



Historic Preservation Fund (HPF) Grants to Indian Tribes, Alaskan Natives and Native Hawaiian Organizations aka

Tribal Heritage Grants

Managing Your Grant



Historic Preservation Fund

- Established in the 1976 amendments to the National Historic Preservation Act (the Act), the Historic Preservation Fund (HPF) is the source of preservation grants and financial assistance to states, Tribes, local governments, and non-profits. The Act allows states and Tribes to participate in the National Historic Preservation Program by appointing a State or Tribal Historic Preservation Officer (SHPO/THPO) to perform, or have performed, survey, document, and record historic properties and guide preservation activities at the State and Tribal levels. The HPF provides the money necessary for states and Tribes to implement these activities. The funds are administered by the National Park Service (NPS).
- Tribal Heritage grants are derived from the THPO funds so that all federally-recognized tribes, Alaskan Tribal Groups & Hawaiian Native groups can benefit.
- Funding for the HPF is from offshore oil and gas lease revenues. This allows for the use of non-renewable resources to be somewhat counter-balanced by the benefits of preserving other irreplaceable resources.



Your Grant Agreement & Requirements

- Requirements – Most requirements are listed in the grant agreement.
 - **Website.** You can find most of the information on the website on how to manage your grants.
<https://www.nps.gov/thpo/tribal-heritage/reports-manual.html>



□ Agreement Requirements

Interim Report

- a) Due every six months
- b) Detailed narrative
- c) Photographs
- d) Any drafts due
- e) SF425

Dates.

- a. listed in the grant agreement
 - April 30, 2018;
 - October 31, 2018;
 - April 30, 2018
 (reporting period is month before).

National Park Service State, Tribal, and Local Plans & Grants Division Phone: 202-354-2020
U.S. Department of the Interior 1849 C Street, NW Mail Stop 7360 Fax: 202-371-1770
Washington, DC 20240

preservation_grants_info@nps.gov nps.gov/stipg

Interim Project Performance Worksheet

Federal Grant #: P__ AP_____	
Name of Recipient:	
Project Director Name:	Project Director Title:
Project Director Phone:	Project Director Email:
Project Title:	
Reporting Period: Start date ___/___/___ End date ___/___/___	

Instructions: Answer the below within this document. Include/attach all required documents. Each answer should total no more than 1 page, double spaced, in a 12 point font. Interim Performance Worksheets, and all supporting materials, must be submitted to NPS within 30 days of the end date of the reporting period outlined in your grant agreement.

Project Information

- Summarize the work completed on the project during this reporting period as it relates to the objectives of this grant and identify the articles of the grant agreement that this work satisfies.
- Identify estimated hours of employment and add other metrics here that will be part of the final report.

	Project Management	Planning by Consultants	Project Work	Total
Hours of employment funded by project (estimate)				

- Briefly describe any problems, delays, or adverse conditions which will impair the ability to meet the objective of this grant and include a statement of the action taken, or contemplated, and any assistance needed to resolve the situation.
- Briefly describe favorable developments, community engagement, new partnerships, and any other successes.
- Submit any modifications: changes to the budget, scope of work, or deliverables.
 - Complete the budget table located on the next page. Use the budget approved in your grant agreement or last approved budget modification as the basis for Planned Costs. If no matching share is included under your grant, leave this column blank. Double click on the table below to enter data.

If you have questions regarding the interim report, please contact your grant manager or 202-354-2020 or email preservation_grants_info@nps.gov.



Include:

- Progress on project
- Any problems
- What has been accomplished
- What still needs to be completed
- Any requests to the grant agreement – budget, scope, extension, etc. (There is a table to fill out for the budget change)
- Drafts, approvals
- Photos!
- Be sure to sign it.

If your project involves construction:

- Copy of your draft project sign
- Photo of installed project sign
- Copy of draft easement
- Copy of fully executed easement
- Plan/specs for Section 106 review
- Completed NEPA worksheet

-Do not worry about supplying the ASAP draw down.

**-Email the reports to:
Madeline_Konz@NPS.gov**



SF425 Federal Financial Report

1. Must submit with Interim/Final Report
 - If charging indirect costs must be on SF425
2. Have correct reporting dates as will be listed in the grant agreement.

FEDERAL FINANCIAL REPORT								
(Follow form instructions)								
1. Federal Agency and Organizational Element to Which Report is Submitted National Park Service		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)			Page 1 of 1 pages			
3. Recipient Organization (Name and complete address including Zip code) Name and address of Tribe								
4a. DUNS Number Tribe DUNS #	4b. EIN Tribe EIN #	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment) Tribes HPF Grant Number		6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input type="checkbox"/> Cash <input type="checkbox"/> Accrual			
8. Project/Grant Period From: (Month, Day, Year) 10/1/		To: (Month, Day, Year) 09/30/		9. Reporting Period End Date (Month, Day, Year) 09/30/				
10. Transactions (Use lines a-c for single or multiple grant reporting) Federal Cash: (To report multiple grants, also use FFR Attachment)								
a. Cash Receipts								
b. Cash Disbursements								
c. Cash on Hand (line a minus b)								
(Use lines d-o for single grant reporting)								
Federal Expenditures and Unobligated Balance:								
d. Total Federal funds authorized 80,000								
e. Federal share of expenditures 60,000								
f. Federal share of unliquidated obligations 10,000								
g. Total Federal share (sum of lines e and f) 70,000								
h. Unobligated balance of Federal funds (line d minus g) 10,000								
Recipient Share:								
i. Total recipient share required								
j. Recipient share of expenditures								
k. Remaining recipient share to be provided (line i minus j)								
Program Income:								
l. Total Federal program income earned								
m. Program income expended in accordance with the deduction alternative								
n. Program income expended in accordance with the addition alternative								
o. Unexpended program income (line l minus line m or line n)								
11. Indirect Expense		a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
								g. Totals:
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation.								
13. Certification: By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, misleading, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1061)								
a. Typed or Printed Name and Title of Authorized Certifying Official				c. Telephone (Area code, number and extension)				
				d. Email address				
b. Signature of Authorized Certifying Official				e. Date Report Submitted (Month, Day, Year)				
14. Agency use only:								
Standard Form 425 OMB Approval Number 0348-0061 Expiration Date: 10/31/2011								
<p>Paperwork Burden Statement</p> <p>According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0061), Washington, DC 20503.</p>								



SF425 – Instructions (Fields 1 - 9)

Enter the Tribe's name and address.

Enter National Park Service

Enter the Grant Agreement # assigned by the Federal Agency

Enter the number of pages included in the report – usually one.

FEDERAL FINANCIAL REPORT

(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted National Park Service		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment) P16AP000999		Page 1	of 1
3. Recipient Organization (Name and complete address including Zip code) Recipient Organization A, 123 Main Street, Anytown, XX 12345					
4a. DUNS Number 123456789	4b. EIN 12-3456789	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input checked="" type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual	
8. Project/Grant Period From: (Month, Day, Year) 09/01/2016		To: (Month, Day, Year) 08/31/2018		9. Reporting Period End Date (Month, Day, Year) 03/31/2017	

Enter the Tribe's DUNS # and the EIN.

This is the start date of grant agreement.

This field is optional and for the recipient's use only.

This is the end date of the grant agreement.

Indicate the report type.

The reporting period end date as listed in your grant agreement for Interim reports.

Indicate the recipient's basis of accounting.



SF425 – Instructions (Fields 10d - 10h)

Field d - **Total grant award amount.**

For cash basis, the sum of cash disbursements under the grant.
(Amount Spent)

For accrual basis, the sum of cash disbursements and the sum of expenditures incurred and recorded but not yet paid related to the grant.

(Use lines d-o for single grant reporting)

Federal Expenditures and Unobligated Balance

d. Total Federal funds authorized	40,000.00
e. Federal share of expenditures	5,000.00
f. Federal share of unliquidated obligations	0
g. Total Federal share (sum of lines e and f)	5,000.00
h. Unobligated balance of Federal funds (line d minus g)	35,000.00

For cash basis, the sum of expenditures incurred but not yet paid out.

For accrual basis, the sum of expenditures incurred but for which an entry has not yet been made.

The sum of lines 10e and 10f. This amount represents the **total spent on grant so far**

Balance. Funds not yet spent from grant total

Also be sure that if you are charging Indirect Costs to the grant on your budget, that it is also on the SF425 **box 11.a-g.** and vice versa, if they appear on SF425, make sure they are on the budget. You must also submit an Indirect cost rate agreement.



Final Report

- Requirements:
 - Final Report Worksheet
 - Answer all questions
 - Final Budget
 - Complete narrative
 - Deliverables
 - Must have met objectives in the Scope of Work
 - SF425
 - No balances!

National Park Service
U.S. Department of the Interior

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Final Project Grant Worksheet

Federal Grant #: P ____ AP ____	
Name of Recipient:	
Project Director Name:	Project Director Title:
Project Director Phone:	Project Director Email:
Grant Period: Start date ____/____/____ End date ____/____/____	
Project Title:	

Instructions: Answer all questions within this document (10 page maximum not including images or other required attachments). Use 12 point font. Label all pages with the grant number and name of organization. Attach all required documents stated in **Deliverables/Publications**. The final project worksheet, and all supporting materials, must be submitted to NPS within 90 days of the end date of the grant agreement.

Project Description

1. Summarize the results of the project accomplished under this grant.
2. Describe any differences between the planned results as stated under the Scope of Work and Deliverables in the Grant Agreement and the actual results.
3. Describe how this project contributes to a larger community/tribe/city/regional/state comprehensive, preservation, tourism, or economic revitalization plan/initiative. Specify which plan and what goals are fulfilled?
4. As applicable, explain any plans for ongoing funding, expansion, modification, or replication of the project.
5. Describe the long-term maintenance plan for the site/work/project completed under this grant. N/A is an allowable response.
6. What future public outreach activities are planned to increase the public's access to the work completed under the grant (tours, on-line exhibitions, social media, etc.).

Administrative

1. List all/any amendments to the original Grant Agreement including extensions and/or modifications to the Scope of Work or Budget as listed in the Grant Agreement. **Include approval dates for each.**



Payment

- Reimbursable grant
 - As funding is expended on the project, you may drawdown that amount.
 - Full drawdown is not allowed
- ASAP
 - Grantee must be enrolled in ASAP even if already enrolled with other agency.
 - <https://www.asap.gov>
 - <https://www.nps.gov/preservation-grants/asap-info.html>





HPF Manual

- https://www.nps.gov/preservation-grants/HPF_Manual.pdf
- **HPF Program-Specific Requirements** - HPF program requirements are provided in the [*Historic Preservation Fund Manual*](#). The chapters below provide information that THPOs will find especially useful in managing their grants.

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- **Chapter 6 – *Grant Assisted Program Activities*** - This Chapter describes overall program objectives and eligible and non-eligible program activities for the various HPF Program Areas as specified in the National Historic Preservation Act, as amended.
- **Chapter 13 – *Standards for Allowability of Costs*** - This Chapter provides standards for determining the allowability of selected items in accordance with Office of Management and Circulars (*the HPF Manual may be outdated so please check with the 2 CFR 200 for current information*). It also includes additional cost items specific to the Historic Preservation Fund program.



Common Unallowable Costs

- Curation of artifacts after the grant end date
- Entertainment and Alcohol, most food
- Honoraria (stipends to elders allowed)
- Lobbying/fundraising
- NAGPRA activities
- Indirect Costs if no current IDC in place
- Travel expenses beyond Federal per diem rates
- Equipment purchased without prior NPS approval



Indirect & Administrative Costs

- **Indirect Costs** - Costs incurred for a common or joint purpose benefiting more than one cost objective, and not readily assignable to the HPF grant without effort disproportionate to the results achieved.
- Indirect costs and administrative costs added together **may not total more than 25%** of total budget.



Procurement

- Contractors and consultants must be competitively bid – [2 CFR 200, Uniform Administrative Requirements and Cost Principles for Federal Awards.](#)
- Single source bidding has a very high standard.
- All contractors and consultants must be approved by NPS and must meet qualification standards as listed in your grant agreement.
- Maximum hourly wages charged to this grant for personnel and consultants may not exceed 120% of the salary of a Federal Civil Service GS-15, Step 10.
Management website: <https://www.opm.gov>



Budget & Statement of Work

- Budget and statement/scope of work are in your grant agreement – Budget (Article VI) & Statement Of Work (Article III).
- Changes can be made to both.
- Budget – contact NPS if more than 15% and include explanation and a new budget (*Use the Interim report or submit a SF424a form*).
- Scope change – contact NPS with explanation and proposed change and timeline.



Extensions

- Grant period is 2 years.
- Extensions are allowed under certain circumstances.
- Request in Interim Report or Contact NPS.

Your work is supposed to take two years, however, we understand things come up. If you think you are running into problems note it in the Interim report or contact me and we will work with you to see what can be done. NPS wants your project to be successful, so if changes need to be made, we will work with you to make that happen. Contact us.



Deliverables

- Article IX.B.3.iii of grant agreement lists the project deliverables.
- Due with the Final Report.
- Drafts due prior to Final
Drafts of any plans, surveys, brochures etc. must be sent prior to use or publications, for approval.

Each Tribe's deliverables are different, however, most include a detailed report describing the project and process, as well as who, what, when & where information. You should also include photos and any publications. NPS needs this information to:

1. report to Congress that these programs are important and necessary;
2. promote & educate the public who in turn request these programs to Congress. Without funding authorization each year from Congress these programs won't continue.



□ Projects

■ Construction (Development)

– Section 106 and NEPA Compliance Requirements

- Consultation process – Repair projects require NPS review of all plans and specifications of proposed work for compliance with the ***Secretary of the Interior’s Standards for the Guidelines for Archeology & Historic Preservation***, with Section 106 of the National Historic Preservation Act (NHPA), and the National Environmental Policy Act (NEPA) prior to any work commencing.
- Section 106 of the National Historic Preservation Act (NHPA) requires federal agencies to consider the effects of federal impact on historic properties. Section 106 requires that NPS, as the federal agency responsible for the funding, review all proposed work to ensure that it will have “no adverse effect” on the historic property.
- Similarly, NEPA requires that federal agencies review all federally-funded work for potential environmental adverse effects.
 - NEPA Form



Construction Cont.

- [*Secretary of Interior's Archeological Documentation Standards.*](#)
- [*Secretary of Interior's Standards for the Treatments of Historic Properties*](#)
- All Plans & Specs and repair work must meet ***The Standards*** and be submitted to NPS for review and approval prior to commencement of work.
- Project Sign



■ Survey and Inventory

- ***Secretary of the Interior's Standards for the Guidelines for Archeology & Historic Preservation***
- All surveys must be conducted, supervised, reviewed, or verified by a person(s) from the appropriate discipline who meets the [Secretary of Interior's Professional Qualification Standards](#). For example, an archeologist is needed for an archeological survey project while a traditional cultural authority, recognized by the Tribe, is needed for a survey of traditional cultural properties



■ Oral Histories

- The [Oral History Association](#) (OHA) sets professional standards for oral history practitioners in the United States. Its website has a wealth of information about conducting oral history projects. The OHA's [General Principles of Oral History and Best Practices for Oral History](#) (2009) is a description of oral history methods and what to do before, during, and after an interview.
- Work must be conducted, supervised, reviewed, or verified by a person who meets the [Secretary of Interior's Professional Qualification Standards](#)
- **All projects should have an identified audience, a clear plan for outreach and dissemination, and be related to an overall plan for how the research and documentation will be used either as part of this project or in the future.**



☐ Publications

- All drafts must be approved by NPS
- Disclaimer/Acknowledgment
(Grant agreement – Article IX.D.1.)

"This material was produced with assistance from the Historic Preservation Fund, administered by the National Park Service, Department of the Interior. Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the Department of the Interior."

- Right to republish/photos – **Provide citations and photographer**



□ Fiscal Responsibility

- Default, Reporting Issues, and Failure to Meet Objectives.
- Federal Awardee performance and Integrity Information System (FAPIS), and/or past performance on previous federal financial assistance awards.
- Future Award
- Auditing



Keep records!

It is the Tribe's responsibility to spend funding correctly.

NPS may require backup information if deemed necessary.

Can affect THPO awards as well as any other federal funding including NAGPRA and other grants outside of NPS.

NPS is now required to enter information into FAPIS – FAFADA.



References

- [Secretary of the Interior's Standards for the Treatment of Historic Properties](#)
- [Secretary of the Interior's Archeological Documentation Standards](#)
- [NPS Technical Preservation Briefs](#) – recommended methods and approaches for rehabilitating historic buildings.
- [Citizen's Guide to Section 106 review](#)
- [NEPA review process](#)
- Contact your [State Historic Preservation Office](#)
- [2 CFR 200](#), Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
- [Historic Preservation Fund \(HPF\) Manual](#)
- [Tribal Heritage Grant Web site](#)



Contacts

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