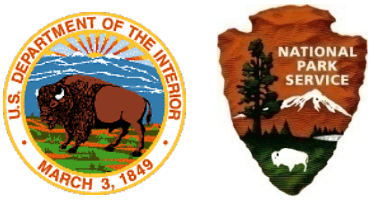
NATIONAL MARITIME HERITAGE ACT
NATIONAL MARITIME HERITAGE GRANTS PROGRAM

Federal Assistance for Preserving the Maritime Heritage of the United States

Administered by the
National Park Service, U.S. Department of the Interior,
State Historic Preservation Offices
And the Maritime Administration, U.S. Department of Transportation

MARITIME HERITAGE GRANTS PROPOSAL GUIDELINES AND GRANT MANUAL

2017



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MARITIME HERITAGE GRANTS MANUAL

INTRODUCTION

The Grants Program is authorized by the National Maritime Heritage Act (NMHA), P.L. 103-451. Projects are overseen at the Federal level by the National Maritime Heritage Program of the National Park Service, Department of the Interior (NPS), and the Maritime Administration, Department of Transportation (MarAd). Funds are distributed as direct grants to State Historic Preservation Offices (SHPOs), who administer the Grants Program at the State level and make funds available to applicants via subgrants. Any eligible organization seeking Grants Program assistance must work with their SHPO. The Grants Program is funded from 12.5% of the proceeds from the sale or scrapping of those obsolete vessels of the National Defense Reserve Fleet administered by the Maritime Administration, U.S. Department of Transportation.
Of the total funds available for grants:

- 1/2 shall be awarded to Preservation Projects.
- 1/2 shall be awarded to Education Projects.
- No more than 40% of funds may be awarded to projects relating to federally owned or managed historic maritime resources.

In accordance with the Act, 15% of the total amounts available for the grants program, or $500,000 (whichever is less), is the maximum amount that may be applied towards program administrative costs. The administrative cap may be divided between SHPOs for administering Education and Preservation Project grants and the NPS for carrying out their responsibilities under the Grants Program.
The purpose of the *Maritime Heritage Grants Application Guidelines and Grants Manual* is to assist the National Park Service, MarAd, and the SHPOs in administering Preservation and Education Project grants and subgrants. This document:

- Provides criteria for eligible applicants
- Describes the program funding source and specifies overall amounts to be used for grants and amounts allowed to be used for Grants Program administration
- Provides criteria for eligible maritime heritage Education and Preservation Projects and defines the types of historic maritime resources that may be supported by the program
- Outlines procedures and provides guidance on application, screening, comment, and project selection
- Specifies Grants Program requirements and conditions and provides guidance for meeting those requirements and conditions
- Provide points of contact for Grants Program assistance, information, and submitting applications

IMPORTANT: Unlike previous maritime heritage assistance efforts which were funded from portions of the Historic Preservation Fund (HPF), the National Maritime Heritage Grants Program has its own enabling legislation and funding source and therefore is not administered as part of the HPF. However, the administrative structure and many of the requirements for the Grants Program are similar to those for the HPF. Thus, the *Historic Preservation Fund Grants Manual* should be used in conjunction with this document in administering the grants program. All administrative requirements and procedures which are unique to the National Maritime Heritage Grants Program are specified in this document. For those administrative requirements and procedures that are applicable to the Grants Program as well as HPF, the *Historic Preservation Fund Grants Manual* is referenced as the source for further guidance in complying with those requirements. See https://www.nps.gov/preservation-grants/HPF_Manual.pdf

GOALS

The National Maritime Heritage Grants Program (Grants Program) is established to help State and local governments and private nonprofit organizations preserve and interpret their maritime heritage. It is a national, competitive matching grants program which provides funds for Maritime Heritage Education Projects and Maritime Heritage Preservation Projects designed to reach a broad audience and enhance public awareness and appreciation for the maritime heritage of the United States.

GRANTS PROGRAM SUMMARY

Eligible Applicants

To be eligible for a grant, the applicant must:

- Be a unit of state, federally recognized tribal, or local government or a private nonprofit organization
- Demonstrate that the project has the potential for reaching a broad audience
- Match the requested grant amount on a 1-to-1 basis with nonfederal contributions from nonfederal sources (this includes cash or donated services and property valued at fair market rates. See the *Historic Preservation Fund Grants Manual*, chapter 14: https://www.nps.gov/preservation-grants/HPF_Manual.pdf
- Agree to maintain and allow access to records which will allow for an effective accounting of project funds and any required audits

Eligible applicants will be considered for, but are not guaranteed funding.

Federal Applicants

Federal agencies may not apply directly for assistance. However, projects involving federally owned historic maritime resources are eligible for funding.

Proposals relating to federally owned or managed historic maritime resources should be submitted by a nonfederal organization working under a legal written agreement (such as a cooperative agreement, memorandum of agreement, or memorandum of understanding) with a Federal agency to carry out the objectives of the project. Any grants awarded will be made to the nonfederal applicant, not the Federal agency owning or managing Federal historic maritime resources. As well, nonfederal organizations applying for funds to support activities relating to federally owned maritime resources must match the requested grant amount on a 1-to-1 basis with nonfederal contributions from nonfederal sources.

Application and Selection Procedures:

(1) The NPS and MarAd publicize the Maritime Grants Program. SHPOs may participate in publicizing the program as desired.
(2) Application procedures are established by the Secretary of the Interior. A completed SF-424 must be submitted (see Completing Applications). A single project proposal is used for Education and Preservation project proposals. It is available at www.grants.gov (a link is provided from the National Maritime Heritage Website: http://www.nps.gov/maritime/)
(3) Applicants, including SHPOs, may submit more than one application.
(4) The NPS screens all application packages for completeness and forwards electronic copies of those that pass initial screening to SHPOs for comment and rating via a points system.
(5) The NPS forwards all applications and SHPO comments to a maritime review committee.
(6) The review committee reviews applications and makes funding recommendations to the Secretary of the Interior.
(7) The Secretary of the Interior makes final decisions regarding distribution of awards.
(8) Funds are apportioned and obligated to SHPOs after the amounts for individual awards are decided by the Secretary.
(9) The NPS announces awardees and begins grant paperwork.

WHAT IS FUNDED

The Grants Program funds maritime heritage Education Projects and Preservation Projects designed to reach a broad audience and enhance public awareness and appreciation for the maritime heritage of the United States. Historic maritime resources include: Historic Maritime Properties, Maritime Heritage Collections, Traditional Maritime Skills, and Maritime History Topics and are defined below.

Types of Historic Maritime Resources

The Grants Program supports various maritime heritage Education Project and Preservation Project activities which focus on four broad categories of historic maritime resources. Based on the provisions of the Act, NPS guidelines, and Secretary of the Interior Standards, historic maritime resources, for the purposes of the Grants Program, shall consist of: Historic Maritime Properties, Maritime Heritage Collections, Traditional Maritime Skills, and Maritime History Topics as defined below:

1. Historic Maritime Properties: Although grant properties do not have to be listed in or eligible for the National Register of Historic Places, historic maritime properties are defined in accordance with the criteria established by the National Register, and refer to those properties associated with the sea or inland waters, especially those relating to naval, navigational or commercial activities associated with the sea or inland waters, and **include**:

(1) Maritime Districts which make up a geographically definable area possessing a significant concentration of maritime sites, buildings, structures or objects united by past events;
(2) Maritime Sites such as submerged or terrestrial maritime-related archeological sites or other maritime sites which are the location of significant event or activity, where the location itself maintains historical or archeological value regardless of the value of any existing structure or building;
(3) Maritime Buildings such as lighthouses, lifesaving stations, custom houses, warehouses, hiring halls, sailors homes, marine hospitals, or other maritime buildings or building complexes created to shelter any maritime-related form of human activity;
(4) Maritime Structures such as locks, drydocks, canals, stationary waterfront cranes, large vessels (over 40 feet in length), or other maritime structures consisting of large-scale engineering projects where a work is made up of interdependent and interrelated parts in a definite pattern of organization;
(5) Maritime Objects including quayside fixtures such as bollards, capstans, winches, or cranes or other maritime objects that are relatively small in scale, often moveable, yet related to a specific setting or environment; **which are significant in** American history, architecture, archeology, engineering, or culture at the national, State, or local level and possess integrity of location, setting, materials, workmanship, feelings, and association. To be considered significant, a maritime property must **meet one of the four National Register criteria**:

A. Be associated with events that made a significant contribution to the broad patterns of American History, **or**
B. Be associated with the lives of persons significant in our nation's past, **or**
C. Embody characteristics that are distinctive of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic value; or represent a significant and distinguishable entity whose components may lack individual distinction, **or**
D. Have yielded or may be likely to yield, information important in prehistory or history.
In general, maritime properties must be **50 years of age or older** to be considered historic and therefore eligible for funding considerations under the Grants Program. However, a maritime property which has **achieved significance within the past 50 years** may also be considered eligible if it is of exceptional importance.
Historic maritime properties can also consist of **archeological resources** which **include the submerged or terrestrial remains** of historic or prehistoric shipwrecks, hulks, lighthouses, lifesaving stations as well as canals, piers, docks, waterfront properties and other maritime districts, sites, structures, buildings, or objects.

2. Maritime Heritage Collections: Maritime heritage collections consist of assemblages of objects, documents, and archeological resources pertinent to the understanding of the maritime heritage of the United States which are collected according to a rational scheme and maintained so they can be properly cared for, studied, and interpreted for public benefit.

(1) Objects: An object when used within the context of a maritime heritage collection is considered a material thing possessing functional, aesthetic, cultural, symbolic, or scientific value, usually portable by nature or design. Objects which are part of a maritime collection consist of those material things reflective of human activity associated with the sea or inland waters and may include prehistoric and historic maritime artifacts,

small craft, models, works of art, and fragments or components of maritime buildings, maritime structures, or maritime objects which are obtained or collected through non-archeological methods or techniques.

(2) Documents: A document when used in the context of a maritime collection refers to recorded information that will contribute substantially to the understanding and interpretation of maritime heritage in the United States. These records should be directly linked to those human activities associated with maritime history and culture, and shall be organized in a manner which facilitates access, especially for research and reference use. Such recorded information consists of assemblages of archival records, manuscripts, or published materials comprised of textual, electronic, sound, or visual formats and may include plans, drawings, blueprints, books, reports, journals, pamphlets, microforms, photographs, film, and other documents related to the maritime heritage of the United States.

(3) Archeological Resources: Archeological resources within the context of maritime collections **consist of those submerged or terrestrial material remains that have been excavated or removed from their original site** in connection with an archeological investigation of prehistoric or historic maritime properties. Archeological resources shall also consist of associated records that are prepared or assembled in connection with the archeological investigation of prehistoric or historic maritime properties. Classes of material remains may include excavated fragments or components of shipwrecks (pieces of hulls, rigging, armaments, cargo, associated material culture, etc.), and other historic (non-shipwreck) maritime properties, as well as excavated artifacts such as tools, weapons, and other materials related to maritime history and culture. Classes of associated records include all records relating to the investigation of a resource, records relating to the identification of a resource, and records essential to understanding the resource.

3. Traditional Maritime Skills: Traditional maritime skills consist of those naval, commercial, and navigational activities relating to the sea or inland waters which are handed down from generation to generation, by word of mouth or by practice. Traditional maritime skills may be considered endangered and generally not used in contemporary maritime occupations and are no longer taught through standardized, institutionalized maritime training programs or current established educational facilities. These traditional activities include those maritime skills, arts, crafts, trades, techniques, or occupations generally thought of as requiring use of hands or special training.

4. Maritime History Topics: Maritime History Topics consist of intangible maritime resources rather than tangible properties, collections, or skills, and include any topic related to the maritime heritage of the United States. Where appropriate, projects should reflect current scholarship in maritime and general historical theory.

Approved Project Categories:

Based on the provisions of the Act, seven (7) general categories of grant-supported activities have been developed each for Education Projects and four (4) for Preservation Projects. Each category describes a basic set of activities associated with particular types of historic maritime resources that may be supported by the Grants Program. These project categories serve as the basic criteria for identifying the types of projects which are eligible for funding considerations and for which proposals may be submitted. Applicants may choose only one category, and projects should conform to these basic criteria.

Note: Documentation of historic maritime resources, up to and including nominations for the National Register of Historic Places (NRHP) or National Historic Landmark (NHL) program, is considered a preservation activity. Projects designed to document a historic maritime resource must meet the minimum Preservation project funding threshold.

Education: Education Projects should focus on providing information about the maritime heritage of the United States. Activities address curation, instruction, and interpretation of maritime heritage collections, traditional maritime skills, historic maritime properties, and maritime history topics. Education Project categories include:

(1) Maritime Heritage Collections Activities focus on exhibit services, curatorial services, information management services, or any other activities which serve to enhance public access, use, and appreciation for Maritime Heritage Collections. Collections may include items such as maritime art, manuscripts,

photographs or any other media which is pertinent to the understanding of the maritime heritage of the United States. (NOTE: Acquisition or purchase of collection items is not supported by the Grants Program.)

(2) Maritime Heritage Area Programs Projects should focus on introducing the public to, and promoting awareness of, groups of historic maritime properties which are linked together though common historic, geographical, and cultural themes. Activities focus especially on planning, developing, and interpreting maritime heritage trails, corridors, and areas. (NOTE: Preservation treatments of historic maritime properties are not included under this project category.)

(3) Maritime Field Programs Informal, hands-on participation rather than formal training is used as the means to introduce the non-professional maritime enthusiast to various aspects of maritime history, technology, and culture. Activities may include, but are not limited to, waterborne-experience programs in historic vessels and field schools designed to introduce the novice to maritime archaeological resources.

(4) Maritime History Programs Includes activities necessary to establish and carry out any sort of program or activity which will facilitate an exchange of ideas and information and enhance participants' understanding and appreciation of various maritime history topics.

(5) Preservation of Maritime Skills Activities address programs involving serious formalized instruction or apprenticeships that teach, in order to preserve, the traditional skills, techniques, and methodologies of maritime occupations, crafts, or art forms such as boatbuilding, sail training, woodcarving, etc.

(6) Maritime Resource Replicas Covers activities associated with the reconstruction or reproduction of historic maritime resources to be used for educational purposes upon completion. Educational activities utilizing replicas should only be considered if the resource to be produced no longer exists or would be damaged or consumed through direct use.

(7) Facilities Improvements Allows for minor physical improvements which will enhance public access, use and appreciation of existing educational facilities and exhibit spaces of maritime museums, historical societies, or other maritime heritage organizations. *(NOTE: This category is for non-historic buildings. If your facility is located in a historic building, please choose a category from one of the Preservation Project Categories below and include the predevelopment requirements specified under the Grants Program Requirements and Conditions section of this manual.)*

Preservation: Preservation Projects encompass all facets of preservation planning and treatment for historic maritime properties (which include archeological sites). Preservation Project categories are keyed to the Secretary of the Interior's Standards for the Preservation of Historic Properties, and include:

(1) Preservation Activities include measures designed to sustain the historic form and original fabric of a historic maritime property. Focus is on the regular maintenance and repair of the property rather than extensive replacement or new construction of materials and features. Projects may also include preliminary treatments necessary to protect and stabilize a property against immediate peril or decay. Preservation may also involve, but are not limited to, the following activities:

- Acquisition Includes activities associated with acquiring ownership of, or responsibility for, historic maritime properties for the purposes of preservation. Such activities may include completing required application packages, organizing and funding the relocation of a historic vessel, or acquiring fee title to a historic maritime property.
- Planning Includes those activities associated with identification, inventory, and evaluation of maritime resources, as well as those activities necessary to establish maritime preservation management plans, programs and policies which address guidelines and procedures for immediate and long-term treatment, use, and maintenance of historic maritime properties.
- Documentation Activities involve researching and recording all available information about a historic maritime property's history, significance, design, construction, or present condition, including the survey and recording of underwater sites and other maritime archeological sites. This includes nominations to the NRHP and NHL.

(2) Rehabilitation Activities include measures designed to return a historic maritime property to a useful state through repair or alteration while still preserving those portions or features of the property which convey its historical, cultural, technological, or architectural value.

(3) Restoration Activities include measures designed to depict a historic maritime property as it appeared at a particular period of time by removing features from other periods of its history and reconstructing missing features from the restoration period.
(4) Reconstruction Activities include measures designed to depict a historic maritime property by means of new construction. Reconstructions must be used for educational purposes upon completion and may only be considered for funding if the resource no longer exists and a reconstruction is vital to the interpretation of the vanished resource type. Reconstructions will only be eligible for grant assistance when the maritime property to be reconstructed is well-documented.

What is Not Eligible:

In general, the Grants Program does not fund projects which will train the individual maritime heritage professional to do his or her job better or assist in career recognition or promotion. This includes activities such as developing training or continuing education courses for the maritime heritage education or preservation professional, personal research, or research resulting in highly specialized reports or publications with narrow audience appeal and little potential for public use or applications. Although such activities improve the skills of the education and preservation professional and ultimately may benefit the public, the grants are to support projects which will directly touch a broader audience and enhance public awareness and appreciation for the maritime heritage of the United States.

AMOUNTS FOR GRANTS AND ADMINISTRATIVE EXPENSES

The Grants Program administrative cap is determined for each new grants cycle and calculated from the total new funds credited for that year. After the administrative cap is calculated, the remaining amount shall be divided equally to determine estimated amounts for Education and Preservation Project grants.

APPLICATION AND SELECTION PROCEDURES

Grant Priorities

All seven categories of Education Projects and all four categories of Preservation Projects shall be eligible for funding with each grants cycle.

Grant Funding Levels

Funding levels for each maritime grants cycle shall be determined by the NPS. The total amount available in the 2017 grants cycle is $2,535,826. Awards for the 2017 grants cycle will range from $15,000 to $200,000. Education awards will be awarded from $15,000-$50,000; Preservation awards will be awarded from $50,000-$200,000. The amount requested must be matched on a 1-to-1 basis **with nonfederal contributions from nonfederal sources**. Project activities should be designed with these funding levels in mind.

Grants Program Announcement

For each annual grants cycle the NPS and MarAD will announce the availability of maritime heritage grants through various preservation media. The following items will be included in the announcement:

- A brief description of the Grants Program
- Minimum and maximum funding levels
- Project funding priorities and brief descriptions of project categories
- NPS point of contact for more information and application materials
- Application deadline (3 months from the date applications become available)

SHPOs may participate in publicizing the program as desired.

Distributing Applications

Application materials will be available, and must be submitted, via www.grants.gov.

Completing Applications

The application package is composed of two parts: 1) the SF-424 form and any sub-forms (SF-424A, SF-424B, SF-424C, SF-424D) required; and 2) the Maritime Heritage Grant Project Proposal. The SF-424 is required for all federal funding requests, and is available at www.grants.gov. The SF-424 is the official application form. The Maritime Heritage Grant Project Proposal is specific to this grant program and the NPS, and provides the grant committee with additional project and budget detail not found in the SF-424. It is available at our website: http://www.nps.gov/maritime/grants/intro.htm ***Applications missing any required parts of the SF-424 or the Maritime Heritage Project Proposal will face a delay in processing and may not be accepted.***

The SF-424 family

The SF-424 is a federal government-wide form used for all federal funding requests, regardless of agency. Applicants should consult Appendix 1 of this manual for instructions for completing the SF-424 and sub-forms required (necessary sub-forms depend on the type of project). **The SF-424 is your official application form for this grant. Failure to complete or submit any of these forms will result in an application being removed from consideration.** The SF-424 family consists of:

1. SF-424—General project and applicant data; 5 pages. Required for all projects.
2. SF-424A—Top level budget information. Required for all projects.
3. SF-424B—Assurances Document. Required for Education projects only.
4. SF-424C—Budget worksheet. Required for Preservation projects only.
5. SF-424D—Assurance document. Required for Preservation projects only.

The NPS Maritime Heritage Grant Project Proposal

The Maritime Heritage Grant Project Proposal is specific to the NPS and gives the applicant the opportunity to fully explain the proposed project to the committee. The document template is provided for the applicant's use. Use of this specific template is not required, but is **strongly** recommended, as the committee will expect to see each topic on the template addressed in some manner. The Maritime Heritage Grant Project Proposal is submitted as an attachment to the end of page 3 of the SF-424, by clicking the "Add Attachment" button. It consists of seven parts:

Part 1- General Project Data—basic information about the project topic and project team
Part 2- National Environmental Policy Act (NEPA) compliance questions
Part 3- The Project Description—three questions that allow the applicant to provide narrative responses explaining the proposal in detail and how it conforms to the Maritime Heritage Grant Program guidelines.
Part 4- The Proposed Budget—a worksheet and justification page. Budget Categories are explained below. The budget justification page is where applicants will explain how the proposed cost items are necessary to accomplish the grant objectives. Costs in this section must match amounts listed in the SF-424A.
Part 5- The Proposed Completion Schedule—the expected schedule of project activities, as of the date of application submittal. Use an estimated start date; exact dates and schedules will be determined if the project receives a grant.
Part 6- Supporting Documents—Create separate files for supporting documents from the main application; do not embed in the application form. All supporting documents are also submitted as attachments on page 3 of the SF-424.
Part 7- Submission Instructions—a list of required materials for a complete application package.

Budget Worksheet: The budget worksheet is provided to allow you to present the committee with more detail than the budget in the SF-424A, which will assist the committee in funding decisions. You may use the worksheet provided or your own format, but the format you choose should be your best estimate of cost items as of application submittal, and it should reflect the same information as that in the provided worksheet. If project or costs specifics change substantially during the application review period, please inform the staff of the Maritime Heritage Program as soon as possible. Minor changes can be incorporated should you receive a grant. If you cannot find a budget category that fits your requirements precisely, use the one(s) that are closest and explain any discrepancies in the Budget Justification.

1. Personnel. Only for personnel from within the applicant's organization, who are not hired from outside the organization.

2. Fringe Benefits. Benefits such as medical, dental, pension, or others that are a condition of employment for the Personnel listed in Category 1.
3. Consultant/Contractor Fees. All fees and payments, including labor, expected from professional or technical consultants and contractors participating in the project that will be hired from outside the applicant organization. Use Categories 5 and 6 to record materials costs. *All outside consultants/contractors used for this project must be competitively selected, even if they have been used by the applicant organization for previous projects.* The maximum daily rate of compensation cannot exceed that in the Federal Civil Service equal to 120% of a GS-15, step 10 salary. See https://www.opm.gov/policy-data-oversight/pay-leave/pay-systems/general-schedule/ for salary tables.
4. Travel and Per Diem. For any travel expected to be undertaken for the project, whether for in-house personnel, or for outside contractors, if not included in the daily rate recorded in Category 3.
5. Consumable Supplies and Materials. For any supplies or materials, excluding building repair materials, that will cost less than $500 (total) or have an estimated useful lifespan of less than two years. Examples: printing materials or brochures, gas or fuel, painting supplies, etc.
6. Building Repair Materials. Construction materials—e.g. bricks, lumber, etc.
7. Equipment. Unlike Category 5, Equipment refers to items with a total value of $500 or more. Examples: wayside markers, diesel engine, computers, etc.
8. Other. Any cost item that does not easily fit into one of the other categories, such as fees for dry docking.
9. Indirect Costs. Any cost that benefits more than one category above, such as rental of office space or electric or heating costs, postage, telephone service, etc. Indirect costs cannot amount to more than 15% of the total funds charged to the grant. If you are planning to charge indirect costs, you must include a copy of your most recent Federally-approved indirect cost rate agreement.

File Naming and Document Limit

Because all application materials—the Maritime Heritage Grant Project Proposal, Supporting Documents, and Photographs—are submitted as attachments to the SF-424, it is important that all files follow a common naming convention. Please use the following name format when creating files and attaching them to the SF-424:
Year _Applicant Name (or Acronym)_Type of Document (See examples below)

File names may contain a maximum of 70 characters, and cannot include spaces. If the applicant's name is long, it may be necessary to use an abbreviation to avoid exceeding 70 characters. Use reasonable, easily understood name abbreviations when necessary (see example below). In addition, *there is a limit of 10 files submitted for each grant*, exclusive of the SF-424 documents. The SF-424 will accept 15, but no more than 10 will be forwarded to the grant review panel. If more than 10 are submitted, only 10 will be forwarded to the panel. Therefore, it is important to combine like documents, such as individual photographs, or individual support letters, into one pdf file for that document type (i.e. one pdf for photos, a separate pdf for support letters)

To name a file, choose **one** of the following options for the file name:

- Application;
- Photos;
- PredevDocs;
- Resumes;
- IRSCert;
- FedConsent;
- ArcheologyDesign;
- ConsPlan;
- SupportLetters

Examples:
2017 _CapeHatterasNationalSeashore_ Application
2017_CHNS_Photos
2017_CapeHatterasNationalSeashore_IRSCert

Letters of Support

Letters of Support, while permitted, are *not required* for application packages. The Grant Review Panel evaluates and recommends each proposal based on its own merits and degree of appropriateness to the grant program's goals; support letters do not improve, nor does a lack of support letters harm, an applicant's chances of receiving a grant. If an applicant wishes to submit support letters nonetheless, any letter(s) should be sent by the writer to the applicant and *submitted by the applicant with the rest of the application materials*, as attachments to the SF-424, and using the File Naming convention above. Letters submitted outside of the application package may not be seen by the grant panel.

SHPO Assistance:

Applicants must contact the SHPO to discuss their project proposals *prior* to submitting completed application materials to www.grants.gov. Contact information for SHPOs may be found here: http://www.ncshpo.org/shpodirectory.shtml SHPOs are requested to inform applicants of any requirements specified by the State. SHPOs are also requested to advise applicants in completing application materials and supporting documentation to ensure proposed activities meet Secretarial Standards and Grants Program requirements, including compliance with Section 106 if necessary, according to the provisions specified in the 2015 Programmatic Agreement for Maritime Heritage Grants.

Submitting Applications and Timing of Submittals

Applicants may submit more than one project proposal, but for each project proposal, applicants must submit a complete application packet through www.grants.gov. This means a separate SF-424 for each project. Applicants must have an account with www.grants.gov to use the site, which requires a user number with the System for Award Management, or SAM. Be aware that previously established SAM passwords expire and accounts become inactive after certain periods; information about SAM accounts can be found here: www.sam.gov . DO NOT wait until the application deadline to check SAM or www.grants.gov user status. It is critical that applicants apply for their SAM number and register at www.grants.gov as early as possible; registrations can take up to two weeks to process. Extensions will not be granted due to incomplete or lapsed grants.gov or SAM registration.

Screening Applications:

The NPS screens all applications to ensure the following five requirements are met:

(1) The application package is complete.
(2) Proposals conform to funding levels.
(3) Proposals conform to Education or Preservation Project categories and eligibility requirements.
(4) Proposals are submitted by an eligible applicant.
(5) The requested grant amount is matched on a 1-to-1 basis with nonfederal contributions from nonfederal sources.

Applications which do not meet all five requirements cannot be considered further for funding. Amended application forms may be accepted ***up to the application deadline***.

Commenting on Applications

After screening, SHPOs will be notified of eligible applications and asked to comment on and assign points for each application in their state. The SHPOs evaluate projects using the criteria for evaluation listed below. A total of 25 points is possible (each criterion is given 1-5 points).

Criterion 1 The project objectives are clearly described.
Criterion 2 The project objectives address important aspects of maritime history, technology, or culture that are significant to the maritime heritage of the United States.
Criterion 3 The budget is reasonable to accomplish the project objectives.
Criterion 4 The project objectives can be accomplished in a realistic and timely manner.
Criterion 5 Key project personnel are appropriate for achieving the project objectives.

SHPOs will ultimately be asked to manage, as subgrants, projects which have been recommended by the Advisory Committee and approved by the Secretary. Thus, SHPOs are highly encouraged to examine the applications they receive and assess the quality of the proposed project. This is to ensure that any opinions they may have regarding the proposal will be conveyed to the Advisory Committee and considered in the recommendation process.

Forwarding Applications to the Review Committee

Following SHPO review, the NPS will organize all applications and submit them to a maritime review committee for review. The committee will review proposals individually, then meet collectively to confer and finalize recommendations. The committee consists of members who are representatives or knowledgeable of various sectors of the maritime heritage community. Federal agencies represented include the National Park Service, Maritime Administration, National Oceanic and Atmospheric Administration, Naval History and Heritage Command, United States Coast Guard, the Advisory Council on Historic Preservation, the Smithsonian Institution, and the National Archives and Records Administration.

Selecting Projects to Recommend for Funding

The review committee reviews and evaluates all application packages and provides funding recommendations to the Secretary of the Interior. The Committee's funding recommendations to the Secretary are based on their overall evaluation of project proposals as well as any comments provided by SHPOs. The Committee evaluates projects using the criteria listed below. A total of 25 points is possible (each criterion is given 1-5 points). Members will have approximately 30 days prior to the committee meeting (s) to complete their reviews. During the committee meeting (s), members will discuss applications and make final decisions to recommend or not recommend projects for funding.

Criterion 1 The project objectives address aspects of maritime history, technology, or culture that are significant to the maritime heritage of the United States.
Criterion 2 The project plans demonstrate the potential for reaching a broad audience with an effective educational program.
Criterion 3 The budget is reasonable to accomplish the project objectives.
Criterion 4 The project objectives can be accomplished in a realistic and timely manner.
Criterion 5 Key project personnel are appropriate for achieving the project objectives.

The committee must assure that half of the funds available is allocated to Education Projects, half is allocated to Preservation Projects, and not more than 40% of those funds are allocated to projects relating to federally owned or managed resources.

Committee members shall participate in reviewing and discussing all Education and Preservation project proposals. They shall be in simple majority agreement regarding those projects recommended for funding. **Members of the Committee will be required to recuse themselves from reviewing, scoring or voting on any applications submitted from an organization in which they, or an immediate family member are an officer, member, or employee.**

Submitting Recommendations to the Secretary

The committee's final funding recommendations to the Secretary shall describe projects recommended to receive funding and alternate projects qualified to receive awards should funds become available. The NPS assists the committee in preparing this data for the Secretary.

Secretarial Approval

The NPS is responsible for submitting the committee's funding recommendations to the Secretary for final review and approval or disapproval of awards. Upon Secretarial approval of awards, the NPS shall prepare funding notifications and grant agreements for SHPOs, and notify each applicant of the outcome of its funding request.

Other Duties of the Review Committee

In addition to reviewing and recommending projects for funding, the Committee is to identify and advise the Secretary regarding priorities for achieving the National Maritime Heritage Policy, stipulated in Section 3 of the

National Maritime Heritage Act. As well, the Committee is asked to recommend maritime heritage education and preservation project priorities for future grants cycles. The Committee is also requested to include recommendations for encouraging Federal leadership, direction, and support in maritime heritage activities and to review the annual report on the Grants Program before it is submitted to Congress by the Secretary.

NOTIFICATION AND EFFECT OF GRANTS

Notification

Upon Secretarial approval of an apportionment certificate stipulating Education and Preservation Project grant awards, funding decisions shall be made public. The apportionment certificate serves only as a notice of fund availability and is not considered the formal award of grant assistance.
The NPS will notify all applicants of final funding decisions by the Secretary for all project proposals. Should any applicants be unable to accept an award, these funds may be offered to alternate applicants recommended for funding or, amounts may be reserved for subsequent grants cycles.

Grant Agreements and Application for Awards

Upon formal notification of grant offers, grant agreements shall be issued, stipulating requirements and descriptions for each Education or Preservation Project to be supported by an award. The NPS shall issue direct grants to SHPOs for each project in their State that is awarded funding. SHPOs shall issue subgrant agreements to each organization in their State that receives the award.

(1) Required Content of Direct Grant Agreements: The grant agreement establishes the terms and conditions of the grant award and must include at a minimum:

- Legal name and address of the grantee agency to whom the grant is awarded
- Identifying grant number assigned by the NPS
- Grant period, which specifies the length of time the NPS intends to support the proposed effort, and during which costs may be charged to the grant
- Federal share awarded and minimum nonfederal share required
- Obligations assumed by the grantee through acceptance of the Federal assistance award, including the applicability of Federal cost principles and administrative requirements, other Federal laws and regulations requiring compliance, and any additional program requirements or grant conditions
- Brief summaries of the projects to be carried out as subgrants
- Other information or provisions deemed necessary by NPS to carry out its granting activities or to accomplish the purpose of the grant.

(2) Required Content of Subgrant Agreements: When the applicant agrees to accept an award, this action is formalized with a written grant agreement between the SHPO and the grantee. The grant agreement:

- Specifies all Grants Program requirements and conditions applicable to the grantee
- States the grant-supported activities to be performed by the grantee, the period for conducting those activities, and the maximum amount of Federal Funds obligated to the grantee under the agreement
- Contains suitable provisions for termination by the SHPO and the grantee
- Contains any additional provisions the SHPO considered necessary

Effect of the Grants

Grants become effective upon the submission and NPS approval of the Standard Form 424 "Application for Federal Assistance" and when the Grant Agreement is signed by the NPS authorized Grant Awarding Official. This certifies that the Grant Agreement is complete and the NPS-approved grant application is in keeping with applicable laws, regulations, and program requirements.

GRANTS PROGRAM REQUIREMENTS AND CONDITIONS

SHPOs shall administer maritime heritage direct grants and subgrants in accordance with the relevant Grants Program requirements and conditions listed below, applicable Federal financial and administrative requirements listed in subsequent sections, as well as any relevant requirements specified by the State.

Section 106 and NEPA Compliance:

All projects, whether in an Education or Preservation category, must comply with Section 106 of the National Historic Preservation Act, and the National Environmental Policy Act (NEPA). Section 106 requires Federal agencies to take into account the effect of their grant-assisted activities on historic properties included on or eligible for inclusion on the National Register of Historic Places; NEPA requires agencies to consider the effects of grant-assisted projects on the environment. Preservation projects especially may require consultation under Section 106 and NEPA. ***Applicants should consult their SHPO early in the application process about whether it will be necessary to initiate Section 106 review.*** When applicable, SHPOs are requested to assist the NPS in assuring compliance with Section 106 in accordance with procedures established by the Programmatic Agreement among the National Park Service, the Advisory Council on Historic Preservation, and the National Conference of State Historic Preservation Officers for the National Maritime Heritage Grants Program. A list of SHPO offices may be found at the National Conference of State Historic Preservation Officers website: http://www.ncshpo.org/shpodirectory.shtml For further information and guidance on Section 106, applicants should also consult *Protecting Historic Properties: A Citizen's Guide to Section 106 Review*, at http://www.achp.gov/citizensguide.html, and the *Section 106 Applicant Toolkit*, at http://www.achp.gov/apptoolkit.html, both published by the Advisory Council on Historic Preservation.

NEPA regulations will be met by processes in place during and after the application process, including part 2 of the Maritime Heritage Grants Application Form. ***Projects that do not show compliance with either of these programs will not be considered for funding.***

Education Project Requirements:

(1) Curation of Maritime Heritage Collections: Curation of any federally-owned and administered archeological collections must be carried out in accordance with 36 CFR 79, "Curation of Federally-Owned and Administered Archeological Collections."

Preservation Project Requirements:

(1) Secretary of the Interior's Standards: All Preservation Projects must be carried out in accordance with applicable preservation standards prescribed by the Secretary of the Interior. These include: (a) Standards for Historic Vessel Preservation Projects http://www.nps.gov/maritime/grants/pdf/SecretarysStandardsForHistoricVesselPreservation.pdf; (b) Standards for the Treatment of Historic Properties http://www.nps.gov/history/hps/TPS/standguide/; and (c) Standards for Archeology and Historic Preservation: http://www.cr.nps.gov/local-law/arch_stnds_0.htm.

(2) Predevelopment Requirements: Predevelopment documents are required of applicants for review and approval before any preservation, rehabilitation, or restoration activities may begin. This includes compliance with Section 106 of the National Historic Preservation Act, for any projects that will affect a National Register-eligible property. Applicants are required to submit with their application:

(a) Photographs documenting the appearance and condition of the property, both on the exterior and on the interior, and its site and environment. Because photos are submitted as attachments to the SF-424, combine them all in a PDF document, following the file naming convention explained in a previous section, and label each photograph within the document individually. Photographs labels must include following information: property name and/or address, view (e.g., north side), and description (e.g., deterioration of hull, damaged plaster in keepers' quarters). Photographs keyed to a plan(s) of the property and site, while not required, facilitate review of the proposed work. Grantees must use their own judgment as to how many photographs adequately document the property. Photographs should include overall views of elevations or rooms, as well as detail shots of significant features. Larger projects will require more photographs in order to fully document the property.

Photographs of Exteriors should include:

- views of the property in its setting, including any outbuildings and its neighbors to either side and across the street
- overall views of each side of the property
- close-up views of important features or other things unique to your project
- close-up views showing the condition of the property's materials, especially if there are problems with deterioration

Photographs of Interiors should include:

- overall views of each room of the (An easy way to do this: stand in one corner and shoot the opposite side of the room, then take a picture from the corner)
- close-up views of important features or other things unique to your project
- close-up views showing the condition of the interior finishes, especially if there are problems Include close-up views of important elements.

Clarity of Photographs

- Good quality digital photographs are acceptable. NPS offers the following recommendations for good quality digital photographs:
- Photographs should be taken at a high resolution.
- Photos should be loaded into formats such as pdf and attached electronically to the completed application that will be submitted at www.grants.gov
- Disks of photographs are not acceptable.
- Photocopied photographs (black and white or color), instant photographsare not acceptable.

(b) Copies of working drawings, architectural plans, or specifications that will sufficiently illustrate the work to be accomplished. These should be combined in a single document where possible, following the file naming convention explained in a previous section.

SHPOs are requested to advise applicants, as needed, in completing predevelopment documentation for the preservation treatment to ensure compliance with Secretarial standards and Grants Program requirements.

(3) Continued Upkeep and Maintenance: Covenants and preservation agreements are used to enforce ongoing maintenance and preservation of the historic maritime property after completion of the grant-funded project. SHPOs are responsible for issuing and enforcing covenants or preservation agreements. In carrying out these responsibilities, SHPOs should consult the *Historic Preservation Fund Grants Manual*, Chapter 6.

(4) Archeology Projects: Preservation Projects dealing with maritime archeological investigations must be carried out according to the following provisions:

Legal Requirements: Archeological projects carried out on Federal lands must be conducted in accordance with the Archeological Resource Protection Act of 1979 (16 U.S.C. 470aa; 43 CFR 7) and any other Federal regulations governing such archeological work. Compliance with any State or local legislative provisions which address archeological work may also be required where applicable.

Principal Investigator: Archeological investigations are to be carried out under the supervision of a principal investigator with relevant specialized expertise in maritime archeology and professional qualifications which meet the Secretary of the Interior's Historic Preservation Professional Qualification Standards.

Research Design: A research design is required of applicants for review and approval before any archeological investigation may begin. **SHPOs are requested to advise applicants, as needed, in completing the Research Design to ensure compliance with Secretarial standards and Grants Program requirements.** Applicants are required to submit this document with their application. The research design shall be a written statement which:

- Explains the purpose or rationale behind the investigation
- Describes and assesses prior investigations
- Defines the scope of the proposed new investigation
- Identifies methods, techniques, and procedures to be used in the collection and recordation of data
- Describes forms of analysis to be used for data analysis upon completion of the investigation
- Provides a timetable for completion of the activities to be carried out under the investigation

Data Collection and Preservation of Archeological Sites: Recordation and preservation in-place rather than recordation through excavation is the preferred methodology for investigating and documenting a maritime archeological site. To the greatest extent possible, data collection shall be accomplished without disturbing or destroying the property, shall have limited or no recovery of artifacts, and shall preserve the site for future research. Recovery of artifacts is only allowed if an approved Conservation Plan is in place.

Conservation of Recovered Artifacts: A Conservation Plan is required of applicants for review and approval if recovery of artifacts is anticipated under the proposed archeological investigation. Applicants are required to submit this document with their application. The Conservation Plan shall be a written statement which describes the conservation facilities and methods to be used for conserving any recovered artifacts.

Conservation Plans and facilities must meet the standards outlined in the Secretary's Standards for Archeology and Historic Preservation and, where applicable, 36 CFR 79, "Curation of Federally-Owned and Administered Archeological Collections." **SHPOs are requested to advise applicants, as needed, in completing the Conservation Plan to ensure compliance with Secretarial standards and Grants Program requirements.**

(5) Acquisition: Purchase of property or fee title acquisition of a historic maritime property is allowable under the Grants Program. Requirements for acquisition projects may be found in Chapter 6 of the *Historic Preservation Fund Grants Manual.*

(6) Reconstruction: For the purposes of the Grants Program, a reconstruction is the process of reproducing, by new construction, the form and features of a historic maritime property as it appeared at a specific period of time. The following provisions apply to reconstruction of historic maritime properties:

(1) Explains the purpose or rationale behind the investigation
(2) Reconstructions must be based on accurate duplication of a historic maritime property substantiated by archeological, documentary, or physical evidence, rather than on conjectural designs. Construction of designs that were never executed historically is not supported by the Grants Program.
(3) Reconstructions should be full-scale and, where applicable, appear on the original site. Reconstruction of a historic maritime property in its historic location must be preceded by an archeological investigation to identify and evaluate those features and artifacts essential to an accurate reconstruction.
(4) Interpretation of reconstructions should clearly indicate which features: (a) are non-historically based concessions to modem use, and (b) employ modern methods or materials in their construction.
(5) Conversion of a non-historic vessel to represent a historic vessel is discouraged.
(6) Conversion of one historic vessel to represent another historic vessel is not allowed.

Acknowledgement of NPS Assistance

An acknowledgement of Federal support by the National Park Service, Department of the Interior, must be made in connection with the publication of any materials based on, or developed under, activities supported by the Grants Program. As well, a sign acknowledging this Federal support must be displayed at each Preservation Project site while work is in progress. This provision may be waived by written NPS approval if the SHPO determines that a project sign would create a risk of destruction or harm to the site. A permanent sign is not required. See Chapter 3 of the *Historic Preservation Fund Grants Manual* for additional guidance on this requirement.

Additional Program Requirements

(1) Conflict of Interest: This provision applies to persons or organizations who participate in or influence the grant award decision-making process, gain information not available to the general public, or provide oversight or administration of any aspect of the NMHA Grants Program. No person shall participate in the selection, award, or

administration of any NMHA-assisted grant, subgrant, contract, or subcontract if a conflict of interest, real or apparent, exists. No person shall engage in outside employment or have any direct or indirect financial interest that conflict or would appear to conflict with the fair, impartial, and objective performance of officially assigned duties and responsibilities for administration of the NMHA Grants Program. Employees or agents of grantee organizations shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, potential contractors, or parties to potential or actual subgrant awards.

A conflict of interest or an apparent conflict of interest exists whenever:

- Circumstances are such that a person may benefit, or appear to benefit, from a position they hold with respect to the NMHA-assisted program.
- Circumstances are such that a person may be unable, or appear unable, to make impartial decisions or render impartial advice with regard to the NMHA Grants Program due to outside relationships or activities.
- Circumstances are such that a person may have, or appear to have, an unfair competitive advantage because of his/her relationship with the grantee organization.

(2) Quality Partnerships: Should SHPOs or the NPS choose to share their administrative responsibilities with a Cooperator, they must ensure that the selected Cooperator is reliable, capable, and can reasonably carry out the requirements of the Cooperative Agreement. SHPOs, MarAD, and the NPS must ensure that a Cooperator has the appropriate technical and financial management qualifications in order to meet and maintain the following standards throughout the duration of the Agreement:

- The Cooperator must have adequate financial resources and the necessary experience, organization, technical qualifications, and facilities to carry out the terms of the Agreement.
- The Cooperator must have a satisfactory record of integrity, judgment, and performance under other Cooperative Agreements or similar contracts.
- The Cooperator must have established procedures and experience to carry out and comply with all applicable Federal laws, regulations, and executive orders.

(3) Contingent Fees: No person, agency, or other organization may be employed or retained to solicit or secure a grant or contract upon agreement or understanding for commission, percentage, brokerage, or contingent fee. For breach or violation of this prohibition, the Federal Government shall have the right to annul the grant without liability or, at its discretion, to deduct from the grant or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee, or to seek other such remedies as may be legally permissible.

(4) Dual Compensation: If an NMHA grantee or subgrantee staff member or consultant is involved simultaneously in two or more projects supported by Federal funds, and compensation on either project is based upon percentage of time spent, he or she may not be compensated for more than 100 percent of his/her time from any Federal funds during any part of the period of dual involvement.

(5) Religious Institutions: Development projects for religious properties and acquisition of religious properties are not eligible. As well, such activities shall not be proposed as nonfederal matching share. However, nonconstruction assistance to a religious property that is carried out in the same manner as it would be for a secular property is allowable under the NMHA Grants Program.

(6) Safety Precautions: NPS assumes no responsibility with respect to accidents, illness, or claims arising out of work performed under a grant supported project. The grantee is expected to take necessary steps to insure itself and its personnel and to comply with the applicable local, State, or Federal safety standards, including those issued pursuant to the National Occupational Safety and Health Act of 1970 (see 20 CFR 1910).

(7) Site Supervision: Grantees must assure that competent and adequate architectural, engineering, and archeological supervision and inspection is performed at grant-assisted construction sites, and also that completed work conforms with the approved plans and specifications and the applicable Secretary of the Interior's Standards.

(8) Assurances: Where applicable, all construction/nonconstruction projects must be carried out in compliance with relevant Federal laws and regulations. SHPOs ensure grantee/subgrantee compliance with nondiscrimination laws and other Federal requirements through submission of required assurances which accompany the SF 424, "Application for Federal Assistance."

FINANCIAL AND ADMINISTRATIVE REQUIREMENTS

Administration of NMHA grants shall be carried out by grantees and subgrantees in accordance with the standards specified in 43 CFR 12, "Administrative and Audit Requirements and Cost Principles for Assistance Programs", which incorporates applicable Office of Management and Budget Circulars. *Important: Several significant changes to OMB Circulars have been incorporated into a new "Supercircular." Grant recipients are encouraged to review these changes located in the Code of Federal Regulations at 2 CFR 200: http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl*

Below are listed descriptions of the various financial and administrative actions that are required under 2 CFR 200. This section is not comprehensive. For complete descriptions of all Federal financial and administrative requirements and detailed guidance in carrying out those requirements, please consult with 2 CFR 200, relevant OMB Circulars, as well as the *Historic Preservation Fund Grants Manual.*

Matching Share

Matching share represents that portion of the total project cost not supported with Federal funds and that is supplied by the grantee or other third parties in cash, in-kind, or in services contributed. All grant awards must be matched on a 1-to-l basis with nonfederal assets from nonfederal sources, which may include cash or donated services and property valued at fair market rates. Thus a $2,500 award of Federal assistance must in turn be matched by the grantee or subgrantee with $2,500 in nonfederal contributions for a total project cost of $5,000.
The allowability and evaluation of cash or in-kind contributions in satisfying matching share requirements are carried out in accordance with 2 CFR 200..

(1) Definitions:

- Cash contributions represent the grantee's or subgrantee's cash outlay, including the outlay of money contributed by nonfederal third parties. Unless authorized by Federal legislation, outlays charged to other Federal grants or funds received from other Federal grants shall not be used as part of the grant recipient's cash contribution.
- In-kind contributions represent the value of noncash contributions provided by the grantee, subgrantee, or nonfederal third party. Only when authorized by Federal legislation may property purchased with Federal funds be considered as the grantee's in-kind contribution. In-kind contributions may consist of charges for real property, nonexpendable personal property, and the value of goods and services directly benefitting and specifically identifiable to approved objectives of the grant-supported project.
- Grant costs are the sum of allowable costs incurred and the values of cash or allowable in-kind contributions accumulated to accomplish the objective of the grant or subgrant during the specified grant period.
- Grant period refers to the span of time stipulated in the grant agreement during which all nonfederal share is contributed and during which all work to be accomplished under the terms of the agreement must be completed.

(2) Basic Guidelines: Matching shares may consist of: (1) charges incurred by the grantee or subgrantee as costs during the grant period, (2) costs financed with cash contributed or donated by other nonfederal third parties, including other public agencies, institutions, and private organizations and individuals, (3) costs represented by services and real and personal property, or use of these, contributed or donated by nonfederal third parties during the grant period. Examples of the kind of record keeping forms grantees should maintain to evaluate donated labor, materials or equipment use may be found in the *Historic Preservation Fund Grants Manual* and on the Maritime Program website: http://www.nps.gov/maritime/grants/intro.htm. These are suggested models only; comparable formats would also serve for audit purposes.

Method of Payment and Financial Reporting

Maritime Heritage Grants will be issued as direct grants to SHPOs, who will issue subgrants to awardees. Therefore, grant recipients will need to work closely with SHPOs to access their allocated funds. SHPOs should not draw the entire grant amount at one time and hold the funds in their accounts; rather, they should draw the funds as subgrantees incur costs and request reimbursement for them. The National Park Service uses a business and accounting system called the Financial and Business Management System (FBMS). FBMS uses a payment system called the **Automated Standard Application for Payments (ASAP)**. Payment will be made to SPHOs for subgrants by advance and/or reimbursement through the ASAP system.

- Requesting Reimbursement. Reimbursements are the preferred method of payment. Requests for reimbursements must be submitted via the ASAP system. Requests for reimbursement should coincide with normal billing patterns. Each request must be limited to the amount of disbursements made for the Federal share of direct project costs and the proportionate share of allowable indirect costs incurred during that billing period.
- Requesting Advances. Requests for advances must be made submitted via the ASAP system. If feasible, each request should be timed so that payment is received on the same day that the funds are dispersed for direct project costs and/or the proportionate share of any allowable indirect costs. If same-day transfers are not feasible, advance payments must be as close to actual disbursements as administratively feasible.
- Adjusting payment requests for available cash. Funds that are available from repayments to, and interest earned on, a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds must be disbursed before requesting additional cash payments.
- Bank Accounts. All payments are made through electronic funds transfer to the bank account identified in the U.S. Treasury ASAP payment system by the grant recipient.
- Supporting Documents and Agency Approval of Payments. Additional supporting documentation and prior Agency (NPS) approval of payments may be required when/if a grant recipient is determined to be "high risk" or has performance issues. If prior Agency payment approval is in effect for an award, the ASAP system will notify the grant recipient when they submit a request for payment. The Recipient must then notify the NPS Awarding Officer identified on the Grant Agreement that a payment request has been submitted. The NPS Awarding Officer may request additional information from the recipient to support the payment request prior to approving the release of funds, as deemed necessary. The grant recipient is required to comply with these requests. Supporting documents may include invoices, copies of contracts, vendor quotes, and other expenditure explanations that justify the reimbursement requests.

Allowable Costs

Grant funds may be used only to support grant-related activities. Federal Cost Principles are used to determine allowable costs for project activities supported by the NMHA Grants Program. All costs claimed under the grant/subgrant are subject to the applicable Federal cost principles as well as those selected items of cost addressed in the *Historic Preservation Fund Grants Manual.* Direct grants to SHPOs are subject to 2 CFR 225. All subgrants are subject to the Federal cost principles applicable to the particular subgrantee organization.

(1) Administrative Costs: Costs incurred prior to receipt of a grant agreement by SHPOs for publicizing the Grants Program and assisting applicants may be charged towards the NMHA grant they receive, within the limits of the amount allowable for Grants Program administration.

(2) Indirect Costs: NMHA grants are subject to statutory limitation upon the amount of indirect costs that may be allowed in accordance with the current indirect cost rate approved by the cognizant Federal agency. The total direct administrative costs and any indirect costs charged for grants administration may not exceed 15% of the total funds allocated to the Grants Program:

Audit Responsibilities

State and local governments shall carry out their audit requirements in accordance with the provisions prescribed in OMB Circular A-133 (see also 43 CFR 12 Subpart B - Audit Requirements for State and Local Governments which is issued pursuant to the Single Audit Act of 1984, as amended in 1996). Institutions of higher education or other nonprofit organizations are also subject to nonfederal audits in accordance with OMB Circular A-133.

Project Reporting Requirements

(1) Progress Reports: Interim progress reports must be submitted to NPS by the SHPO every six months throughout the grant period. However, SHPOs are also strongly encouraged to require subgrantees to provide the information for the reports to be submitted. SHPOs may periodically contact subgrantees to determine if any events have occurred (or are anticipated) that will affect the progress of the project.

(2) Project and Budget Changes: Events that will require budget or product changes and amendments to the grant agreement, ***including changes in key personnel,*** must be reported to the NPS. Such substantive revisions in the NPS- approved grant applications which served as the basis of the Grant Agreement must be approved in writing by the NPS prior to effecting the change.
Such post-award programmatic changes and budget revisions on grants and subgrants are to be carried out in accordance with 43 CFR 12.70 (for State and local governments) and 43 CFR 12.925 (for nonprofit organizations and institutions of higher education) and procedures established in the *Historic Preservation Fund Grants Manual.*

(3) Final Project Reports: When projects supported by the Grant Program have been completed, SHPOs are requested to submit their final project report to the NPS. The Final Project Report Cover Sheet should be used in compiling the report. Final Project Reports shall be submitted no later than 90 days after the end date of the grant period. The final report must be submitted before a final request for payment will be approved. SHPOs may request final reports from subgrantees in a format specified by the SHPO.

Procurement Standards

Procurement of supplies, equipment, construction and other services under projects supported by NMHA grant funds must be carried out in compliance with the provisions of applicable Federal laws and of 200 CFR 318. These Federal procurement standards are designed to promote fair and open competition for contracts arising out of federally assisted projects. Grantees/subgrantees shall use their own procurement procedures which reflect applicable State and local laws and regulations, provided they conform to the standards set forth in applicable Federal laws.

Program Income

Unless the terms and conditions of the Grant Agreement provide otherwise, the provisions of 43 CFR 12.65 and 43 CFR 12.924 shall be applicable to income earned by the grantee or subgrantee as a result of receipt of the grant or from grant-supported activities.

Property Management

The acquisition, use, and disposition of real property, equipment, and supplies purchased in whole or in part with NMHA grant assistance shall be governed in accordance with the standards and procedures set forth in 200 CFR 318.

Copyrights

Guidance regarding copyrights shall be governed in accordance with the provisions set forth in 43 CFR 12.74 and 43 CFR 12.936. Except as otherwise provided in the terms and conditions of the grant agreement, the author or grantee/subgrantee is free to copyright any books, publications, or other copyrightable materials developed in the course of, or under a project financed by, NMHA grant funds. However, any such copyrighted materials will be subject to royalty-free, nonexclusive, and irrevocable license to the Federal Government to reproduce, publish, or otherwise use, and to authorize others to use, the work for Government purposes.

Inventions and Patents

Guidance regarding inventions and patents shall be governed in accordance with the provisions set forth in 43 CFR 12.74 and 43 CFR 12.936. If any grant-assisted activity or project work produces patentable items, rights, processes, or inventions, in the course of work sponsored by the NMHA Grants Program, such fact will be promptly and fully reported to relevant NPS offices. Unless there is a prior agreement between the grantee and the NPS on disposition of such items, the NPS will determine whether protection on the invention or discovery will be sought. The NPS will

also determine how the rights in the invention or discovery, including rights under any patent issued thereon, will be allocated and administered in order to protect the public interest.

Retention of Records

Record retention and access requirements for NMHA grants shall be carried out in accordance with 200 CFR 344.

FOIA: Financial records, supporting documents, statistical records, and all other records pertinent to a grant provided by the NPS are subject to disclosure under the Freedom of Information Act, 5 U.S.C. 552 as limited by Section 304 of the National Historic Preservation Act, as amended. FOIA is not applicable to those grant records held by the grantee or subgrantee. Unless required by other Federal, State or local laws, grantees and subgrantees are not required to permit public access to their records.

Grant Closeout, Suspension, and Termination

Procedures for grant closeout, suspension, and termination are carried out in accordance with 200 CFR 343 and procedures established in the *Historic Preservation Fund Grants Manual.*

ADMINISTRATIVE RESPONSIBILITIES

SHPOs, as grantees, are responsible for both direct grant and subgrant administration of any grant awards received under the National Maritime Heritage Grants Program. SHPOs shall follow the applicable provisions of 43 CFR 12 and all conditions and requirements governing the Grants Program, and ensure that every subgrant includes provisions for compliance with these requirements. If the SHPO has more restrictive policies than the standards specified in the *Maritime Heritage Grants Manual,* then the SHPO's policies shall apply. SHPOs shall ensure that subgrantees are aware of relevant Grants Program requirements as well as any requirements specified by the State. Grants Program funds cannot be paid for any work or activity that does not conform to the terms of the NPS Grant Agreement which incorporates all applicable grant requirements, conditions, and Federal laws and regulations. Failure of a subgrantee to comply with grant requirements shall be deemed a failure by the grantee to comply with the conditions of grant assistance, and such grants are subject to recovery. Subgrant agreements between the grantee and any subgrantee should include enforceable provisions allowing the grantee to recover any misapplied funds. The grantee, however, is nevertheless responsible to NPS for repayment of funds misapplied by any subgrantee.

OTHER FEDERAL LAWS AND REGULATIONS

Administration of NMHA grants shall be carried out by grantees and subgrantees in accordance with applicable Federal laws, regulations, and executive orders. Below are listed descriptions for some of the various laws, regulations, and executive orders affecting Federal grants. For more detailed guidance in meeting the responsibilities required by such legislation, grantees should consult with the *Historic Preservation Fund Grants Manual* as well as any referenced NPS guidelines or additional Federal regulations.

Civil Rights

NMHA grant-assisted projects must be administered in conformance with the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794, *et. seq.).* Title VI of the Civil Rights Act of 1964 states that no person will, on the grounds of race, color, or national origin, be excluded from participation in, be denied benefits of, or otherwise subjected to discrimination under any program or activity receiving Federal financial assistance. Section 504 of the Rehabilitation Act of 1973, as amended requires that no qualified disabled individual is solely, by reason of disability, excluded from participation in, denied the benefits of, or subjected to discrimination under any program or activity receiving Federal financial assistance.

Guidelines for the implementation of Title VI of the Civil Rights Act of 1964 and Section 504 of the Rehabilitation Act of 1973, as amended shall be carried out in accordance with relevant Department of the Interior regulations published in 43 CFR 17 and the instructions specified in Chapter 10 of the *Historic Preservation Fund Grants Manual.*

(1) Discrimination in Employment Prohibited: In all hiring or employment made possible by or resulting from grant/subgrants awards, each employer: (1) will not discriminate against any employee or applicant for employment because of race, color, religion, sex, age, or national origin, (2) will ensure that no qualified disabled person shall, on the basis of disability, be subjected to discrimination in employment under a NMHA grants project, and (3) will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their color, religion, sex, age, or national origin.

(2) Physical Accessibility for the Disabled: The Architectural Barriers Act of 1968, as amended (42 U.S.C. 4151, *et. seq.)* and Section 502 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 792), require that buildings designed, constructed, or altered with Federal assistance be made accessible to the physically disabled. These Acts also require that public conveyances procured with Federal assistance be readily accessible to, and usable by, physically disabled persons. Minimum accessibility standards for facilities are contained in "Specifications for Making Buildings and Facilities Accessible to, and Usable by, the Physically Disabled" published by the American National Standards Institute (41 CFR 101-19.6, Appendix A). As well, grantees may follow the standards contained in the Americans with Disabilities Act Accessibility Guidelines (28 CFR 36, Appendix A). These provisions are applicable to building or facilities owned or occupied by grantees/subgrantees which are intended to be accessible to the general public and which receive NMHA grant assistance (Refer to 36 CFR 1150, 1190, and the *Historic Preservation Fund Grants Manual).*

Coastal Barrier Islands

The Coastal Barrier Resources Act (16 U.S.C. 3501) prohibits any form of direct or indirect Federal assistance for projects located on a barrier island. This applies to designated Atlantic and Gulf Coast States (see: 16 U.S.C. 3501). NMHA grant assistance is therefore generally prohibited on any coastal barrier island under the Coastal Barrier Resources Act. However, in accordance with Section 3505(a) of the Act, "…the appropriate Officer, after consultation with the Secretary, may make Federal expenditure or financial assistance available within the Coastal Barrier Resource System…" The authority to review and approve such requests for exception for each proposed grant-assisted activity has been delegated to the Assistant Regional Directors for Fish and Wildlife Enhancement of the U.S. Fish and Wildlife Service. (See Chapter 5 of the *Historic Preservation Fund Grants Manual)*

For proposed NMHA grant-assisted construction activities involving historic maritime properties, such as lighthouses or lifesaving stations which may be located within designated boundaries of the Coastal Barrier System, there are four possible grounds for exceptions based on Section 6 of the Act (see 55 U.S.C. 3505). These are as follows:

- 55 U.S.C. 3505(a)(3) allows exceptions for "the maintenance, replacement, reconstruction, or repair, but not the expansion, of publicly-owned or publicly-operated roads, structures, or facilities that are essential links in a larger network or system."
- 55 U.S.C. 3505(a)(5) allows exceptions for "the construction, operation, maintenance, and rehabilitation of Coast Guard facilities and access thereto."
- 55 U.S.C. 3505(a)(6)(B) allows exceptions for "the establishment, operation, and maintenance of air and water navigation aids and devices, and access thereto. "
- 55 U.S.C. 3505(a)(6)(F) allows exceptions for "the maintenance, replacement, reconstruction, or repair, but not expansion, of publicly-owned or publicly-operated roads, structures, or facilities."

For proposed non-construction activities (such as survey and planning) involving historic maritime properties which may be located within designated boundaries of the Coastal Barrier Resources System, the following section of the Act provides a possible basis for exception:

- 55 U.S.C. 3505(a)(6)(D) allows exceptions for "scientific research, including but not limited to aeronautical, atmospheric, space, geologic, marine, fish and wildlife and other research, development and applications." (It should be noted that, based on this section, the Secretary of the Interior approved a general exclusion for HPF-assisted survey and planning activities from being subject to the funding restrictions of the Act.)

Coastal Zone Management

The Coastal Zone Management Act of 1972, as amended (16 U.S.C. 1451) prohibits Federal assistance to State or local governments which is inconsistent with the requirements of an approved coastal zone management plan.

Grantees of coastal States (including Great Lakes States) submitting NMHA grant applications must certify consistency with the appropriate State Coastal Zone Management Plan when proposed work is in a designated coastal zone. Further information may be obtained from the Office of Coastal Zone Management, National Oceanic and Atmospheric Administration, Department of Commerce. See 15 CFR 930.

Construction Work

The National Maritime Heritage Act is silent about and therefore does not require compliance with the Davis-Bacon Act (40 U.S.C. 276a-276a-7) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333). Compliance with the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874) is required under the Grants Program. For exceptions to the applicability of the Davis-Bacon Act and additional guidance on these laws, please see the *Historic Preservation Fund Grants Manual.*

Convict Labor

In accordance with Executive Order 11755, no person undergoing a sentence of imprisonment at hard labor shall be employed on any NMHA grant-assisted work. Labor performed by State prisoners who are on work release, parole, or probation does not fall under this prohibition.

Environmental Compliance

The National Environmental Policy Act of 1969, as amended (42 U.S.C. 4321, *et. seq.*) establishes national policy goals and objectives for protecting and enhancing the environment. The provisions of this law are applicable to activities supported in whole or in part through NMHA grants.

The national policy concerning assessment of the environmental impact of Federal and federally funded actions is contained in the National Environmental Policy Act (NEPA). All NMHA grants actions are subject to the provisions of NEPA and the Council on Environmental Quality Regulations for Implementing the Procedural Provisions of NEPA (CEQ Regulation) (40 CFR 1500-1508). Certain categories of proposed actions may be excluded from the NEPA process. All other proposed actions require the preparation of either an Environmental Assessment (EA) or an Environmental Impact Statement (EIS).

Compliance with NEPA shall be carried out in accordance with the guidelines and provisions set forth in Chapter 11 of the *Historic Preservation Fund Grants Manual*, and assisted by completing Section 2 of the National Maritime Heritage Grant Application form. NPS is responsible for ensuring the adequacy of any Environmental Assessment or Environmental Impact Statement.

Flood Insurance

The purchase of flood insurance as required by Section 102(a) of the Flood Disaster Protection Act of 1973, as amended by the National Flood Insurance Reform Act of 1994 (42 U.S.C. 4001), is applicable to acquisition or construction projects involving historic waterfronts and other historic maritime properties subject to flood hazards. Where a project includes an insurable improvement only as a small and incidental portion of the total project, flood insurance is not required if the value of the insurable improvement is less than $10,000. Flood insurance is not required on any State-owned property that is covered under an adequate State policy of self-insurance satisfactory to the Federal Emergency Management Agency. The States currently approved for self-insurance on State-owned properties are listed in 44 CFR 75.14. Information concerning the applicability of this law to specific projects is obtainable from Federal Emergency Management Agency, Federal Insurance Administration, Office of Flood Insurance, Washington, D.C. Refer to program guidelines in 44 CFR 59.

Floodplain Management

The grantee will comply with the provisions of Executive Order 11988, relating to evaluation of flood hazards; Executive Order 11288, relating to prevention, control, and abatement of water pollution; and Executive Order 11990 relating to protection of wetlands.

Hatch Act

No officer or employee of the State whose principle employment is in connection with any activity which is financed in whole or part with Federal grant assistance shall take part in any of the political activity proscribed in the Hatch Political Activity Act, as amended (5 U.S.C. 1501, *et. seq.)* with its stated exceptions.

Lead-Based Paint

Section 401 of the Lead-Based Paint Poisoning Prevention Act, as amended (42 U.S.C. 4801, *et. seq.)* prohibits the use of lead-based paint in residential structures constructed or rehabilitated with Federal assistance. Grantees and subgrantees shall include provisions in all contracts for construction work on residential structures prohibiting the use of lead-based paint. A residential structure is defined in 24 CFR 35.3 as "any house, apartment or structure intended for human habitation, including any non-dwelling facility operated by the owner and commonly used by children under seven years of age, such as a child care center." Lead-based paint is defined 24 CFR 35.63 as "any paint containing more than six one-hundredths of one percent lead by weight in the total nonvolatile content of the paint or the measure of lead in the dried film of paint already applied".

Lobbying with Appropriated Funds

Costs associated with activities to influence legislation pending before the Congress, commonly referred to as "lobbying", are unallowable as charges to any Grants Program project. NMHA grants conform to the provisions of 18 U.S.C. 1913 which state: "No part of the money appropriated by any enactment of Congress shall, in the absence of express authorization by Congress, be used directly or indirectly to pay for any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, intended or designed to influence in any manner a Member of Congress, to favor or oppose, by vote or otherwise, any legislation or appropriation by Congress, whether before or after the introduction of any bill or resolution proposing such legislation or appropriation; but this shall not prevent officers or employees of the United States or its Departments or agencies from communicating to members of Congress at the request of any Member, or to Congress through the proper officials channels, requests for legislation or appropriations which they deem necessary for the efficient conduct of the public business."

Relocation Assistance

Grantees must comply with the requirements of Title II and Title III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended by Title IV of the Surface Transportation and Uniform Relocation Assistance Act of 1987 (42 U.S.C. 4601, *et. seq.)* which provide for fair and equitable treatment of persons displaced from their homes, businesses, or farms as a result of Federal and federally assisted projects.

Where applicable, compliance with this Act is to be carried out in accordance with procedures and guidelines set forth in Chapter 20 of the *Historic Preservation Fund Grants Manual* which incorporates the government-wide rule in 49 CFR 24 implementing the Relocation Act.

Travel Allowances

All grantees and subgrantees are required to follow the travel policies set forth in the Federal Travel Regulations (FTR, see 41 CFR 301). Subgrants, subcontracts, and consultant agreements will not exceed these standard rates. If the grantee or subgrantee has more restrictive travel policies than those of FTR, then the grantee's/subgrantee's policies shall apply.

Wild and Scenic Rivers

The grantee/subgrantee will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271, *et. seq.)* related to protecting components or potential components of the national wild and scenic rivers system.

Appendix 1. Instructions for completing form SF-424 and its sub-forms (as necessary)

A. SF-424: Main Form line-by-line Instructions

Required for all projects. Failure to complete and submit this form will result in disqualification of your application.

Note: all fields highlighted in yellow on the SF-424 form are required by the system. The NPS requires some additional fields to be completed; these are noted below in italics and marked with an asterisk *

Cover sheet—Application Filing Name

Enter the name under which you wish your application to be identified—it is recommended that you use the Applicant Organization's name

1. Type of Submission

Select Application

2. Type of Application

Select New

3. Date Received

This field will be completed by grants.gov when the application is submitted.

4. Applicant Identifier

Not required

5a. Federal Entity Identifier

Not required

5b. Federal Award Identifier

Not required

6. Date Received by State

Not required

7. State Application Identifier

Not required

8a-d. Applicant Information

Enter the information requested as it applies to the *applicant organization*.

8e. Organizational Unit

Optional—only if the applicant organization is a department within a larger organization, and this information is important for contact purposes.

8f. Name and contact information of person to be contacted on matters involving this application

Enter the name, title, phone number, fax (if appropriate), and e-mail of the main contact person for the application. This should be someone who has access to all application materials and is familiar with the project.

9. Type of Applicant

Select the appropriate option from the drop down menu. Eligible applicant types for National Maritime Heritage Grants are: entities of State Government, Local Government, or Federally Recognized Tribal Government, or Private non-profit organizations with 501(c)(3) status.

10. Name of Federal Agency

Enter National Park Service, if not automatically populated by the system.

11. Catalog of Federal Domestic Assistance Number and CFDA Title

The system should automatically populate these fields. If empty, enter 15.925 for the number and National Maritime Heritage Grants Program for the title.

12. Funding Opportunity Number and Title

The system should already populate this field. If empty, enter the funding number from the program announcement and National Maritime Heritage Grant Program for the title.

13. Competition Identification Number and Title

Not required

**14. Areas Affected by Project*

Record the locality or localities—city, county, state, etc—in which the project is located, or create a separate document and attach it to this line using the "Add Attachment" button

15. Descriptive Title of Applicant's Project

Enter the title of the grant project. It is not necessary to add attachments to this line.

16. Congressional Districts

Enter the U.S. Congressional districts of the Applicant and of the Project location in the appropriate boxes.

17. Proposed Project dates

Enter the estimated project start and end dates, as known at the time of application submission. Specific dates are not meant to be binding at this stage; the more important information is the amount of time given to each project task. Formal start and end dates will be determined if a grant is awarded.

18. Estimated Funding

Enter the amounts of funding to come from each source listed, as applicable. Program income refers to any income generated by the project itself.

19. Is Application Subject to Review by State under Executive Order 12372 Process

Under Executive Order 12372, states have the right to review any applications for federal assistance in their state. However, the National Maritime Heritage Grant Program is excluded from coverage under E.O. 12372. Select option c, Program is not covered by E.O. 12372.

20. Is the Applicant Delinquent on any Federal Debt?

Choose yes or no, as appropriate. If yes, provide an explanation in a separate document and attach it using the "Add Attachment" button.

21. Certification and Authorized Representative

Click the "I Agree" box to indicate that you certify the answers given in the 424 are accurate. Provide the name and contact information for the person to be responsible for the accuracy of the answers and ensuring that grant terms and conditions are followed. This may or may not be the person listed in 8f.

Add attachments, such as Maritime Grant Project Proposal, Supporting Documents, etc, as explained on p. 7-9 of this manual, using the "Add Attachments" tab.

B. SF-424A Budget Information line-by-line instructions

Required for all projects. Failure to complete and submit this form will result in disqualification of your application.

Note: the 424A is embedded within the main 424 form, located on pages 6-8. You will see "Standard Form 424A" in the bottom right hand corner of these pages.

Section A: Budget Summary

Use row 1 only.

Column A: Enter the name of the project.

Column B: Enter the Catalog of Federal Domestic Assistance (CFDA) number found on page 1 of the SF-424.

Do not use Columns C and D.

Column E: Enter the amount of federal funds you are requesting.

Column F: Enter the total amount of matching funds you will provide.

Column G: Total the amounts from Columns E and F.

Section B: Budget Categories

Use Column (1) only.

Box (1): Automatically populates with information from Budget Summary, Column A

Rows a-h: Insert the total amounts of federal funds you are requesting for each category. These correspond closely to the categories from the budget worksheet in the National Maritime Heritage Grant program.

Row i: Totals automatically as you enter amounts from rows a-h

Row j: Enter the amount of indirect charges (if any) you will be charging to the grant. See the Maritime Heritage Grants Application Guideline and Grants Manual for explanation of Indirect Costs. The amount cannot exceed 15% of the federal funds you are requesting.

Row k: Totals automatically as you enter amounts in rows a-j

Row 7: Enter the income expected from the project, if any. If none, enter 0.

Section C: Non-federal resources (the matching funds)

Use row 8 only.

Column a: Enter the name of the grant program.

Columns b-d: Indicate the amount of the matching funds that will come from each indicated source.

Column e: Automatically totals as you enter amounts into columns b-d.

Section D: Forecasted cash needs

Row 13: Enter the amount, by quarter, of federal funds expected to be used for the first year of the grant.

Row 14: Enter the amount, by quarter, of non-federal (matching) funds expected to be used for the first year of the grant.

Row 15: Automatically totals as you enter amounts into rows 13-14.

Section E: Budget Estimates of Federal Funds Needed For Balance of the Budget

Use row 16 only.

Box a: Enter the name of the grant program.

Boxes b-e: Enter the amount of federal funds expected to be required for remaining years in the grant, if applicable. The Maritime Heritage Grants are allowed to have up to a 2 year grant period, so you will only use box b, if any at all. If you expect to complete your grant project in one year, enter 0 in box b.

Row 20: Automatically totals as you enter information into row 16.

Section F: Other

Box 21: Enter the total direct charges (federal only) for the grant.

Box 22: Enter the total indirect charges, if applicable, for the grant.

Remarks: only use to explain further if needed.

SF-424B Assurances—Non-construction programs: line-by-line instructions.

Required for all projects. Failure to complete and submit this form will result in disqualification of your application.

Note: the 424B is embedded within the main 424 form, located on pages 9-10. You will see "Standard Form 424B" in the bottom right hand corner of these pages.

Read the information on these pages carefully before signing. In particular, note assurance 13 on compliance with Section 106 of the National Historic Preservation Act of 1966, Executive Order 11593, and the Archaeological and Historic Preservation Act of 1994. Consult the National Maritime Heritage Grant Application Guidelines and Grant Manual for more information about Section 106 if needed. Submission of the SF-424 will create an electronic signature. If you have questions about any of the assurances, contained therein, please contact the National Maritime Heritage Program staff.

SF-424C Budget Information—Construction Programs: line-by-line instructions.

Required for Preservation projects only. ***Failure to complete and submit this form with a Preservation project application will result in disqualification of your application.***

What amounts to enter: This form is for recording how much you plan to use in *federal funds only* for each category. Do not include matching funds on this worksheet. Note that most categories on the SF-424C mirror the budget categories in the Maritime Heritage Grants application form; in those cases, you can simply transfer the amounts from the budget worksheet in the application form to this form. Some categories here may not apply to your project; enter 0 if this is the case.

Allowable and Non-Allowable Costs: In general, all costs incurred in planning and carrying out a project are allowable. Notable exceptions include 1) indirect costs are capped at 15% for this grant and 2) federal grant funds cannot be used to pay the salary of any federal employee, and a federal employee's salary cannot be used to provide matching funds. For information on specific costs that are allowable or not allowable for participation, please see the *Historic Preservation Fund Manual*, Chapter 6: http://www.nps.gov/preservation-grants/HPF_Manual.pdf

15. Program Income: Enter any estimated program income that will be earned during the grant period (e.g. salvaged materials etc.). If you do not anticipate the project to earn income during the grant period, enter 0.

17. Federal assistance requested: This block is for the computation of the federal share of the grant. Because you are only listing the federal funds being requested, without including matching funds, and assuming you have not entered exceptions to the allowable costs as discussed above and in Chapter 6 of the *Historic Preservation Fund Manual*, you will enter 100 to calculate the percentage of federal share. Press the enter key once you have entered the 100, and it will automatically calculate the amount. For example, if the total project costs in line 16 are $40,000, and you enter 100 in line 17, the form will calculate that your federal share is $40,000.

SF 424D Assurances—Construction Programs: Instructions

<u>Required for Preservation projects only.</u> Failure to complete and submit this form with a Preservation project application will result in disqualification of your application.

Read the information on these pages carefully before signing. Submission of the SF-424D will create an electronic signature. If you have questions about any of the assurances, contained therein, please contact the National Maritime Heritage Program staff.