure
- New landscaping
- Interest payments
- Interpretive expenses
- Lobbying activities
- Nonconformance with the Secretary of the Interior's Standards for the Treatment of Historic Properties
- Projects already underway (these costs are eligible under the Disaster Relief Assistance Grant for Historic Properties-Completed Projects program)
- Political contributions
- Regranting
- Scholarships
- Software acquisition
- Travel
- Substantial Reconstruction
 - Reconstruction is limited to portions of a historic property that still retain (prior to reconstruction) sufficient significance and integrity to remain listed in or eligible for listing in the National Register of Historic Places. Total reconstructions and major reconstructions are not eligible for grant assistance. If specific features or elements of a building or landscape are missing and thus need to be recreated, this work is potentially eligible for funding (provided adequate historical documentation is available).

Preservation Restriction

Hurricane Sandy Disaster Relief Assistance Grants for Historic Properties grantees are required to provide the SHPO with a Preservation Restriction of limited duration on the property that is the beneficiary of funding from either of these programs. The Preservation Restriction is placed on the entire legal parcel.

Under the terms of the Preservation Restriction, the property owner agrees:

1. Not to perform any work on the property other than routine maintenance without the permission of the SHPO
2. For properties owned by a public entity, to ensure reasonable opportunities for the public to view the property which has benefited from an infusion of federal dollars
3. Not to change the use of the property without the prior consent of the SHPO
4. Maintain insurance on the property for the duration of the Preservation Restriction

The timeframe for SHPO Preservation Restrictions is determined by the amount of grant funds actually received and utilized to complete the project in accordance with the following schedule.

- (a) grant assistance from \$0 to \$20,000: five-year Preservation Restriction;
- (b) grant assistance from \$20,001 to \$50,000: ten-year Preservation Restriction;
- (c) grant assistance from \$50,001 to \$100,000: fifteen-year Preservation Restriction;
- (d) grant assistance in excess of \$100,000: twenty-year Preservation Restriction.

If the property has an active Preservation Restriction, the applicant will complete an amendment to the existing Preservation Restriction. The amendment extends the existing Preservation Restriction according to the schedule above.

Please see our website for instructions and samples of the Preservation Restriction.

How to Apply

Application Information

There will be two grant rounds and two application deadlines. Awards will be based on funding availability. Applications will be due by **4:00 on Friday, November 15, 2013 for round one and 4:00 on Friday, February 14, 2014 for round two.**

Only complete applications will be considered for funding. If an application is incomplete, the project will be considered ineligible for funding.

The applications for both New Projects and Completed Projects can be found on our website.

Grant Selection and Scoring Criteria

The Hurricane Sandy Disaster Relief Assistance Grant for Historic Properties is a competitive grant and SHPO staff scores each application according to a pre-determined set of criteria.

The Scoring Sheet and Scoring Guidance can be found on our website.

Grant Award Notification

Applications will be reviewed and the SHPO staff will score each application. SHPO will notify applicants of the outcome of the selection process.

Grant Administration

Once a grant is awarded, SHPO will provide the grantee with an Assistance Agreement. These contracts must be signed and returned to SHPO within 30 days. Grantees are required to credit SHPO and the National Park Service in all print, audio, video, internet and publicity materials.

The use of state and/or federal funds requires an open bidding process. Contractors cannot be pre-selected and any potential contractor cannot play any role in the design of the project or application. Grantees must follow [SHPO's Bidding, Contracting, and Construction Guidelines for Municipalities and Nonprofits](#) or [SHPO's Bidding, Contracting, and Construction Guidelines for Private Property Owners](#).

As stated above project signs must be placed at the project site. See our website for the sign sample.

Any changes in the scope of work must be reviewed and approved by SHPO prior to the work commencing. Failure to obtain approval may result in the cancelation of the grant award.

Project Start Dates

The project must begin within 45 days of the contract execution date. Failure to comply with this stipulation may result in the cancelation of the grant award.

Project Completion Dates

All projects must be completed by August 2015.

Request for Reimbursement

As stated above, the Hurricane Sandy Disaster Relief Assistance Grant for Historic Properties is a reimbursement grant. Once the project is complete, the applicant should contact SHPO and submit a close-out package must be submitted to SHPO for review and approval.

In instances where SHPO waives the single payment reimbursement, grantees must submit progress payment submittals to SHPO for approval. Site visits may also be required prior to reimbursement requests.

For projects that include both pre-development and construction projects, SHPO is willing to reimburse grantees after the completion of the pre-development project(s) and at the close of the construction project.

For pre-development project(s), a copy of the final report/product should be sent to SHPO for review and approval. Upon approval, SHPO will submit a grant reimbursement request to the DECD Office of Financial Administration.

For construction projects, a final site visit is also required to close a grant. Upon approval, SHPO will submit a grant reimbursement request to the DECD Office of Financial Administration.

Grant Cancellations

SHPO has the right to withhold, reduce or cancel grants if an organization:

- Owes final reports from previous non-construction grants that are overdue
- Fails to comply with the terms of the grant contract
- Does not start a project within 90 days of the grant contract execution
- Demonstrates inadequate financial management or oversight
- Does not properly credit SHPO and NPS support
- Experience significant changes in the scope of work
- Completes work without prior approval of SHPO
- Experiences significant delays in the grant project
- The project does not meet the Secretary of the Interior's Standards for the Treatment of Historic Properties

Quick Reference:

In order to be eligible for this grant program:

- Properties must be listed on the National Register or determined eligible for listing on the National Register of Historic Places (properties are usually 50 years of age or more)*
- Grant awards range from \$2,500 – \$500,000
- All projects must follow the Secretary of the Interior’s Standards for the Treatment of Historic Properties: <http://www.nps.gov/hps/tps/standguide/>
- SHPO can reimburse applicants for projects that have already been completed
- This is a reimbursement grant – grantees are paid upon the completion of the project
 - For all new projects, the applicant must have the full funding for the project available and restricted for the purposes of the project as of the date of the application
 - If the applicant is requesting progress payments, the applicant must have the funding for the first phase of the project available
- All projects require a Preservation Restriction
- All properties must be insured
- For new projects that involve the restoration of a property or any design work, plans and specifications are required completed by a Historical Architect that meets the Secretary of the Interior’s Professional Qualifications Standards under 36 CFR Part 61
 - All plans and specifications must be reviewed and approved by the SHPO *prior to work commencing*
 - The development of plans and specifications are eligible under this grant
- Properties owned by religious organizations are not eligible

Application Guidance and Instructions

To be completed by all applicants

I. Applicant Information

Please complete each section

II. Legislative Information

Please complete each section

III. Property Information

1. The applicant must submit a letter from an attorney licensed to practice in the State of Connecticut is required which identifies the following:
 1. Properties Legal Owner of Record
 2. Names of Other Parties Holding Interest
 3. A Preservation Restriction Can Be Placed on the property
 - a. Include the names and contact information for the owner and anyone with a legal interest in the property
 - b. Upload the legal opinion on the main page of the website
 - c. Submit the original, signed legal opinion to SHPO
2. Please identify if the applicant owns the property and if so, how for how long.
3. If the applicant is not the owner, please identify the applicant's relationship to the property i.e. tenant.
4. If other parties have an interest in the property, the applicant must submit notarized letters from each party authorizing the applicant to submit this application and complete the project. This ensures that all owners agree to the conditions of this grant program.
 - a. Upload the notarized letters on the main page of the website
 - b. Submit the original, notarized documents to SHPO
5. Identify the current use of the property.

6. Identify the future use of the property.

IV. Project Description

7. If the applicant hired a qualified professional consultant (architect or engineer), please identify the individual.
 - a. If so, please list the person's name, firm name and contact information
 - b. Professional consultants are required for projects that involve design work (restoration, replacement of designed features, including porches. If a consultant has not been hired, does the applicant agree to do so
 - c. Upload a copy of the professional's resume and firm profile

8. Have any of the following studies been completed for the project?
 1. National Register Nominations-must be prepared for any property not listed on the National Register of Historic Places
 2. HABS/HAER Recordation-the Historic American Building Survey/Historic American Engineering Record are federal documentation standards of measured drawings, historical reports, and large-format black-and-white photographs of important and/or representative examples of our built environment
 3. Conditions Assessment-identifies buildings features, materials and existing conditions. This report is used as a basis for plans and specifications
 4. Engineering Studies-conducted by a structural engineer, this report identifies the structural integrity of a property
 5. Historic Structures Report- provides documentary, graphic, and physical information about a property's history and existing condition
 6. Plans and Specifications-must be developed for each project in this program that involves a historic building or structure. These will be completed by a Historic Architect who meets the Secretary of the Interior's Professional Qualifications Standards as published in the Code of Federal Regulations, 36 CFR Part 61 and has been approved by SHPO
 7. Archaeological Surveys-identify any potential for archaeological sensitivity in an area

8. Landscape Studies-determine the extent to which a historic landscape has been damaged and provides a plan to restore the landscape
 - a. If any of the above studies have been completed please identify the name of the individual or firm that completed the study as well as the date of completion
 - b. Upload copies of any studies completed. If the files are too large or you do not have digital copies, you may submit a hard copy.
9. Please provide a narrative of the damage that occurred during the storm
10. In order to be eligible for this program, all properties must be listed or eligible for listing on the National Register of Historic Places. The National Register of Historic Places is the official list of historic resources that have been designated by the National Park Service as having significant historic, architectural, or cultural significance.
 - a. To determine if your property is listed on the National Register of Historic Places, see http://en.wikipedia.org/wiki/National_Register_of_Historic_Places_listings_in_Connecticut or <http://nrhp.focus.nps.gov/natreghome.do?searchtype=natreghome> or contact SHPO at SHPOSandyRelief@ct.gov
11. If the property is not listed on the National Register of Historic Places, or the applicant is unsure if the property is eligible or listed on the National Register of Historic Places, please complete the Determination of Eligibility Form on our website and email the document to SHPOSandyRelief@ct.gov. SHPO staff will respond to your request within 2 weeks.
12. As stated above, all properties in this program will be nominated to the National Register of Historic Places. Please indicate if the owner agrees to have the property nominated to the National Register of Historic Places.

V. Funding and Financial Information

13. The Financing Plan & Budget (which is located on our website) is required for this program. Please complete the highlighted sections of the document
 - d. Upload the Financing Plan & Budget on the main page of the website
 - e. Submit original signed Financing Plan & Budget to SHPO

14. Grant awards range from \$2,500-\$500,000 and will be based on eligibility, scoring criteria, SHPO staff review, and funding availability. The grant amount requested should match the eligible expenses listed on the Financing Plan & Budget.
15. This program is a reimbursement grant; therefore the funds for the entire project must be available and restricted for the purpose of this project. If progress payments have been requested, payment schedules will be developed with SHPO; however, the payments will be made on a reimbursement basis. Therefore the applicant must have the funding to complete the first phase of the project available and restricted.
16. If the applicant is requesting progress payments, indicate the reason for this request. If approved by SHPO, a payment schedule will be developed by SHPO staff and payments will be made on a reimbursement basis.

VI. Other Information

17. All SHPO construction grants require an easement/restriction. A sample of the Preservation Restriction and instructions can be found on our website. Please contact Julie Carmelich, Preservation Restriction Administrator at Julie.Carmelich@ct.gov with any questions
18. As stated above, in order to be eligible for this program, a Preservation Restriction must be placed on the property at the close of the grant, before the grant reimbursement from SHPO. Please identify if the legal opinion states the easement/restriction can be placed on the property.
19. This program requires that the property is insured.
 - a. Upload a copy of the Declarations page of the Insurance Policy for the property and documentation of the start and expiration dates of the policy.
20. Identify if the applicant will receive any funding other than insurance as a result of the damage and the amount of funding expected
 - a. Identify the percentage of funding for the project that will from insurance or other sources—this information should come from the Completed Projects Spreadsheet
 - b. Please provide documentation from the insurance company regarding the claims that were covered by insurance
 - i. Upload the documentation

21. Identify if the applicant will receive any funding other than insurance (FEMA or other sources) as a result of the damage and the amount of funding expected
 - a. Identify the percentage of funding for the project that will from insurance or other sources—this information should come from the Completed Projects Spreadsheet
 - b. Please provide documentation funding other than insurance regarding the claims that were covered
 - i. Upload the documentation
22. Does the applicant agree to comply with all provisions of applicable Local, State, and Federal laws and approvals and Executive Orders?
23. Please submit a disk or USB drive with photographs of the property pre- and post-Hurricane Sandy. The photos should be labeled with the property address and indicate the direction the photograph is looking. Please also include a photo-location map which can be placed on an aerial photo or property sketch. The map should indicate where the photograph was taken from
 - a. For buildings or structures-please include photographs of each elevation of the building and detailed photographs of damaged areas
 - b. For landscapes or archaeological sites-please include photographs of the entire property and detailed photographs of damaged areas

VII. For Municipalities and Nonprofits ONLY

24. The Certified Resolution document and instructions can be found on our website. Please complete the document on organization letterhead.
 - a. Upload the certified resolution on the main page of the website
 - b. Submit the original, notarized document to SHPO
25. Check yes if the applicant has received a grant from SHPO in the past
 - c. List any grants previously received from SHPO, including the grant type, date awarded and award amount
26. Has the property had a Preservation Restriction in the past
 - d. If so, for what project, list the date the restriction was awarded and indicate if the restriction is still active
27. Please review the ADA Requirements

<http://www.ada.gov/publicat.htm>

28. The CHRO form can be found on our website. Please complete and sign the document.
- e. Upload the CHRO Form
 - f. Submit original signed CHRO Form to SHPO
29. Not for privately-owned properties--The W-9 and Vendor Profile can be found on our website
- g. Upload the W-9 and Vendor Profile on the main page of the website
 - h. Submit the original W-9 and Vendor Profile to SHPO

**If you have questions regarding the Hurricane
Sandy Disaster Relief Assistance Grant for Historic
Properties program please send an inquiry to:**

shpo.sandyrelief@ct.gov

or call

860-256-2768 or 860-256-2746