

HISTORICAL DIVISION[223]

[Prior to 5/31/89, see Historical Department[490]
created under the “umbrella” of the Department of Cultural Affairs[221] by Iowa Code section 303.1]

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TITLE I
GENERAL SOCIETY PROCEDURESCHAPTER 1
DESCRIPTION OF ORGANIZATION

[Prior to 5/31/89, see Historical Department[490] Chs 1, 2, 5, 10 and Historical Division[223] Ch 13]

223—1.1(303) Purpose. This chapter describes the purposes of the society; the service locations; internal organization; and the board of trustees of the society.

223—1.2(17A,303) Definitions. The definitions listed in Iowa Code section 17A.2 shall apply for terms as they are used in 223—Chapters 1 to 50. In addition, the following definitions apply:

“*Administrator*” means the administrator of the historical division of the department of cultural affairs.

“*Board of trustees of the society*” or “*board*” means the 12-member advisory board of the historical division of the department of cultural affairs.

“*Bureau*” means a subdivision within the historical division of the department of cultural affairs.

“*Department*” means the department of cultural affairs.

“*Director*” means the director of the department of cultural affairs.

“*Historical division*” means the division of the department of cultural affairs, also termed the “society.”

“*Society*” means the state historical society of Iowa.

“*Trustees*” means the board of trustees of the society.

223—1.3(303) Mission statement. The state historical society of Iowa has a dual mission of preservation and education. As a trustee of Iowa’s historical legacy, the state historical society of Iowa identifies, records, collects, preserves, manages, and provides access to Iowa’s historical resources. As an advocate of understanding Iowa’s past, the state historical society of Iowa educates Iowans of all ages, conducts and stimulates research, disseminates information, and encourages and supports historical preservation and education efforts of others throughout the state.

The state historical society of Iowa is the state agency created and empowered by the general assembly as the official trustee of Iowa’s human heritage. The society has the responsibility and authority to:

- Identify, record, collect, preserve, and manage the manifestations of Iowa’s history;
- Interpret and disseminate Iowa history;
- Conduct, stimulate, produce, and share scholarly research on Iowa history;
- Promote and coordinate the teaching of Iowa history;
- Advocate the preservation and stewardship of Iowa’s historical resources; and
- Enter into agreements with nonprofit corporations to undertake activities of benefit to the society.

223—1.4(303) Organization.

1.4(1) Administrator. The administrator of the society is appointed by the director of the department of cultural affairs and serves at the director’s pleasure. In accordance with Iowa Code section 303.2(2c), the administrator serves as the state historic preservation officer. The administrator selects all society personnel and manages the operation of all society programs and facilities. The administrator operates from offices located at the State Historical Building, 600 East Locust Street, Des Moines, Iowa.

1.4(2) Bureaus. The society may organize its activities into any number of bureaus.

223—1.5(303) Facilities management.**1.5(1) Locations.**

a. The society operates two major facilities: The State Historical Building, 600 East Locust Street, Des Moines, Iowa 50319, and the Centennial Building, 402 Iowa Avenue, Iowa City, Iowa 52240.

b. The society also operates eight historic sites:

- (1) Abbie Gardner Sharp Cabin, Arnolds Park, Iowa 51331;
- (2) American Gothic House, Eldon, Iowa 52554;
- (3) Blood Run National Historic Landmark, Inwood, Iowa 51240;
- (4) Matthew Edel Blacksmith Shop, Haverhill, Iowa 50120;
- (5) Montauk, Union Sunday School, and Clermont Museum, Clermont, Iowa 52135;
- (6) Plum Grove, Iowa City, Iowa 52240;
- (7) Toolesboro Mounds National Historic Landmark, Wapello, Iowa 52653; and
- (8) Western Historic Trails Center, 3434 Richard Downing Avenue, Council Bluffs, Iowa 51501.

1.5(2) Internet Web site. The society's Internet home page is located at <http://www.iowahistory.org>.

1.5(3) Hours and days of operation. Public hours and days of operation shall be posted at each society facility and on the society's Internet Web site. The hours for all facilities shall be approved by the director, or designee, upon recommendation of the administrator. Changes in the hours for a facility shall be effective upon 30 days' notice as posted.

1.5(4) Fees. Fees may be charged and collected by the society and shall be administered according to Iowa Code section 303.9. Fees may be charged for, but are not limited to: facilities rental; group tours; educational programs; speaking engagements; photocopying and document reproduction; census searches; photographic searches and reproduction; electronic distribution of materials; rights to publish; conservation and consultation services; artifact and specimen identification and reference; vital records searches and verification; reference, consultation and technical services; research and application processing; admissions; memberships; and subscriptions.

1.5(5) Facilities use. Resource protection is the underlying principle guiding the use of society facilities. This subrule sets forth conditions of public use which apply to all society facilities. Additional restrictions or exceptions pertain to specific facilities as listed in subrule 1.5(6).

a. Individuals and groups. All facilities of the society are open to individuals in accordance with the posted schedule. Groups may arrange for educational programs and group tours by contacting the society.

b. Facility rentals. Certain facilities of the society are available for rental. An individual or group renting a society facility shall be liable for all damage to the facility. The renter shall be billed for the cost of repairs, extraordinary cleaning, and, if necessary, the collection of costs related to any damage caused during rental.

c. Pets. With the exception of those assisting the hearing or visually impaired, pets shall be prohibited in society buildings. All pets on the grounds of any society facility shall be on a leash and under the direct supervision of the owner. The owner assumes all liability for pets brought onto the grounds of a society facility.

d. Smoking. Smoking shall be prohibited in all society facilities.

e. Food and drink. Consumption of food and beverages shall be prohibited in all society facilities except in specific areas designated by the director, or designee, upon recommendation of the administrator.

f. Camping. Camping shall be prohibited at all society facilities, except for special events approved by the director, or designee, upon recommendation of the administrator.

1.5(6) Use of specific facilities.

a. State Historical Building.

(1) All operations are in accordance with 11—subrule 100.4(3), Iowa Administrative Code. The society may contract with a nonprofit corporation to operate a facility rental program. Details concerning the rental program may be obtained from the facilities rental coordinator, State Historical Society of Iowa, 600 East Locust Street, Des Moines, Iowa 50319, or at <http://www.iowahistory.org>.

(2) A contract for use of any part of the state historical building shall be executed prior to the event. This contract shall identify, at a minimum, the group using the facility, purpose of the use, person or group legally responsible, all fees to be assessed, and exact date and time of the event. A contract shall be initiated with the facilities rental coordinator and shall be approved by the director or designee.

(3) Alcoholic beverages may be served at functions in the state historical building if a fully approved alcoholic beverages application is executed prior to the event. This application shall attest

that all laws of the state of Iowa and the city of Des Moines pertaining to alcoholic beverages will be obeyed and that all liability rests with the group using the facility. All alcoholic beverage service shall be provided by the licensee designated by the department of cultural affairs.

(4) Programming. Group tours of the state historical building and educational programming are available. Prior scheduling may be required for tours and programming. An inquiry about arrangements of a museum tour may be directed to the State Historical Society of Iowa, 600 East Locust Street, Des Moines, Iowa 50319.

b. Centennial Building.

(1) The society provides program services of the library and publications bureau at this location. Meeting rooms and other facilities are available for use by groups.

(2) Group tours. Educational tours of the library are available only on a prearranged basis. An inquiry about arrangements for a tour may be directed to the Bureau Chief, Centennial Building, 402 Iowa Avenue, Iowa City, Iowa 52240.

c. Abbie Gardner Sharp Cabin. This site is protected under guidelines established in the Abbie Gardner Sharp Cabin management plan in accordance with the Secretary of the Interior's Standards for Historic Preservation. A request for research use of the site shall be directed to the society. A research request shall be reviewed by the historic sites coordinator and recommended for action to the administrator within 30 days.

d. American Gothic House. This site is protected by the society in accordance with the Secretary of the Interior's Standards for Historic Preservation. Copies of the guidelines and applications for use of the site shall be available from the society.

e. Blood Run National Historic Landmark.

(1) This site is managed by the Executive Director, Lyon County Conservation Board, RR 1, Box 44, Inwood, Iowa 51240, through a cooperative agreement with the society.

(2) This site is protected under guidelines established in a law enforcement agreement between the society and the Lyon County Conservation Board and in accordance with the Secretary of the Interior's Standards for Historic Preservation.

(3) A request for research use of the site shall be directed to the society. A research request shall be reviewed by the historic sites coordinator and recommended for action to the administrator within 30 days.

f. Matthew Edel Blacksmith Shop.

(1) Site protection. The site is protected under guidelines established in cooperative agreements between the society, the Historical Society of Marshall County and the city of Haverhill in accordance with the Secretary of the Interior's Standards for Historic Preservation. A request for research use of the site shall be directed to the society. A research request shall be reviewed by the historic sites coordinator and recommended for action to the administrator within 30 days.

(2) Private use by groups. Picnicking is permitted at this site. A shelter house is available. Arrangements for use of the shelter house may be made by contacting the City Council, Haverhill, Iowa 50120.

g. Montauk, Union Sunday School, Clermont Museum.

(1) Site protection. Montauk is a state preserve. Management complies with all provisions of Iowa Code chapter 465C, 575—Chapter 2, Iowa Administrative Code, and the articles of dedication for Montauk as a state preserve. A request for research use of the site shall be directed to the society. A research request shall be reviewed by the site manager and the historic sites coordinator and recommended for action to the administrator within 30 days.

(2) Hunting shall not be permitted on this site.

(3) Group tours. Tours of Montauk, Union Sunday School, and Clermont Museum shall be available on a prearranged basis. An inquiry about arrangements for a tour may be directed to the Site Manager, Montauk, Clermont, Iowa 52135.

(4) Private use by groups. The facilities may be available on a prearranged basis for use by historical and cultural interest groups. An inquiry may be directed to the Site Manager, Montauk, Clermont, Iowa 52135.

h. Plum Grove.

(1) Site protection. The site is protected under guidelines established in a cooperative agreement between the society and the Johnson County Historical Society and in accordance with the Secretary of the Interior's Standards for Historic Preservation. A request for research use of the site shall be directed to the society. A research request shall be reviewed by the historic sites coordinator and recommended for action to the administrator within 30 days.

(2) Picnicking is permitted at the site.

(3) Group tours. Tours shall be available only on a prearranged basis. An inquiry about arrangements for a tour shall be directed to the Site Manager, Johnson County Historical Society, 310 5th Street, Coralville, Iowa 52241.

(4) Private use by groups. The facilities may be available on a prearranged basis for use by historical and cultural interest groups. An inquiry may be directed to the Site Manager, Johnson County Historical Society, 310 5th Street, Coralville, Iowa 52241.

i. Toolesboro Mounds National Historic Landmark.

(1) Site protection. Toolesboro Mounds National Historic Landmark is a state preserve. Management complies with all provisions of Iowa Code chapter 465C, 575—Chapter 2, Iowa Administrative Code, and the articles of dedication for Toolesboro Mounds National Historic Landmark as a state preserve. A request for research use of the site shall be directed to the society. A research request shall be reviewed by the historic sites coordinator and recommended for action to the administrator within 30 days.

(2) Group tours. Tours are available on a prearranged basis. An inquiry may be directed to the Louisa County Conservation Board, Box 261, 601 Highway 61 North, Wapello, Iowa 52653.

j. Western Historic Trails Center.

(1) Parking. Parking is permitted in designated areas at the site. No overnight parking shall be permitted at the site without written approval by the site manager.

(2) Group tours. Tours by groups, during normal days and hours of operation, shall be available on a prearranged basis. An inquiry about arrangements for a tour shall be directed to the Site Manager, Western Historic Trails Center, 3434 Richard Downing Avenue, Council Bluffs, Iowa 51501.

(3) Private use by groups. The facilities may be available on a prearranged basis for use by historical and cultural interest groups. An inquiry may be directed to the Site Manager, Western Historic Trails Center, 3434 Richard Downing Avenue, Council Bluffs, Iowa 51501.

(4) Admission fee. No admission fee shall be charged at the site.

223—1.6(303) Board of trustees.

1.6(1) Function. The function of the society board of trustees is to advise the administrator of the society and to stimulate interest in the history of Iowa among the general public, as well as other functions that are not contrary to the Iowa Code.

1.6(2) Composition. Two categories of membership exist for the board of trustees:

a. Elected members. In compliance with Iowa Code subsection 303.4(1), three members of the board of trustees shall be elected annually. The board of trustees shall establish written procedures for the conduct of the election. A society member may nominate a candidate by contacting the administrator. Each member of the society shall be entitled to one vote regardless of membership category. Elected board members shall serve three-year, staggered terms of office. Terms of office shall begin on May 1 consistent with Iowa Code section 69.19.

b. Appointed members. In compliance with Iowa Code subsection 303.4(1), the governor shall appoint nine members to the board. Terms of office shall be in accordance with Iowa Code subsection 303.4(2) and consistent with Iowa Code section 69.19.

1.6(3) Officers. Pursuant to Iowa Code section 303.6, the board of trustees of the society shall annually elect a chairperson and a vice chairperson from its membership. The administrator of the society serves as secretary to the board of trustees. Election of officers shall be held annually at the first meeting of the board following the installation of new members. Election is by a two-thirds vote of all board members.

1.6(4) Meetings. The board of trustees shall meet at least four times per year in accordance with a schedule established by the board. A two-thirds majority of all members of the board shall constitute a quorum to conduct business. All meetings are open to the public under Iowa Code chapter 21. Public notice of all meetings shall be posted in accordance with Iowa Code chapter 21.

1.6(5) Committees—appointment. Committees of the board of trustees may be appointed on an ad hoc basis by the chairperson of the board. Nonboard members may be appointed to committees.

1.6(6) Conflict of interest.

a. Definitions. The following definitions apply in this subrule:

“*Affinity*” means the relationship of a spouse.

“*Consanguinity of the second degree*” means a blood relationship of the second degree such as a brother/sister, grandparent, grandchild.

“*Contract*” means any claim, account, job of work, grant application, provision of materials, or manuscript submitted for remuneration.

b. A board member who has an interest, either direct or indirect, within consanguinity of the second degree, in any contract in which the society is or might become a party shall disclose the interest to the board. The interest shall be noted in the minutes of a board meeting. When the contract requires board action, the affected member shall not participate in any discussion or action by the board with respect to the contract. The affected member shall be disqualified from voting on the contract issue by reason of the conflict. The quorum of the board shall not be changed as the result of a conflict of interest disqualification.

223—1.7(303) Gifts, bequests, endowments. The society may accept private gifts, bequests, and endowments with such gifts credited to the account of the society. Accepted gifts, bequests, and endowments shall be used in accordance with the desire of the donor as expressed at the time of the donation. Undesignated funds shall be credited to the society and used for projects and activities of the society as recommended by the administrator of the society. Gifts may be deposited directly into the account of the society, or, in accordance with Iowa Code section 353.7(4), the society may enter into an agreement with a nonprofit corporation to accept and manage gifts, bequests and endowments.

223—1.8(303) Public and private grants and donations. The department, acting on behalf of the society, may apply for and receive funds from public and private sources. Receipts from these grants shall be credited to the account of the society and used in accordance with the stipulation of the grants contract. In accordance with Iowa Code section 303.7(4), the society may enter into an agreement with a nonprofit corporation to accept public and private grants and donations.

223—1.9(303) Sale of mementos. The department, acting on behalf of the society, may sell mementos or other items relating to Iowa and its history and culture at the society’s facilities.

1.9(1) Operator of gift shops. The society may enter into an agreement with a nonprofit corporation for the operation of gift shops, including facilities, merchandise, and promotion. The society shall require an accounting of all receipts and expenditures of the gift shops.

1.9(2) Income. Net proceeds from rental, lease, sale, and fees shall be deposited into the account of the society.

These rules are intended to implement Iowa Code sections 303.1A, 303.2, and 303.4 to 303.18.

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CHAPTER 2
Reserved

CHAPTER 3
PUBLIC RECORDS AND FAIR INFORMATION PRACTICES

223—3.1(17A,22) Definitions. As used in this chapter:

“*Confidential record*” in these rules means a record which is not available as a matter of right for examination and copying by members of the public under applicable provisions of the law. Confidential records include records or information contained in records that the state archives is prohibited by law from making available for examination by members of the public, and records or information contained in records that are specified as confidential by Iowa Code section 22.7 or other provision of law, but that may be disclosed upon order of a court, by the lawful custodian of the record, or by another person duly authorized to release the record. Mere inclusion in a record of information declared confidential by an applicable provision of the law does not necessarily make that entire record a confidential record.

“*Custodian*” in these rules means the state archivist of Iowa.

“*Open record*” in these rules means a record other than a confidential record.

“*Personally identifiable information*” in these rules means information about or pertaining to an individual in a record which identifies the individual and which is contained in a record system.

“*Record*” in these rules means the whole or part of a “public record,” as defined in Iowa Code section 22.1, that is in the custody of the state archivist.

“*Record system*” in these rules means any group of records under the control of the state archives from which a record may be retrieved by a personal identifier such as the name of an individual, number, symbol, or other unique retriever assigned to an individual.

“*State archives*” in these rules means the state archives of Iowa, a unit within the society.

223—3.2(17A,22) Statement of policy and scope.

3.2(1) The purpose of this chapter is to facilitate broad public access to open records. It also seeks to facilitate sound determinations by the state archives with respect to the handling of confidential records and the implementation of the fair information practices Act. The state archives is committed to the policies set forth in Iowa Code chapter 22; state archives staff shall cooperate with members of the public in implementing the provisions of that chapter.

3.2(2) Scope of chapter. The provisions of this chapter apply to records which are in the custody of the state archivist in accordance with Iowa Code Supplement section 305.9(1). Administrative materials created and held by the state archives are subject to 221—Chapter 2. This chapter shall not be construed to:

- a. Require the state archives to index or retrieve records which contain information about an individual by that person’s name or other personally identifiable information;
- b. Apply to records which are developed by the state archives or any unit of the society unless those records are housed in the state archives as records having enduring value in accordance with Iowa Code Supplement section 305.9(1); or
- c. Govern the maintenance or disclosure of, notification of or access to records in the possession of the state archives that are governed by the regulations of another agency.

223—3.3(17A,22) Request for access to records.

3.3(1) *Location of record.* A request for access to a record from the state archives shall be directed to the State Archivist, Historical Division, Department of Cultural Affairs, 600 East Locust, Des Moines, Iowa 50319. If the location of the record is not known by the requester, the request shall be directed to the State Archivist, Historical Division, Department of Cultural Affairs, 600 East Locust, Des Moines, Iowa 50319. If a request for access to a record is misdirected, state archives personnel shall promptly forward the request to the appropriate person within the state archives.

3.3(2) *Office hours.* Open records from the state archives of Iowa shall be available for inspection during posted weekday hours of the society’s public reading room in Des Moines. Records may be available for inspection in the society’s public reading room in Des Moines during posted hours on a Saturday if a request is placed by 12 noon on the preceding Friday.

3.3(3) Request for access. Requests for access to open records from the state archives may be made in writing, in person, electronically, or by telephone. Requests shall identify the particular records sought by name or description in order to facilitate location of the record. Mail, E-mail or telephone requests shall include the name, address, and telephone number of the person requesting the information. A person shall not be required to give a reason for requesting an open record from the state archives.

3.3(4) Response to requests. Access to an open record from the state archives shall be provided promptly upon request unless the size or nature of the request makes prompt access infeasible. If the size or nature of the request for access to an open record from the state archives requires time for compliance, the custodian shall comply with the request as soon as feasible. Access to an open record from the state archives may be delayed for one of the purposes authorized by Iowa Code section 22.8(4) or 22.10(4). The custodian shall promptly give notice to the requester of the reason for any delay in access to an open record and an estimate of the length of that delay and, upon request, shall promptly provide that notice to the requester in writing.

The custodian of a record may deny access to the record by members of the public only on the grounds that such a denial is warranted under Iowa Code sections 22.8(4) and 22.10(4), or that it is a confidential record, or that its disclosure is prohibited by a court order. Access by members of the public to a confidential record is limited by law and, therefore, may generally be provided only in accordance with the provisions of 223—3.4(17A,22) and other applicable provisions of the law.

3.3(5) Security of record. No person may, without permission from the custodian, search or remove any record from the state archives. Examination of agency records shall be supervised by the custodian or a designee of the custodian. The requester shall protect the records from damage and disorganization. Copying of agency records shall be performed by the custodian or a designee of the custodian.

3.3(6) Copying. A reasonable number of copies of an open record may be made by the state archives for the requester unless reproduction is inappropriate due to the physical condition of the record or other physical considerations. The custodian shall assess the physical condition of the record and any relevant legal considerations to determine whether or not it can be photocopied. If the physical condition of the record makes reproduction by photocopy inappropriate, alternative methods of reproduction shall be proposed. If photocopy equipment is not available in the state archives where an open record is kept, the custodian shall arrange to have copies promptly made elsewhere.

3.3(7) Fees.

a. When charged. The state archives may charge fees in connection with the examination or copying of records from the state archives only if the fees are authorized by law. To the extent permitted by applicable provisions of the law, the payment of fees may be waived when the imposition of fees is inequitable or when a waiver is in the public interest.

b. Copying and postage costs. Price schedules for published materials and for photocopies of records supplied by the state archives shall be prominently posted in the society's public reading rooms. Copies of records may be made by the state archives for members of the public on society photocopy machines or from electronic storage systems at cost as determined and posted in the society's public reading rooms by the custodian. When the mailing of copies of records from the state archives is requested, the costs of such mailing may also be charged to the requester.

c. Supervisory fee. An hourly fee may be charged for state archives expenses in retrieving and preparing records for examination, supervising the examination, and preparing copies of requested records when the time required is in excess of one-half hour. The custodian shall prominently post in the society's public reading rooms the hourly fees to be charged for supervision of records during examination and for copying. The hourly fee for retrieval and preparation of records for examination shall not be in excess of the hourly wage of the employee who performs this function.

d. Advance deposits.

(1) When the estimated total fee chargeable under this subrule exceeds \$25, the custodian may require a requester to make an advance payment to cover all or a part of the estimated fee.

(2) When a requester has previously failed to pay a fee chargeable under this subrule, the custodian may require advance payment of the full amount of any estimated fee before the custodian processes a new request for that requester.

223—3.4(17A,22) Access to confidential records. Under Iowa Code section 22.7 or other applicable provisions of law, the lawful custodian may disclose certain confidential records to one or more members of the public. Other provisions of law authorize or require the custodian to release specified confidential records under certain circumstances or to particular persons. In requesting the custodian to permit the examination and copying of such a confidential record, the following procedures apply and are in addition to those specified for requests for access to records in rule 223—3.3(17A,22).

3.4(1) Proof of identity. A person requesting access to a confidential record may be required to provide proof of identity or authority to secure access to the record.

3.4(2) Requests. The custodian may require a request to examine and copy a confidential record to be in writing. A person requesting access to such a record may be required to sign a certified statement or affidavit enumerating the specific reasons justifying access to the confidential record and to provide any proof necessary to establish relevant facts. A person requesting access to a confidential record may be required to sign a nondisclosure agreement to provide assurance that confidential information in a requested record will not be disclosed.

3.4(3) Notice to subject of record and opportunity to obtain injunction. After the custodian receives a request for access to a confidential record, and before the custodian releases such a record, the custodian may make reasonable efforts to notify promptly any person who is a subject of that record, is identified in that record, and whose address or telephone number is contained in that record. To the extent such a delay is practicable and in the public interest, the custodian may give the subject of such a confidential record to whom notification is transmitted a reasonable opportunity to seek an injunction under Iowa Code section 22.8, and indicate to the subject of the record the specific period of time during which disclosure will be delayed for that purpose.

3.4(4) Request denied. When the custodian denies a request for access to a confidential record, the custodian shall promptly notify the requester. If the requester indicates to the custodian that a written notification of the denial is desired, the custodian shall promptly provide such a notification that is signed by the custodian and includes:

- a. The name and title or position of the custodian responsible for the denial; and
- b. A citation to the provision of law vesting authority in the custodian to deny disclosure of the record and a brief statement of the reasons for denial to this requester.

3.4(5) Request granted. When the custodian grants a request for access to a confidential record to a particular person, the custodian shall notify that person and indicate any lawful restrictions imposed by the custodian on that person's examination and copying of the record.

223—3.5(17A,22) Requests for treatment of a record as a confidential record and its withholding from examination. The custodian may treat a record in the state archives as a confidential record and withhold it from examination only to the extent that the custodian is authorized by Iowa Code section 22.7, another applicable provision of law, or a court order, to refuse to disclose that record to members of the public. A record that is confidential in the agency of origin retains its confidential status when transferred to the custody of the state archivist.

3.5(1) Persons who may request. Any person who would be aggrieved or adversely affected by disclosure of a record and who asserts that Iowa Code section 22.7, another applicable provision of law, or a court order, authorizes the custodian to treat the record as a confidential record, may request the custodian to treat that record as a confidential record and to withhold it from public inspection.

3.5(2) Request. A request that a record be treated as a confidential record and be withheld from public inspection shall be in writing and shall be filed with the custodian. The request must set forth the legal and factual basis justifying such confidential record treatment for that record, and the name, address, and telephone number of the person authorized to respond to any inquiry or action of the custodian concerning the request. A person requesting treatment of a record as a confidential record may also be required to sign a certified statement or affidavit enumerating the specific reasons justifying the treatment of that record as a confidential record and to provide any proof necessary to establish relevant facts. Requests for treatment of a record as such a confidential record for a limited time period shall also specify the precise period of time for which that treatment is requested.

A person filing such a request shall, if possible, accompany the request with a copy of the record in question from which those portions for which such confidential record treatment has been requested have been deleted. If the original record is being submitted to the state archives by the person requesting such confidential treatment at the time the request is filed, the person shall indicate conspicuously on the original record that all or portions of it are confidential.

3.5(3) *Failure to request.* Failure of a person to request confidential record treatment for a record does not preclude the custodian from treating it as a confidential record. However, if a person who has submitted business information to the state archives does not request that it be withheld from public inspection under Iowa Code sections 22.7(3) and 22.7(6), the custodian of records containing that information may proceed as if that person has no objection to its disclosure to members of the public.

3.5(4) *Timing of the decision.* A decision by the custodian with respect to the disclosure of a record to members of the public may be made when a request for its treatment as a confidential record that is not available for public inspection is filed, or when the custodian receives a request for access to the record by a member of the public.

3.5(5) *Request granted or deferred.* If a request for such confidential record treatment is granted, or if action on such a request is deferred, a copy of the record from which the matter in question has been deleted and a copy of the decision to grant the request or to defer action upon the request will be made available for public inspection in lieu of the original record. If the custodian subsequently receives a request for access to the original record, the custodian will make reasonable and timely efforts to notify any person who has filed a request for its treatment as a confidential record that is not available for public inspection of the pendency of that subsequent request.

3.5(6) *Request denied and opportunity to seek injunction.* If a request that a record be treated as a confidential record and be withheld from public inspection is denied, the custodian shall notify the requester in writing of that determination and the reasons therefor. On application by the requester, the custodian may engage in a good faith, reasonable delay in allowing examination of the record so that the requester may seek injunctive relief under the provisions of Iowa Code section 22.8, or other applicable provision of law. However, such a record shall not be withheld from public inspection for any period of time if the custodian determines that the requester had no reasonable grounds to justify the treatment of that record as a confidential record. The custodian shall notify requester in writing of the time period allowed to seek injunctive relief or the reasons for determination that no reasonable grounds exist to justify the treatment of that record as a confidential record. The custodian may extend the period of good faith, reasonable delay in allowing examination of the record so that the requester may seek injunctive relief only if no request for examination of that record has been received, or if a court directs the custodian to treat it as a confidential record, or to the extent permitted by another applicable provision of law, or with the consent of the person requesting access.

223—3.6(17A,22) Procedure by which additions, dissents, or objections may be entered into certain records. Except as otherwise provided by law, a person may file a request with the custodian to review, and to have a written statement of additions, dissents, or objections entered into, a record containing personally identifiable information pertaining to that person. However, this does not authorize a person who is the subject of such a record to alter the original copy of that record or to expand the official record of any agency proceeding. The requester shall send the request to review such a record or the written statement of additions, dissents, or objections to the State Archivist, Historical Division, Department of Cultural Affairs, Des Moines, Iowa 50319. The request to review such a record or the written statement of such a record of additions, dissents, or objections must be dated and signed by the requester and shall include the current address and telephone number of the requester or the requester's representative.

223—3.7(17A,22) Consent to disclosure by the subject of a confidential record. To the extent permitted by any applicable provision of law, a person who is the subject of a confidential record may have a copy of the portion of that record concerning the subject disclosed to a third party. A request for such a disclosure must be in writing and must identify the particular record or records that may be disclosed, and the particular person or class of persons to whom the record may be disclosed (and,

where applicable, the time period during which the record may be disclosed). The person who is the subject of the record and, where applicable, the person to whom the record is to be disclosed, may be required to provide proof of identity. (Additional requirements may be necessary for special classes of records.) Appearance of counsel before the state archives on behalf of a person who is the subject of a confidential record is deemed to constitute consent for the state archives to disclose records about that person to the person's attorney.

223—3.8(17A,22) Notice to suppliers of information. When the state archives assumes custody of records from a state agency, the state archives assumes the state agency seeking to transfer custody of said records has provided appropriate notice to suppliers of information.

223—3.9(17A,22) Availability of records.

3.9(1) General records. Records in the state archives are open for public inspection unless otherwise provided by rule or law as designated by the transferring agency. Records in the state archives are open for copying unless, in the opinion of the custodian, reproduction by photocopying would adversely affect the physical condition of the records or there are legal considerations that prohibit copying.

3.9(2) Confidential records. The state archives has custody of records which other state agencies have created. An agency which creates records shall identify which records are confidential when transferring those records to the state archives. Any confidential record in an agency shall retain its confidential record status after its transfer to the state archives.

223—3.10(17A,22) Determination of rights of access to records.

3.10(1) Determination of rights of access to records which have exceeded their period of administrative value as determined by the state records commission and are in the custody of the state archivist shall be governed by this chapter. Determination of rights of access to records for which the period of administrative value has not been determined by the state records commission but which are 30 years of age or older and are in the custody of the state archivist shall be governed by this chapter.

3.10(2) Determination of rights of access to records which have not exceeded their period of administrative value as determined by the state records commission, but are in the possession of the state archivist, shall be governed by the regulations of the agency which developed the records. Determination of rights of access to records for which the period of administrative value has not been determined by the state records commission, but which do not exceed 30 years of age, shall be governed by the regulations of the agency which developed the records.

223—3.11(17A,22) Consensual disclosure of confidential records. Rescinded IAB 1/5/05, effective 2/9/05.

223—3.12(17A,22) Release to the subject. Rescinded IAB 1/5/05, effective 2/9/05.

223—3.13 Reserved.

223—3.14(17A,22) Personally identifiable information. Rescinded IAB 1/5/05, effective 2/9/05.

223—3.15(17A,22) Other records. Rescinded IAB 1/5/05, effective 2/9/05.

223—3.16(17A,22) Data processing systems. Rescinded IAB 1/5/05, effective 2/9/05.

These rules are intended to implement Iowa Code sections 22.11 and 303.12 to 303.15.

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CHAPTER 4
AGENCY PROCEDURE FOR RULE MAKING

The society adopts the agency procedure for rule making segments of the Uniform Administrative Rules which are printed in the first volume of the Iowa Administrative Code with the following amendments:

223—4.4(17A) Notice of proposed rule making.

4.4(3) Notices mailed. In lieu of the words “specify time period” insert “one year”.

223—4.5(17A) Public participation.

4.5(1) Written comments. In lieu of the words “identify office and address” insert “Administrator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8837”.

4.5(4) Additional information. Add the following sentence at the end of the subrule: The society may send notices of proposed rule making and a request for comments to an agency, organization, association, or individual known to have a direct interest or expertise pertaining to the proposed rule.

223—4.6(17A) Regulatory flexibility analysis.

4.6(3) Mailing list. In lieu of the words “designate office” insert “Administrator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8837”.

223—4.10(17A) Exemptions from public rule-making procedures.

4.10(2) Categories exempt. Insert the following sentence for the parenthetical sentences:

These rules shall be those that are mandated by federal law or regulations; where the department has no option but to adopt the rules as specified; where federal funding is contingent upon the adoption of the rules, and the rules are promulgated in accordance with the National Historic Preservation Act of 1966; Federal Regulations 36 CFR Part 61, April 13, 1984, and August 30, 1985; 36 CFR Part 63, September 21, 1977; 36 CFR Part 60, November 16, 1981, and October 2, 1983; 36 CFR Part 67, March 12, 1984; 36 CFR Part 800, September 21, 1986; 26 CFR Parts 1, 20, 25, and 602, October 11, 1988.

Notice and public participation would be unnecessary since the provisions of the law or regulation must be adopted in order to maintain federal funding and the department would have no option in the rule which was adopted.

223—4.11(17A) Concise statement of reasons.

4.11(1) General. In lieu of the words “specify the office and address” insert “Administrator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8837”.

223—4.13(17A) Agency rule-making record.

4.13(2) Contents. In lieu of the words “agency head” insert “administrator”.

These rules are intended to implement Iowa Code section 17A.4(1) “b.”

[Filed 5/12/89, Notice 4/5/89—published 5/31/89, effective 7/5/89]

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CHAPTER 5
PETITIONS FOR RULE MAKING

The society adopts the petitions for rule making segments of the Uniform Administrative Rules which are printed in the first volume of the Iowa Administrative Code with the following amendments.

223—5.1(17A) Petition for rule making. In lieu of the words “designate office” insert “Administrator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8837”.

In lieu of the words “AGENCY NAME”, the heading on the petition shall read:

BEFORE THE STATE HISTORICAL SOCIETY OF IOWA

223—5.3(17A) Inquiries. Inquiries concerning the status of a petition for rule making may be made to the Administrator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8837.

These rules are intended to implement Iowa Code section 17A.7.

[Filed 6/22/77, Notice 5/18/77—published 7/13/77, effective 8/18/77]

[Filed 4/13/78, Notice 3/8/78—published 5/3/78, effective 6/12/78]

[Filed 5/12/89, Notice 4/5/89—published 5/31/89, effective 7/5/89]

CHAPTER 6
DECLARATORY RULINGS

The society adopts the declaratory rulings segments of the Uniform Administrative Rules which are printed in the first volume of the Iowa Administrative Code with the following amendments.

223—6.1(17A) Petition for declaratory ruling. In lieu of the words “designate office” insert “Administrator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8837”.

In lieu of the words, “AGENCY NAME”, the heading on the petition shall read:

BEFORE THE STATE HISTORICAL SOCIETY OF IOWA

223—6.3(17A) Inquiries. Inquiries concerning the status of a petition for a declaratory ruling may be made to the Administrator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8837.

These rules are intended to implement Iowa Code section 17A.9.

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CHAPTERS 7 to 9
Reserved

TITLE II
Reserved

CHAPTERS 10 to 12
Reserved

TITLE III
HISTORICAL SOCIETY—
GENERAL POLICIES

CHAPTER 13
COLLECTIONS POLICIES

[Prior to 5/31/89, see [490] 1.8, Ch 5 and [223] 14.1]

223—13.1(303) Purpose. The society strives to acquire materials on, by, about, of, or representative of Iowa, Iowans, and activities of Iowans. This includes, but is not limited to printed materials, archives, manuscripts, photographs, machine readable data, artifacts, specimens, and works of art.

223—13.2(303) Definitions. The definitions listed in Iowa Code section 17A.2 and rules 223—1.2(303) and 22.2(303) shall apply for terms as they are used throughout this chapter. In addition, the following definitions apply:

“*Accession*” means the act of recording or processing an addition to the collections of the society.

“*Acquisition*” means the act of obtaining legal title to an object or document.

“*Artifact*” means a man-made object.

“*Collection*” means an orderly assemblage of man-made or natural objects.

“*Deaccession*” means the act of removing an object from the collections permanently.

“*Loan*” means the act of temporarily transferring custody of an object.

“*Specimen*” means a natural object.

223—13.3(303) Location. Collections of the society are maintained at all facilities operated by the society. Information concerning collections may be obtained by contacting the appropriate staff at the facilities noted in 223—subrule 1.5(1).

223—13.4(303) Management of collections.

13.4(1) Areas of responsibility. All bureaus may have responsibility for collections care and management and will cooperate with each other on behalf of the collections.

13.4(2) Collections committee.

a. Responsibilities. The collections committee shall act to:

(1) Develop and annually review a collecting plan, from staff recommendations, which shall identify primary areas for active solicitation of additional collections;

(2) Establish general parameters, from bureau recommendations, for collecting, within which materials may be collected without further referral to the collections committee;

(3) Review and act on requests from all bureaus concerning potential acquisitions which might involve materials whose care would involve more than one bureau;

(4) Review and act on requests from all bureaus concerning potential major acquisitions that might involve a significant investment of staff time, storage space, or financial resources;

(5) Review and act on requests for restrictions on donations;

(6) Review and act on questions concerning the collections referred to the committee by any member of the staff with the knowledge of the staff person’s supervisor;

(7) Approve loans requiring extraordinary indemnification;

(8) Approve extraordinary collection access requests;

(9) Approve methods for the disposition of materials anonymously left to the society; and

(10) Approve all loans from the collections to government offices except for routine record requests from state government agencies.

b. The actions of the committee shall become effective within ten working days after the minutes of the committee meeting are received by the administrator, unless an action of the committee is specifically reversed by the administrator in writing to the chair of the committee. The committee may request an earlier decision by the administrator if the nature of the recommended action requires it.

c. The committee shall recommend actions to the administrator of the society for approval and referral to the board of trustees of the society concerning materials to be deaccessioned from the collections.

d. Composition. The committee shall consist of seven members. The members shall include the following:

- (1) Archivist from the staff of the society, appointed by the division administrator;
- (2) Museum curator from the staff of the society, appointed by the division administrator;
- (3) Librarian from the staff of the society, appointed by the division administrator;
- (4) Community programs staff representative from the staff of the society, appointed by the division administrator;
- (5) Member of the board of trustees, appointed by the president of the board of trustees;
- (6) Member representing the public appointed by the president of the board of trustees; and
- (7) One member from the staff, appointed by the administrator of the society. The administrator of the society is an ex officio, nonvoting member of the committee.

e. Organization of the committee.

(1) Members of the committee shall be appointed for two-year staggered terms which coincide with the state fiscal year.

(2) The committee chair shall be appointed by the administrator of the society from among the committee members who are staff members of the society.

(3) The committee shall meet on a quarterly basis. The meetings shall be called by the chair. Additional meetings may be called by the petition of any three voting members of the committee.

223—13.5(303) Acquisition.

13.5(1) General policy. The following general policies apply to all areas of the collections. More specific policies for the state archives are noted in subrule 13.5(2).

a. The society may acquire materials by gift, bequest, transfer, or purchase.

b. The staff of the society shall evaluate potential acquisitions for their relevance to the collections, research, exhibit, educational, intrinsic, historical, or scientific importance, physical condition, relationship to the annual collecting priorities established by the collections committee, and impact upon the operations of the society.

c. Title to all donations shall be outright. Certain restrictions on access may be considered by the collections committee. The society shall make no commitments as to the exhibition, attribution, or use of the gift.

d. A deed of gift documenting the legal transfer of the gift to the society and the acceptance of that gift shall be signed by the legal owner or the owner's authorized agent and the appropriate authorized agent of the society.

e. Materials left anonymously in the custody of the society shall be evaluated for possible accession into the collections.

If the materials are to be accessioned into the collections, the materials shall be documented by the appropriate authorized agent of the society. The documentation shall describe the circumstances pertaining to the acquisition.

If the materials are not to be accessioned into the collections, disposition of the materials shall be determined by the collections committee upon the recommendation of the appropriate bureau.

f. Bequests of which the society has not been apprised shall be considered as unsolicited materials and evaluated in the same manner as any other unsolicited gift.

g. Title to undocumented collections in the possession of the society or unclaimed loans in the possession of the society shall be handled in accordance with Iowa Code chapter 305B.

h. The staff of the society shall not appraise collections for financial value. The society shall not pay for nor reimburse a donor for such appraisal costs.

13.5(2) State archives. Records of state agencies shall be transferred to the state archives of the society, in accordance with the rules and procedures established by the state records commission as stated in the Records Management Manual and in accordance with Iowa Code chapter 304.

223—13.6(303) Deaccession.

13.6(1) Purpose. Deaccession of materials shall be undertaken only as a means of strengthening and benefiting the collections of the society. Deaccession shall not be used to generate operating funds for the society.

13.6(2) Ethics.

a. Deaccession of materials shall be undertaken in an open, public manner conforming to all appropriate ethics statements of the appropriate professional organizations. The society and its employees shall conform to all appropriate professional ethics statements.

b. In no circumstance shall the ownership of deaccessioned materials be transferred to or benefit any trustee, employee, spouse or immediate family member of an employee of the society.

13.6(3) Criteria. Individual objects or documents or groups of objects or documents may be deaccessioned from the collections of the society if they:

a. Are no longer deemed relevant and appropriate for the collections; or

b. Have deteriorated beyond repair and usefulness; or

c. Pose danger to other parts of the collections.

13.6(4) Procedure.

a. The appropriate bureau chief shall recommend, with written justification, to the collections committee the materials to be deaccessioned. The collections committee shall evaluate the recommendation at its next meeting and, if the committee approves the recommendation, forward the recommendation with all appropriate documentation and comments to the administrator of the society.

b. The administrator of the society shall approve or disapprove all recommendations for deaccession of materials by the collections committee and shall forward all approved recommendations with comments to the board of trustees.

c. The board of trustees shall review all recommendations for deaccession at the next meeting. No materials shall be deaccessioned without the approval of the board of trustees.

d. The method for disposition of the deaccessioned materials shall be recommended by the bureau chief and approved by the collections committee, administrator of the society, and the board of trustees. The methods for disposition of the deaccessioned materials include, but are not limited to, the following methods:

(1) Exchange with other educational institutions to strengthen the collections of the society;

(2) Donation to another educational institution which may make the materials generally accessible to the public;

(3) Sale at public auction or other appropriate means; or

(4) Destruction.

e. A complete written record of deaccession recommendations, justifications, decisions, and methods used for removal of the materials shall be maintained as a permanent record of the society.

13.6(5) Limitations.

a. Revenue received from disposition of any collection shall be retained in a separate revenue account. This revenue shall be used solely to maintain, conserve, preserve, and strengthen the collections of the society.

b. Prior to consideration of the deaccession of undocumented materials or unclaimed loans, the title shall be cleared in accordance with Iowa Code chapter 305B.

c. Collections which are donated to and accessioned by the society shall not be deaccessioned for a period of two years after accessioning into the collections.

223—13.7(303) Documentation and care.**13.7(1) Records.**

a. Permanent collection records shall be maintained to document the acquisition, accession, deaccession, care, conservation, interpretation, location, and exhibition of all collections.

b. All collections documentation shall be maintained in accordance with Iowa Code chapter 305B.

c. Collections records shall be protected, insofar as possible, from destruction by creating duplicate files to be stored in an off-site location.

13.7(2) The society shall apply professionally accepted methods of storage, treatment, care, conservation, preservation, research, and exhibition. The society shall make every effort to ensure adequate preservation through obtaining of adequate preservation funds.

13.7(3) Inventories, catalogs, and other finding aids shall be made available to the public as staff availability and society funds are obtained.

223—13.8(303) Lending.

13.8(1) General policy. The following general policies apply to all areas of the collections.

a. The society encourages maximum public access to its collections by making loans which are consistent with the long-term conservation and preservation of the collections and with the needs of the society for exhibit and research purposes.

b. Loans from the collections shall be made for educational and scholarly purposes consistent with the mission of the society.

c. Collections shall not be loaned to individuals except for natural history specimens lacking provenance which may be loaned to individuals for educational purposes with the approval of the curator of natural history and the bureau chief of the museum. All applications for use of natural history specimens may be directed to the Curator of Natural History, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-5627.

d. All loans shall be for a specified period of time and shall be documented and monitored by the appropriate staff person approving the loan.

13.8(2) Specific policies.

a. Interlibrary loans shall provide access to the collections through cooperating libraries.

b. Requests for interlibrary loan shall be submitted on the standard American Library Association Interlibrary Loan Form and in accordance with the American Library Association's Interlibrary Loan Code. The requests shall be honored unless the loan is inappropriate due to legal or curatorial considerations or the materials can be readily obtained elsewhere. Requests for interlibrary loan shall be directed to the Reference Librarian, State Historical Society of Iowa, Centennial Building, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916 or Reference Librarian, Library and Archives, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-6200.

c. Original manuscripts, maps, photographs, state archives records and rare books shall not be loaned for research purposes.

d. The society shall make every effort consistent with professional standards and ethics and within their financial resources to provide a microform or other copy of rare, unique, and heavily used library and archives materials for loan purposes.

e. The loan of artifacts from the museum collections shall be approved and managed by the museum. All applications shall be in writing and include a current facilities report from the borrowing institution. Applications for loan and questions may be directed to the Chief Curator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-5111.

f. Only those artifacts in stable, presentable condition shall be considered for loan unless conservation treatment for the object is a condition of the loan agreement.

g. All artifact loans shall be approved by the appropriate curator, chief curator, conservator, and the bureau chief.

h. The loan of artifacts to the society shall be accepted and managed by the museum. All questions related to loans may be directed to the Chief Curator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-5111.

i. Loans shall be accepted only to meet the society's objectives for exhibition or research. The society shall not provide free storage, conservation treatment, or validate private collections.

j. All loans to the society shall receive the highest standard of professional care.

k. Unclaimed loans left in the care of the society shall be handled in accordance with Iowa Code chapter 305B.

223—13.9(303) Access and disclosure. The collections of the society shall be available for public study in accordance with 223—22.2(303).

These rules are intended to implement Iowa Code sections 303.1A, 303.2 and 303.4 to 303.18.

[Filed 7/2/75]

[Filed 7/15/75]

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CHAPTER 14
EXHIBITIONS POLICIES

223—14.1(303) Purpose. Exhibitions are created by the museum for the purpose of promoting an understanding and appreciation of Iowa history through exhibition of the material manifestations of that history. In fulfilling this purpose the museum is cognizant of its equally significant role in the collection and preservation of the state's material culture.

223—14.2(303) Location. Several forms of exhibitions are created by the museum. These exhibitions are:

14.2(1) *Permanent.* These exhibitions are located at the Museum, State Historical Building, Capitol Complex, Des Moines, Iowa 50319, (515)281-5111 and at the historic sites operated by the society.

14.2(2) *Temporary.* These exhibitions are located at the Museum, State Historical Building, Capitol Complex, Des Moines, Iowa 50319, (515)281-5111 and at the historic sites operated by the society. Temporary exhibitions are displayed in the museum for a limited period of time.

14.2(3) *Traveling.* Reserved.

223—14.3(303) Collections principles and practices.

14.3(1) Original artifacts, specimens, documents, and images shall be the focus of and utilized in all exhibitions, unless they cannot be provided adequate preservation and protection while on exhibit.

14.3(2) Reproductions or models shall be used only as props or as required for the preservation of original materials. The incorporation of reproductions as the focus or subject of an exhibition shall be justified only by the lack of representative artifacts, extreme security or preservation requirements, or the overwhelming significance of the subject matter to Iowa history.

14.3(3) Reproductions and models shall be clearly identified as such, when necessary to distinguish them from historical collections. If reproductions are used as exhibit props or graphic tools and are not the focus of the exhibition, they need not be specifically identified as reproductions.

223—14.4(303) Conservation principles and practices.

14.4(1) All exhibitions shall be designed to meet the conservation needs of the artifacts, images, and documents that are used.

14.4(2) If an artifact, image, or document cannot be exhibited without threatening the preservation of the item, it shall not be exhibited, and a reproduction shall be used.

14.4(3) The exhibition environment shall be monitored on a regular basis to ensure maintenance of optimum environmental conditions for the items on exhibit.

223—14.5(303) Education principles and practices.

14.5(1) All exhibitions shall incorporate the highest standards of scholarship.

14.5(2) Exhibit design shall employ learning theory and shall be designed for the appropriate cognitive and age developmental levels of the audiences.

14.5(3) Exhibits shall minimize enclosed casework and barriers between visitors and the artifacts consistent with artifact security and preservation requirements.

14.5(4) Items shall be displayed within appropriate interpretative frameworks.

14.5(5) Written text shall support the exhibition of original artifacts, specimens, images, and documents, but shall not be the focus of the exhibit. If extensive labeling is required, presentation in a format other than a museum exhibition shall be used.

14.5(6) Exhibition design shall incorporate appropriate current design concepts, fabrication techniques, and technologies. Experimental design shall be used as appropriate.

14.5(7) Interactive components shall be incorporated in all exhibitions and shall not be confined to a single designated area. No interactive components shall violate the integrity, preservation, or security requirements of the artifacts.

14.5(8) Any individual or group from the general public, local groups organized for historical or cultural purpose, or the staff of the society may propose an exhibition. All proposals may be directed

to the Bureau Chief, Museum, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-5111. Final selection of exhibition topics, artifacts, and form of presentation rests with the chief of the museum and the administrator of the society.

14.5(9) Exhibitions shall be developed by teams that include appropriate representatives of the museum, other bureaus of the society, the scholarly community, and the general public.

14.5(10) Whenever possible exhibitions shall be pretested with a representative sample of the intended audience. Exhibition design, fabrication, and installation shall be adjusted appropriately to reflect the results of the testing.

14.5(11) The museum shall maintain an ongoing evaluation program and incorporate the results in future exhibition design.

14.5(12) Exhibitions shall be designed so as to make guided tours unnecessary for understanding the exhibition.

14.5(13) Exhibitions shall create and maintain environments conducive to learning. This includes adequate lighting for comfort and safety; space for group tours and individuals simultaneously; seating and appropriate spaces to relieve visitor fatigue; and clear traffic flow patterns.

14.5(14) Exhibition techniques shall not intentionally misrepresent the facts or the authenticity of the collections.

14.5(15) The exhibitions shall accurately reflect the social and cultural diversity and heritage of the state.

14.5(16) Exhibitions shall consider visitor safety. Design and fabrication shall adhere to all safety and health codes. Potential use and misuse by the public shall be considered.

223—14.6(303) Professional museum principles and practices. The staff of the museum shall actively seek and freely share scholarly knowledge, technical expertise, and exhibition content with other museums.

These rules are intended to implement Iowa Code section 303.2 and Iowa Code chapter 303, subchapter II.

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CHAPTER 15
PUBLICATION POLICIES AND SERVICES

[Prior to 5/31/89, see [490] Ch 5]

223—15.1(303) Purpose. The society publishes periodicals and books to disseminate material of general interest and scholarly studies about Iowa history to the citizens of Iowa.

223—15.2(303) Iowa Heritage Illustrated.

15.2(1) Content. The Iowa Heritage Illustrated is a popular history magazine published quarterly to inform Iowans about the history of the state.

15.2(2) Submissions. Historical studies which may be of interest to a general audience may be submitted to the Editor, Iowa Heritage Illustrated, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916. Questions concerning possible submissions and the technical requirements for submission may be directed to the same address.

15.2(3) Manuscript evaluation. Manuscripts are evaluated on the basis of originality and significance to Iowa history as well as the quality of the research and writing. Final responsibility for manuscript acceptance and modification shall rest with the editor. Questions concerning manuscript review may be directed to the Editor, Iowa Heritage Illustrated, 402 Iowa Avenue, Iowa City, Iowa, 52240, (319)335-3916.

15.2(4) Subscriptions. The Iowa Heritage Illustrated is available as a benefit of membership in the society. Subscription rates are established in accordance with subrule 1.5(3). Subscription inquiries may be directed to Publication Sales, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916.

223—15.3(303) Annals of Iowa.

15.3(1) Content. The Annals of Iowa is a scholarly journal published quarterly to disseminate original research and scholarly analysis concerning Iowa history.

15.3(2) Submissions. Annotated articles incorporating the use of primary materials may be submitted to the Editor, Annals of Iowa, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916. Questions concerning possible submissions and the technical requirements for submission may be directed to the same address.

15.3(3) Manuscript evaluation. Manuscripts are evaluated on the basis of contribution to knowledge, strength of the argument, and clarity of writing. Extramural readers may be used in the review process. Final responsibility for manuscript acceptance and modification shall rest with the editor. Questions concerning manuscript review may be directed to the Editor, Annals of Iowa, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916.

15.3(4) Subscriptions. The Annals of Iowa is available by subscription. Subscription rates are established in accordance with subrule 1.5(3). Subscription inquiries may be directed to Publication Sales, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916.

223—15.4(303) Goldfinch.

15.4(1) Content. The Goldfinch is a children's history magazine produced to inform children in the fourth through the seventh grades of their Iowa heritage. It is published four times each year between September and May.

15.4(2) Submissions. The Goldfinch is produced by the staff of the society. Submissions of poetry, stories, and artwork by students in grades four through seven are occasionally published. Submissions may be directed to the Editor, Goldfinch, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916. Questions concerning submissions may be directed to the same address.

15.4(3) Material evaluation. Materials submitted are evaluated on the basis of the reproduction quality and space availability. Final responsibility for the acceptance and modification of materials shall rest with the editor. Questions concerning evaluation of materials may be directed to the Editor, Goldfinch, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916.

15.4(4) Subscriptions. The Goldfinch is available by direct subscription. Subscription rates are established in accordance with subrule 1.5(3). Subscription inquiries may be directed to Publication Sales, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916.

223—15.5(303) Iowa Historian.

15.5(1) Content. The Iowa Historian is the bimonthly newsletter of the society. In addition to informing members of activities of the society, the Iowa Historian prints informative articles concerning the preservation and dissemination of Iowa history.

15.5(2) Submissions. News items and suggestions for informative articles may be submitted to the Editor, Iowa Historian, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916. Questions concerning possible submissions and the technical requirements for submission may be directed to the same address.

15.5(3) Materials evaluation. Materials submitted are evaluated on the basis of interest to the membership and space availability. Final responsibility for acceptance and modification shall rest with the editor. Questions concerning the acceptance of materials may be directed to Editor, Iowa Historian, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916.

15.5(4) Subscriptions. The Iowa Historian is available as a benefit of membership in the society. Subscription rates are established in accordance with subrule 1.5(3). Subscription inquiries may be directed to Publication Sales, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916.

223—15.6(303) Books and monographs. The society occasionally publishes books and monographs of outstanding merit. The acceptance of manuscripts for publication depends upon the availability of funding and the quality of the manuscript. Inquiries concerning the publication of a book or monograph may be directed to Book Editor, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916.

223—15.7(303) Back issues and reprints.

15.7(1) Back issues. Copies of most issues of periodicals and many books previously published may be available. Inquiries may be directed to Publication Sales, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916.

15.7(2) Reprints. All materials published by the society are copyrighted in the name of the society. Inquiries concerning reprint permission may be directed to Book Editor, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916.

These rules are intended to implement Iowa Code section 303.2 and Iowa Code chapter 303, subchapter II.

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CHAPTERS 16 to 20
Reserved

TITLE IV
PUBLIC ACCESS PROCEDURES
CHAPTER 21
MEMBERSHIP IN THE SOCIETY
[Prior to 5/31/89, see [490] Ch 5 and [223] Ch 13]

223—21.1(303) Function. The society operates a membership organization for the purpose of encouraging the study of Iowa history. Membership is open to all individuals and groups according to the policies and fee schedule established by the society. Life memberships are not available. Existing life members shall be serviced as provided in the original membership agreement.

223—21.2(303) Fees. Fees are charged for benefits and services provided to members. The membership program is administered by the Historical Division of the Department of Cultural Affairs, 600 East Locust Street, Des Moines, Iowa 50319, telephone (515)281-8741.

223—21.3(303) Awards.

21.3(1) Purpose. The society shall make annual awards to individuals, groups, or organizations for the purposes of encouraging and rewarding contributions to the field of Iowa history; establishing an image of tradition and continuity; creating greater public and academic visibility for the society; and promoting high-quality rehabilitation of historic buildings.

21.3(2) Award programs. Awards shall be made in four programs.

a. William J. Petersen/Edgar Harlan Award. This award recognizes an individual, group, or organization that has made significant long-term or continuing contributions to Iowa history. No more than one award shall be given annually.

b. Loren Horton Community History Award. This award recognizes an individual, group, or organization that has made a significant contribution to local history through a local history project during the previous calendar year. No more than one award shall be given annually. One certificate of recognition may be awarded in each of the following categories each year:

- (1) Program or event;
- (2) Volunteers;
- (3) Project in museum, library, archives, historic preservation, or education;
- (4) Research or publications;
- (5) Youth.

c. Mildred Throne/Charles Aldrich Award. This award recognizes the author of the most significant article on Iowa history in a professional history journal during the previous calendar year. The board may give one award annually. Up to two certificates of recognition may be also awarded.

d. George Mills/Louise Noun Award. This award recognizes the author of the most significant illustrated article on an Iowa history topic published in a popular history periodical during the previous calendar year. The board may give one award annually. Up to two certificates of recognition may also be awarded.

e. Benjamin F. Shambaugh Award. This award recognizes the author of the most significant book published on Iowa history during the previous calendar year. The board may give one award annually. Up to two certificates of recognition may also be awarded.

f. Kids Count! Award. This award recognizes outstanding library, archives, historic site and museum service provided to National History Day student researchers in Iowa during the previous program year. The board may give up to two certificates of merit and one certificate of achievement annually.

g. Preservation Projects of Merit Award. This award recognizes historic preservation projects that exemplify the best of preservation practices, meet the U.S. Secretary of the Interior's Standards for Rehabilitation of Historic Buildings, and utilize the state historic preservation and cultural and entertainment district tax credit program. The board may give one award annually in each of the following four categories.

(1) Judith A. McClure Award. This award recognizes outstanding preservation of a residential property using state historic preservation and cultural and entertainment district tax credit program incentives. For purposes of this award, residential property shall be as defined in rule 223—48.2(303,404A).

(2) Adrian D. Anderson Award. This award recognizes outstanding preservation of a small historic preservation project using state historic preservation and cultural and entertainment district tax credit program incentives. For purposes of this award, small projects are defined as those projects having total qualified costs, as determined by Iowa Code chapter 404A as amended by 2007 Iowa Acts, chapter 165, of \$500,000 or less.

(3) Margaret Keyes Award. This award recognizes outstanding preservation of a large historic preservation project using state historic preservation and cultural and entertainment district tax credit program incentives. For purposes of this award, large projects are defined as those projects having total qualified costs, as determined by Iowa Code chapter 404A as amended by 2007 Iowa Acts, chapter 165, of more than \$500,000.

(4) William J. Wagner Award. This award recognizes the historic preservation project which best exemplified use of the U.S. Secretary of the Interior's Standards for Rehabilitation of Historic Buildings while using state historic preservation and cultural and entertainment district tax credit program incentives.

21.3(3) Selection.

a. Committees. The chairperson of the society board of trustees shall appoint awards committees at the first meeting of the board held in each fiscal year. The nonvoting staff member on each committee shall be appointed by the administrator of the society to coincide with the other committee appointments. The term of office shall be one year.

(1) William J. Petersen/Edgar Harlan and Loren Horton awards committees. Nominations for these categories shall be reviewed by an awards committee composed of, at a minimum, three voting members, including at least one member of the society board of trustees. The committee shall also include one staff member of the society serving in a nonvoting capacity.

(2) Mildred Throne/Charles Aldrich, George Mills/Louise Noun and Benjamin F. Shambaugh awards committees. Nominations for these categories shall be reviewed by awards committees composed of, at a minimum, three voting members, including at least one member of the society board of trustees. The committees shall also include one staff member of the society serving in a nonvoting capacity.

(3) Kids Count! Award. Nominations for this category shall be reviewed by an awards committee composed of, at a minimum, three voting members, including at least one member of the society board of trustees and one practicing History Day teacher. The committee shall also include one staff member of the society serving in a nonvoting capacity.

(4) Preservation Projects of Merit Award. Nominations for this category shall be reviewed by an awards committee composed of, at a minimum, three voting members, including at least one member of the society board of trustees, one licensed architect who specializes in historic preservation, and one member of the state nominations review committee appointed in accordance with 223—subrule 35.6(6). The committee shall also include one staff member of the society serving in a nonvoting capacity.

b. Period of eligibility. Awards in the Mildred Throne/Charles Aldrich, George Mills/Louise Noun, Benjamin F. Shambaugh, and Loren Horton categories shall be made for activities and publications produced during the calendar year prior to the nomination. Awards in the Kids Count! category shall be made for activities during the most recently completed National History Day competition in Iowa. Awards in the Preservation Projects of Merit category shall be made for state historic preservation and cultural and entertainment district tax credit projects completed in the previous fiscal year.

c. Call for nominations.

(1) William J. Petersen/Edgar Harlan Award. The public may nominate entries for the William J. Petersen/Edgar Harlan Award by mail. Nominators shall submit the name and address of the nominee and a detailed description of significant long-term or continuing contributions to Iowa history.

Nominations must be postmarked by February 1 and must be submitted to the Administrator, State Historical Society of Iowa, 600 East Locust Street, Des Moines, Iowa 50319-0290. Nominations may be submitted electronically to the E-mail address posted on the State Historical Society of Iowa Web page: www.iowahistory.org.

(2) Loren Horton Award. The public may nominate entries for the Horton Award by mail. Required nomination papers for the Loren Horton Award shall be obtained from the Administrator, State Historical Society of Iowa, 600 East Locust Street, Des Moines, Iowa 50319-0290. Nominations shall be postmarked by February 1 and shall be returned to the administrator at the society.

(3) Mildred Throne/Charles Aldrich Award. The public may nominate articles for the Mildred Throne/Charles Aldrich Award by mail. Nominators shall submit the title of the article, name of author, name and address of publication, and year of publication to the Administrator, State Historical Society of Iowa, 600 East Locust Street, Des Moines, Iowa 50319-0290. Nominations may be submitted electronically to the E-mail address posted on the State Historical Society of Iowa Web page: www.iowahistory.org.

(4) George Mills/Louise Noun Award. The public may nominate articles for the George Mills/Louise Noun Award by mail. Nominators shall submit the title of the article, name of author, name and address of publication, and year of publication to the Administrator, State Historical Society of Iowa, 600 East Locust Street, Des Moines, Iowa 50319-0290. Nominations may be submitted electronically to the E-mail address posted on the State Historical Society of Iowa Web page: www.iowahistory.org.

(5) Benjamin F. Shambaugh Award. The public may nominate entries for the Shambaugh Award by mail. Nominators shall submit the title of the book, name and address of author, name and address of publisher, and year of publication to the Editor, The Annals of Iowa, State Historical Society of Iowa, 402 Iowa Avenue, Iowa City, Iowa 52240-1806. Nominations may be submitted electronically to the E-mail address posted on the State Historical Society of Iowa Web page: www.iowahistory.org.

(6) Kids Count! Award. National History Day student researchers may nominate research libraries, archives, historic sites and museums on forms provided by the National History Day in Iowa program. Nominations shall include the name of the library, archive, historic site or museum nominated for the award and a description of the services provided by that library, archive, historic site or museum to National History Day student researchers in Iowa.

(7) Preservation Projects of Merit Award. All historic rehabilitation projects completed in the previous fiscal year, as determined by state historic preservation and cultural and entertainment district tax credit program staff, shall be considered for this award.

d. Number of nominations. The awards committees shall report no more than three nominations for each award program and category to the society board of trustees for final selection. The awards committees shall transmit nominations to the board prior to the regularly scheduled meeting which permits the board to act 30 days prior to an annual awards meeting.

e. Board ineligibility. No member of the board of trustees shall be eligible for nomination in any award category during the member's term as a trustee.

f. Voting. Selection in each category shall be by vote of the board of trustees in accordance with Iowa Code chapter 21 and Robert's Rules of Order, Revised Edition. Evaluation shall be based on the criteria stated in 21.3(4). The society board of trustees reserves the right to decline any or all nominations based upon the awards criteria.

21.3(4) Criteria.

a. William J. Petersen/Edgar Harlan Award. Nominees shall have contributed a body of work advancing the preservation and interpretation of Iowa history. Each body of work shall be evaluated for significance, professionalism, and influence on Iowans' perceptions of themselves. These criteria shall be weighted equally.

b. Loren Horton Award. Nominees shall have contributed a local history project that:

- (1) Increases awareness and appreciation for local or community history;
- (2) Encourages collaboration and support between individuals, groups, and the community;
- (3) Promotes future interest in the history of the community and continues to generate enthusiasm;
- (4) Shows a diverse base of support from the members of the community;

- (5) Provides long-term protection of community history, whether tangible or intangible; and
- (6) Demonstrates an effort to include all interested members of the community.

c. Mildred Throne/Charles Aldrich Award. Each nominated article shall be evaluated on its contribution to knowledge about Iowa history, scholarship, readability, and appropriateness for the intended audience. These criteria shall be weighted equally.

d. George Mills/Louise Noun Award. Each nominated article shall be evaluated on its contribution to knowledge about Iowa history, scholarship, readability, and appropriateness for the intended audience. These criteria shall be weighted equally.

e. Benjamin F. Shambaugh Award. Each nominated book shall be evaluated on its contribution to knowledge about Iowa history, scholarship, readability, and appropriateness for the intended audience. These criteria shall be weighted equally.

f. Kids Count! Award. Each nominated institution shall be evaluated on its commitment to research support for young historical researchers as demonstrated by the institution's positive attitude toward young researchers, its level of research knowledge, and its assistance to individual researchers. These criteria shall be weighted equally.

g. Preservation Projects of Merit Award. Each preservation project shall demonstrate outstanding application of the U.S. Secretary of the Interior's Standards for Rehabilitation of Historic Buildings, the project's impact on the local historic preservation community, and the project's impact on economic development in the local community. These criteria shall be weighted equally.

21.3(5) Notification. Award recipients shall be notified by mail at least 21 days prior to an annual awards meeting.

21.3(6) Presentation. The award shall be presented by a member of the board of trustees at an annual awards meeting.

These rules are intended to implement Iowa Code section 303.7.

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CHAPTER 22
HISTORICAL LIBRARY AND STATE ARCHIVES PUBLIC ACCESS POLICIES AND
SERVICES

[Prior to 5/31/89, see [490] Chs 1, 5]

223—22.1(303) Purpose. Policies exist to provide the widest possible public access to historical library, special collections and state archives of Iowa materials within the constraints of preservation of the materials. The collection and conservation policies of the library and archives shall be in accordance with 223—Chapter 13.

223—22.2(303) Definitions. The definitions listed in Iowa Code section 17A.2 shall apply for terms as they are used throughout this chapter. In addition, the following definitions apply:

“*Archives*” means state agency records and other materials transferred to the custody of the state archives of Iowa in accordance with Iowa Code Supplement chapter 305.

“*Collections*” means printed material, photographs, archives, manuscripts and electronic records.

“*Electronic records*” means records in a form that requires a computer or other machine to process them. “Electronic records” includes word processing documents; electronic mail messages; documents transmitted via electronic data interchange; Internet and Intranet postings; numerical and textual spreadsheets and databases; electronic files; optical images; software; and information systems.

“*Library*” means a unit of the state historical society of Iowa that acquires, preserves and describes printed materials.

“*Manuscripts*” means handwritten or typed documents, including letterpress or carbon copies. A mechanically produced document in handwriting or typescript is also considered a manuscript. Manuscripts include bodies or groups of personal papers, business or organizational records that have organic unity; artificial collections of documents acquired from various sources according to a plan, but without regard to provenance; and individual documents acquired because of their special importance.

“*Materials*,” unless otherwise specified, means the collections of the historical library, the special collections unit of the historical library and the state archives of Iowa.

“*Patrons*” means any and all persons conducting research or otherwise reading, viewing or consulting the state historical society of Iowa collections. Patrons include both on-site and off-site persons.

“*Photographs*” means, in general, images mechanically recorded by a camera. This term includes negatives, prints, copy negatives, copy prints, digital photographic images, motion picture film, and videotape.

“*Printed materials*” means, in general, books, journals, serials, magazines, newspapers, and maps and atlases.

“*Reference*” means the basic function of providing information about library and state archives of Iowa materials and making the materials available for research.

“*Research*” means the studious inquiry into or examination of library and state archives materials aimed at the discovery and interpretation of facts.

“*Special collections materials*” means privately donated collections acquired by the library and publications bureau of the state historical society of Iowa.

“*Special collections unit*” means the unit of the state historical society of Iowa that acquires, preserves and describes special collections materials.

223—22.3(303) Location. The society operates two reading room facilities. These facilities are located in the Centennial Building, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916, and in the State Historical Building, 600 East Locust, Des Moines, Iowa 50319, (515)281-6200.

223—22.4(303) Availability of materials.

22.4(1) Materials are available during regular reading room hours as posted in accordance with 223—subrule 1.5(2).

22.4(2) Materials are available to the public regardless of race, color, sex, religion, national origin, age, creed, or mental or physical disability.

22.4(3) The use of some materials may be restricted because of donor restrictions, state or federal statute, or the physical condition of the materials. Questions concerning restrictions of use may be referred to the reading room staff at the appropriate location.

223—22.5(303) Reading room policies. In order to ensure that the research resources remain available to all persons and future generations, the reading room policies shall be developed and posted in the reading room facilities of the state historical society of Iowa.

22.5(1) to 22.5(20) Rescinded IAB 1/5/05, effective 2/9/05.

223—22.6(603) Copy services.

22.6(1) A photocopy machine and a microfilm reader/printer are available for patrons to make copies of library materials.

22.6(2) Requests for copies of maps, manuscripts, photographs and state archives materials shall be directed to the library and archives staff. Photocopying shall be available unless reproduction of materials is inappropriate due to legal or curatorial considerations.

22.6(3) Copy service shall not be provided for materials which are not part of the society's collections.

22.6(4) Use of personal photocopy machines, scanners, and similar equipment to reproduce state archives materials or special collections materials shall not be permitted. Use of this type of equipment with library materials is subject to approval by an administrator or designee and shall not be permitted if the administrator or designee determines that such use may damage library materials.

These rules are intended to implement Iowa Code section 303.2 and Iowa Code chapter 303, subchapter II.

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CHAPTER 23
HISTORICAL MARKERS PROGRAM

[Prior to 5/31/89, see [490] Ch 5]

223—23.1(303) Purpose. The society in cooperation with the Iowa department of transportation shall develop a historical markers program for the following purposes:

1. Identifying and locating, for the purpose of preservation of information or artifacts, those sites and topics deemed to be significant in Iowa history;
2. Educating the public about significant people, places, and things in Iowa history and thereby developing a public sense of the importance of Iowa history;
3. Encouraging the public to preserve the state's history and develop a sense of identity as Iowans;
4. Enhancing the tourism potential of Iowa by encouraging visitors to investigate the state's history; and
5. Uniting people from various regions of Iowa through improving information concerning other regions of the state.

223—23.2(303) Categories of historical markers. The society may erect markers to commemorate or memorialize Iowa history in any of three categories.

1. Persons or organizations from all walks of life whose contributions or notoriety in their communities, counties, or the state as a whole merit widespread recognition;
2. Sites such as historic buildings, avenues of transportation, or other places where important events have occurred; or
3. Events which have state or regional significance.

223—23.3(303) Selection of historical markers.

23.3(1) *Nomination of potential marker site.* Nominations of potential marker sites may be made by an individual or group external to the society or by the board or staff of the society.

23.3(2) *Nomination forms.* Nominations shall be made on the application form obtained from the society. All inquiries may be directed to the Historical Markers Program Coordinator, State Historical Society of Iowa, 402 Iowa Avenue, Iowa City, Iowa 52240, (319)335-3916. This form shall provide, as a minimum, the following information:

1. Name and location of the site;
2. Description and documentation of the historical significance of the site;
3. Suggested placement of the historical marker, including all appropriate clearance of the site by the landowner, unit of government, or the department of transportation;
4. Name, address, and telephone number of the person or group nominating the site;
5. Financial arrangement for construction and maintenance of the historical marker; and
6. Expected annual visitation to the site.

23.3(3) *Review procedure.*

a. The historical markers program coordinator shall review all nominations. This review may include verification of the historical accuracy, location, and historical significance of the proposed historical marker.

b. Eligible applications shall be forwarded by the historical markers program coordinator to the administrator of the society for approval. The administrator shall forward the applications to the review panel.

c. Review panel.

(1) **Composition.** The review panel shall consist of one member of the board of trustees appointed by the chairperson of the board, one member of the board of directors of the Iowa historical foundation appointed by the chairperson of the board, one staff representative of the Iowa department of transportation appointed by the director of the Iowa department of transportation, one staff representative of the Iowa department of economic development appointed by the director of the Iowa

department of economic development, and two history professionals appointed by the administrator of the society.

(2) Chair. The review panel shall be chaired by the appointed member from the board of trustees of the society.

(3) Duties. The review panel shall create a prioritized annual plan for historical markers. This plan shall be presented annually at the last meeting of the fiscal year to the board of trustees of the society for approval and for potential funding in the coming fiscal year.

(4) Prioritization of historical markers. The selection of historical markers shall be based upon two equally weighted criteria:

1. Degree of statewide significance of the topic; and
2. Level of interest of the topic to the general public.

(5) Guidelines for selection. The review panel shall operate with the following guidelines:

1. All historical time periods should be represented. Current history should be included, but living people will not generally be the subject of a historical marker.

2. The informational content of the marker must be historically accurate and verifiable.

3. Controversial topics should not be disqualified as historical marker topics.

4. The geographical distribution of historical markers throughout the state should be representative of the significant events of the state's history.

5. The markers may be placed on either public or private land if the appropriate approvals and maintenance agreements are available.

223—23.4(303) Appeals.

23.4(1) *Informal appeals.*

a. Decisions concerning nomination and approval of historical markers may be appealed on any of the following bases:

- (1) Action was outside the statutory authority;
- (2) Decision was influenced by a conflict of interest;
- (3) Action violated state law, administrative rules, or policy;
- (4) Insufficient public notice was given; and
- (5) Alterations in the review and selection process were detrimental to the nomination.

b. All appeals shall contain:

- (1) Facts of the case;
- (2) Argument in favor of the appeal; and
- (3) Remedy sought.

c. Appeals should be directed to the administrator within 30 days of final notification of nomination status. All appeals shall be directed to the Administrator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8837.

d. The administrator shall consider and rule on the appeal after receiving all documentation from the appellant and shall notify the appellant in writing within 30 days.

23.4(2) *Contested case appeals.* All appeals shall be conducted according to 221—Chapter 3.

These rules are intended to implement Iowa Code sections 303.1A, 303.2, and 303.4 to 303.18.

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CHAPTERS 24 to 34
Reserved

TITLE V
HISTORIC PRESERVATION PROGRAMSCHAPTER 35
ADMINISTRATION

[Prior to 5/31/89, see [490] Ch 10]

223—35.1(303) Purpose. The historic preservation program operates to survey, evaluate significance, nominate to the National Register of Historic Places, and protect the historic buildings, structures, historic sites, objects, districts and landscapes of Iowa. Through the historic preservation program the society creates, fosters, and plans for the preservation of Iowa's historic resources.

223—35.2(303) Definitions. The definitions listed in Iowa Code section 17A.2 and rule 223—1.2(303), Iowa Administrative Code, shall apply for terms as they are used throughout Title V of these rules. In addition, the following definitions apply:

“Act” means the National Historic Preservation Act of 1966, Public Law 89-665.

“Advisory council” means the Advisory Council on Historic Preservation established under Section 201 of the National Historic Preservation Act of 1966, Public Law 89-665.

“Applicant” means any individual or entity seeking funding or service for a historic preservation activity from the society.

“Certified local government” means a unit of local government which is certified by the National Park Service to carry out the purposes of the National Historic Preservation Act in accordance with Section 101(c) of the Act and 36 CFR 61, April 13, 1984, and August 30, 1985.

“Comprehensive historic preservation planning” means the ongoing planning process by the division or a local community that is consistent with technical standards issued by the U.S. Department of the Interior and which produces reliable, understandable, and up-to-date information for decision making related to the identification, evaluation, and protection or treatment of historic resources.

“Considered eligible” means those properties that both the state historic preservation officer and a state or federal agency agree may be considered eligible for listing in the National Register of Historic Places, but have not been forwarded to the National Park Service for a formal determination of eligibility.

“Cultural resource” means man-made components of the physical environment which represent or reflect the history and prehistory of the state.

“Deputy state historic preservation officer” means the designee of the state historic preservation officer who is responsible for the daily administration of the historic preservation program in the state.

“Determination of eligibility” means the finding by the National Park Service that a district, site, building, structure, or object meets the National Register criteria, but a formal nomination has not been forwarded to the National Park Service. A determination of eligibility does not make the property eligible for such benefits as grants, loans, or tax incentives that have listing on the National Register as a prerequisite.

“Historical Preservation Fund” means the federal source from which moneys are appropriated to fund the program of matching grants-in-aid to the states and other authorized grant recipients for historic preservation programs, as authorized by Section 101(d)(1) of the National Historic Preservation Act of 1966.

“Historic context” means a historical theme summary created for planning purposes that links historical information with related historic properties based on the minimal components of a shared theme, specific time period, and geographical area.

“Historic preservation” means the protection, rehabilitation, restoration, and appropriate adaptive reuse of historic properties significant in American history, architecture, archaeology, engineering, or culture.

“Investment tax credit” means a federal income tax credit for the substantial rehabilitation of historic buildings for commercial, industrial, and rental residential and nonresidential purposes.

“National Register of Historic Places” means the national list of historic properties significant in American history, architecture, archaeology, engineering, or culture, maintained by the Secretary of the Interior.

“National Trust for Historic Preservation” means the private, nonprofit organization chartered by legislation approved by Congress on October 26, 1949, with the responsibility for encouraging public participation in the preservation of districts, structures, sites, buildings, and objects significant in American history and culture.

“Property owner” means that individual who pays local property tax for a historic property that they either own or are purchasing by contract.

“Review and compliance” means the review of federal, state and local undertakings according to 36 CFR Part 800: Protection of Historic Properties, September 21, 1986, and the regulations of the Advisory Council on Historic Preservation governing the Section 106 review process.

“Review committee” means the Iowa state national register nominations review committee, which is appointed by the state historic preservation officer.

“Secretary’s Standards and Guidelines” means the Secretary of the Interior’s Standards and Guidelines for Archaeology and Historic Preservation which provide technical information about archaeological and historic preservation activities and methods. The subjects covered include preservation planning; identification, evaluation, registration, historic research and documentation; architectural and engineering documentation; archaeological investigation; historic preservation projects; and preservation terminology.

“Section 106” means the section of the National Historic Preservation Act of 1966, Public Law 89-665, which requires the federal agency head with jurisdiction over a federal undertaking or federally licensed undertaking to take into account the effects of the agency’s undertakings on properties included in or eligible for the National Register of Historic Places and, prior to approval of an undertaking, to afford the Advisory Council for Historic Preservation a reasonable opportunity to comment on the undertaking. The regulations of 36 CFR Part 800, September 21, 1986, define the process used by an agency to meet these responsibilities and the role of the state historic preservation officer in review and comment on these undertakings.

“State historic preservation officer” means the governor’s appointee who is responsible for the management of the historic preservation program of the state and compliance of the state historic preservation program with federal statutes and regulations of the National Park Service.

“Survey and planning grants” means the grants which result in the survey, evaluation, and nomination to the National Register of Historic Places of historic properties as well as the planning for these activities.

“Technical assistance” means services provided to the public for the development of skills or the provision of knowledge relative to the background, significance, operation, or implications of some aspect of the historic preservation program.

223—35.3(303) Organization of programs. The division operates the following preservation programs:

1. Certified Local Governments;
2. Investment Tax Credits;
3. National Register of Historic Places;
4. Education;
5. Preservation Partnership;
6. Survey and Inventory of Cultural Resources;
7. Review and Compliance;
8. Technical Assistance;
9. State Register of Historic Places; and
10. Comprehensive Preservation Planning.

223—35.4(303) Eligibility.

35.4(1) Participation in any historic preservation program is open to any individual, community, organization, or governmental unit which meets the requirements of the specific program as determined by the state historic preservation officer.

35.4(2) Recipients of Federal Historic Preservation Fund moneys shall agree when issuing statements, press releases, requests for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with federal money, to clearly state the percentage of the total cost of the program or project which will be financed with federal money, and the dollar amount of federal funds for the project or program as well as contributions by the society.

35.4(3) All programs supported by Federal Historic Preservation Fund moneys shall be open to the public.

223—35.5(303) Contracts and grants.

35.5(1) Funds from other federal programs, with the exception of specially identified programs, shall not be used to match Federal Historic Preservation Fund grants.

35.5(2) Applications shall be submitted on the appropriate forms and with the requested supporting materials to be considered for funding.

35.5(3) Unless otherwise specified in a prior written contract, all products, artifacts, patents, copyrights, or legal interests of relevance to projects funded by Federal Historic Preservation Fund moneys shall become the sole and exclusive property of the society.

35.5(4) All applications for grants or contracts may be submitted to the Certified Local Governments Coordinator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8741.

35.5(5) All applications for funding shall be reviewed by a staff person. An advisory committee may be appointed to assist in the review process. All grant or contract awards shall receive the written approval of the state historic preservation officer.

35.5(6) Evaluation criteria. The following evaluation criteria shall be applied to all grant or contract applications:

- a. Compliance with state and federal standards and grant guidelines.
- b. Clearly stated or specific goals that can be realistically attained within the funding period and proposed budget.
- c. Measurable results or products (number, quality).
- d. Linkage with goals and objectives embodied in state or local preservation plans.
- e. Past grant/contract performance of applicant.

35.5(7) Appeals.

a. Eligible applicants, whose applications are not funded or otherwise serviced adequately, in the view of the applicant, shall have the right of appeal.

b. If state funds are involved in the grant or contract, the first appeal shall be directed to the deputy state historic preservation officer; the second appeal shall be directed to the state historic preservation officer; and the final appeal shall be directed to the director of the department of cultural affairs. All appeals shall be mailed to the appropriate official at the State Historical Society of Iowa or the Department of Cultural Affairs, Capitol Complex, Des Moines, Iowa 50319, (515)281-8741; (515)281-8837; (515)281-6258.

c. The initial appeal shall be received within 15 days of the notification of the selection.

d. The written appeal shall contain the following items:

- (1) Facts of the appeal;
- (2) Argument in favor of the appeal; and
- (3) Remedy sought.

e. Appeals shall be considered on the grounds that staff or review committee action was:

- (1) Outside the statutory authority;
- (2) Violated state or federal law;
- (3) Afforded inadequate public notice;

- (4) Procedure was altered to the detriment of the applicant without sufficient prior notice; or
- (5) A conflict of interest.

f. The deputy state historic preservation officer, state historic preservation officer, and director of the department of cultural affairs shall successively consider and rule on the appeal. Each officer shall notify the appellant of the decision within 30 days.

If the decision and remedy is believed insufficient by the appellant, the next step of the appeal process may be contacted. The decision of the director of the department of cultural affairs shall be final except as provided by Iowa Code sections 17A.19 and 17A.20.

If federal funds are involved, the first appeal shall be directed to the deputy state historic preservation officer; the second appeal shall be directed to the state historic preservation officer; and subsequent appeals to the National Park Service. Inquiries and appeals related to federal funds may be directed to the Rocky Mountain Regional Office, Division of Cultural Resources, National Park Service, 12795 West Alameda Parkway, P.O. Box 25287, Denver, CO 80225, (303)969-2875.

223—35.6(303) Advisory committees.

35.6(1) Advisory committees may be appointed by the state historic preservation officer for the purpose of conducting peer reviews of grant products, reviewing and rating grant applications for funding, nominating historic resources to the National Register of Historic Places, and providing other professional input.

35.6(2) Advisory committees may be permanent or temporary. The term of office on temporary advisory committees shall be determined by the state historic preservation officer.

35.6(3) Recommendations by all advisory committees shall be nonbinding on the state historic preservation officer.

35.6(4) Members of an advisory committee shall not submit an application for a grant or contract from the state historical society of Iowa. Action by an advisory committee member shall be in accordance with Iowa Code chapter 68B and 223—subrule 1.6(6), Iowa Administrative Code.

35.6(5) Members of advisory committees may be reimbursed for travel, lodging, and expenses at the discretion of the deputy state historic preservation officer.

35.6(6) Iowa State National Register of Historic Places Nominations Review Committee.

a. The committee shall be a permanent advisory committee within the historic preservation program.

b. Responsibilities. The committee shall have the following responsibilities as a minimum:

(1) Review of all nominations of Iowa properties to the National Register of Historic Places for the purpose of determining if the property meets the National Register criteria for significance, and recommending that the state historic preservation officer nominate or reject the proposed nomination;

(2) Review of appeals to National Register nomination and provide written opinions on the significance of the properties;

(3) Advise the deputy state historic preservation officer concerning Historic Preservation Fund grant applications, end-of-year reports, and the state comprehensive historic preservation plan;

(4) Provide general advice, guidance, and professional recommendations to the state historic preservation officer in carrying out the duties and responsibilities assigned by the federal program in Procedures for Approved State and Local Historic Preservation Programs 36 CFR 61, April 13, 1984, and August 30, 1984; and

(5) Approve operating bylaws consistent with federal regulations.

c. Membership.

(1) The committee shall be composed of no more than 12 voting members, all of whom are citizens of Iowa, and the majority of whom are professionals in historic preservation disciplines of American history, architectural history, architecture, prehistoric and historical archaeology, or related professional disciplines.

The committee may include citizen members, representatives of other preservation-related professions, and nonvoting members.

(2) The committee may include two nonvoting or ex officio members appointed by representatives of primary public preservation organizations.

d. Qualifications.

(1) The professional requirement for historians and architectural historians shall consist of a graduate degree, or a bachelor's degree with two years of relevant experience. The bachelor's degree shall include a concentration of study in American history or American architecture. Substantial contributions to the discipline's field of scholarly knowledge through research and publication may be accepted in lieu of experience.

(2) The professional requirement for an archaeologist shall be a graduate degree in archaeology, one year of relevant experience with a minimum of four months' independent research as a principal investigator in North American archaeology, and demonstrated ability to complete research.

(3) The professional requirement for an architect shall be a bachelor's degree in architecture and two years' relevant experience or a state license.

e. Appointment. The state historic preservation officer shall appoint members to the committee. Approval of appointees by the Department of the Interior shall be obtained. The state historic preservation officer shall seek to appoint members consistent with affirmative action policy; reflective of the urban-rural, regional and minority representation concerns of Iowa; and representative of citizen expertise in the field of historic preservation.

f. Term of office.

(1) The term of office for committee members shall be three years. The terms shall be staggered to permit one-third of the appointments to be made each year.

(2) The term of appointment shall begin on January 1 and be effective through December 31 three years later.

g. Meeting procedures.

(1) Members shall be reimbursed for travel, lodging, and expenses incurred in the performance of committee service.

(2) Members shall adhere to the conflict of interest statements in accordance with federal regulations stated in the National Register Programs Manual, NPS-49, Chapter 3 and 223—1.6(6), Iowa Administrative Code.

(3) Committee members shall refrain from voting and commenting upon any nominated property for which the member serves as an officer, trustee, fiduciary employee, or for which the member has consulted either for remuneration or gratis in the preparation of the nomination, or for which the member has or expects to participate in the development or use of the property.

(4) The committee shall meet quarterly. The committee may schedule additional meetings as necessary to carry out its business.

(5) The state historic preservation officer or designee shall preside at all meetings of the committee.

(6) Members are permitted to miss no more than two regular meetings in a year and shall notify the deputy state historic preservation officer at their earliest opportunity of the need to miss a meeting. If a member misses more than two regular meetings in a year, the state historic preservation officer may replace the member.

(7) Meetings shall be open meetings conducted in accordance with Iowa Code chapter 21 and Robert's Rules of Order, Revised Edition.

(8) The quorum necessary to conduct committee business shall be a majority of full, active, voting members of the committee. Acceptance of nominations for recommendation to the National Register of Historic Places shall be a majority of full, active committee members present. No nomination shall be considered by the committee unless one committee member with professional expertise in the area of nomination is present.

(9) Citizens may appear before the committee to discuss a nomination. The length of presentations may be limited by the chair.

223—35.7(303) Grants available. The following categories of historic preservation grants may be funded:

35.7(1) Survey and planning subgrants.

a. Purpose. The program provides funds for planning and implementation of activities related to the survey, evaluation, nomination, and protection of Iowa's cultural resources.

b. Procedure.

(1) Individuals or other entities may submit survey or planning proposals to the deputy state historic preservation officer during the annual workplan development period between June 1 and August 31. If the proposal is accepted, a competitive bidding process shall be held. The individual or entity suggesting the proposal may be an eligible bidder.

(2) Allowable activities shall include the survey of cultural resources, nomination and evaluation of cultural resources, research on historic contexts, and preservation planning.

(3) All applicants are encouraged to include community involvement and local volunteer participation.

(4) All grants under this program require match equal to or greater than 30 percent of state funding.

(5) All questions and applications may be directed to Deputy State Historic Preservation Officer, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8741.

35.7(2) Preservation partnership subgrants.

a. Purpose. This program provides preservation education and technical assistance for a one-year period to a competitively selected multicounty area which has not been the subject of a cultural resources survey and does not participate in the certified local government program.

b. Procedure.

(1) Individuals or other entities may submit competitive applications for the selection of their two-or three-county area to the deputy state historic preservation officer during the annual workplan development period between March 1 and April 15. Potential applicants shall be notified by a mailing to all county boards of supervisors and county and local historical organizations in counties with no county preservation commissions or existing cultural resource surveys 45 days prior to the application deadline. Award decisions shall be made by May 15 of each year.

(2) Applicants shall identify goals and objectives to be achieved during the project, interested individuals and organizations, sources of potential matching funds, known historical resources in the county, and a potential local project coordinator for each county.

(3) Survey and planning grants may be awarded in the same project area.

(4) All applicants are encouraged to include community involvement and local volunteer participation.

(5) All proposals shall be limited to activities to be completed within one year.

(6) All questions and applications may be directed to Deputy State Historic Preservation Officer, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8719.

35.7(3) Certified local government subgrants.

a. Purpose. This program seeks to enrich, develop, and help local historic preservation programs in cooperation with state and federal historic preservation programs.

b. General policy.

(1) Only certified local governments shall be eligible to apply for and receive a grant through this program.

(2) The state historic preservation officer shall not be required to award funds to all certified local governments.

(3) The program shall operate as a competitive grant program.

(4) Following the award of a grant a contractual agreement specifying the terms of the grant shall be executed between the society and the grant recipient.

c. Procedure.

(1) Application packets shall be sent to all eligible applicants at least 45 days prior to each application deadline.

(2) All applications shall be submitted on the forms provided by the state historical society of Iowa. All applications shall contain a description of the proposed project including a time schedule for implementation; the amount of grant funds requested; the amount, kind, and source of local match

which is committed to the project; a budget for the project; written assurance that the applicant shall follow the Secretary of the Interior's Standards for Archaeology and Historic Preservation; and written assurance that the applicant shall select a principal investigator who meets the Secretary of the Interior's professional qualification standards.

(3) Survey projects shall have local match not less than 30 percent of the total project cost. All other types of projects shall have local match not less than 50 percent of total project cost.

(4) Staff shall be available for consultation with applicants regarding the development of project proposals.

(5) Staff shall review applications for completeness and eligibility upon receipt of the application. Incomplete or ineligible applications shall be returned to the applicant. The applicant may correct and return the application prior to the grant deadline.

(6) Program staff shall conduct a preliminary review of each application to determine eligibility, completeness, consistency with program purpose, and amount of local match. Applications which do not meet these criteria shall not be considered for funding. Results of the staff review shall be transmitted to the state National Register nominations review committee which will prepare recommendations for the board of trustees.

(7) Applications shall be reviewed by the state National Register nominations review committee at a regular meeting closely following the application deadline. The date of review shall be established by the administrator of the society. Recommendations from the committee shall be submitted to the board of trustees for formal approval. Final authority for funding shall rest with the state historic preservation officer.

(8) Applicants objecting to the decision of the state historic preservation officer may appeal to the National Park Service. Inquiries and appeals may be directed to the Rocky Mountain Regional Office, Division of Cultural Resources, National Park Service, 12795 West Alameda Parkway, P.O. Box 25287, Denver, CO 80225, (303)969-2875.

d. Grant awards.

(1) Upon the approval of a grant by the state historic preservation officer, a grant agreement shall be prepared that specifies the terms and conditions of the grant, including the grant amount, project description, matching requirements, and dates for the submission of specified products.

(2) The grant agreement shall be signed by the state historic preservation officer or designee and the chief elected local official of the certified local government or designee.

(3) If grant funds are awarded and later the certified local government determines that the project cannot be completed, the certified local government coordinator shall recommend to the state historic preservation officer alternatives for expenditure of the funds. The decision of the state historic preservation officer shall be final.

223—35.8(303) Reporting and audit requirements.

35.8(1) The state historical society of Iowa may require subgrantees to submit progress reports on the status of projects.

35.8(2) All subgrantees shall submit a financial compliance audit of their subgrant project expenditures.

35.8(3) All subgrantees shall submit documentation of expenses for all subgrant expenditures.

35.8(4) All inquiries and applications may be directed to the Certified Local Government Coordinator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-6826.

These rules are intended to implement Iowa Code section 303.2 and Iowa Code chapter 303, subchapter II.

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CHAPTER 36
CERTIFIED LOCAL GOVERNMENT PROGRAM

223—36.1(303) Purpose. The program seeks to enrich, develop, and help maintain local historic preservation programs in accordance with the state and federal preservation programs. The aim is to ensure the broadest possible participation of local governments in the program while maintaining standards consistent with the National Historic Preservation Act and the Secretary of the Interior's "Standards and Guidelines for Archaeology and Historic Preservation." Financial and technical assistance are provided to further this purpose.

223—36.2(303) Regulations. The Certified Local Government program shall operate in accordance with the National Historic Preservation Act of 1966; Federal Regulations 36 CFR 61, April 13, 1984, and August 30, 1985; National Register Program Guidelines-NPS 49, Chapter 9; Iowa Code sections 303.20 to 303.34; and the guidelines for the program issued by the state historical society of Iowa in "The Certified Local Government Historic Preservation Program in Iowa."

223—36.3(303) Criteria for certification. Any local government shall be certified to participate in the program if the state historic preservation officer and the National Park Service certify that the local government meets the following conditions:

1. Secures appropriate county and municipal ordinances or resolutions for the creation of a local historical commission and the conduct of its historic preservation responsibilities;
2. Establishes an adequate and qualified historic preservation review commission by state or local legislation;
3. Maintains a system for the survey and inventory of historic properties that furthers the purposes of historic preservation;
4. Provides for adequate public participation in the local historic preservation program, including the process of recommending properties for nomination to the National Register of Historic Places; and
5. Satisfactorily performs the responsibilities delegated to it under the Act.

223—36.4(303) Procedure for certification.

36.4(1) The applicant shall contact the certified local government coordinator for program guidelines and application procedures.

36.4(2) Review of the certification request for completeness and eligibility shall be conducted by the staff within 30 days. Applicants shall be advised of the results of the review. If the certification request is deemed unsatisfactory, the staff shall advise the applicant and specify the changes that are needed.

36.4(3) When a certification application is accepted, a certification agreement shall be sent to the local government for signature.

36.4(4) Rescinded IAB 12/6/95, effective 1/10/96.

223—36.5(303) Funding of certified local governments. See 223—35.7(303), Iowa Administrative Code.

223—36.6(303) Other program services. The state historical society of Iowa provides training for county and local preservation commissions through state and regional conferences, technical assistance, and review of the county or local commission's annual report.

These rules are intended to implement Iowa Code section 303.2 and Iowa Code chapter 303, subchapter II.

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CHAPTER 37
INVESTMENT TAX CREDIT PROGRAM

223—37.1(303) Purpose. Property owners desiring federal income tax benefits for rehabilitation of historic buildings may apply for certification to the Secretary of the Interior through the state historic preservation officer of the state in which the property is located.

Applications are reviewed and commented on by the state historic preservation officer, and recommendations are made to the Secretary of the Interior for final approval. Upon completion, the work is certified by the Secretary of the Interior for the taxpayer to receive benefits under rules established by the Department of the Treasury, and the Internal Revenue Service. Historical properties may also be qualified for federal income and estate tax deductions for charitable contributions of partial interests in real property.

223—37.2(303) Regulations. The Investment Tax Credit Program shall operate in accordance with the National Historic Preservation Act of 1966; Tax Reform Act of 1986, Public Law 99-514, Sections 48(g) and 170(h); 36 CFR Part 60, the National Register of Historic Places, November 16, 1981, and October 2, 1983; 36 CFR Part 67, Historic Preservation Certifications Pursuant to the Tax Reform Act of 1976 and the Economic Recovery Tax Act of 1981, March 12, 1984; and 26 CFR Parts 1 and 602, Investment Tax Credit for Qualified Rehabilitation Expenditures, October 11, 1988; and 26 CFR Parts 20 and 25, Charitable Contribution for Conservation purposes in accordance with the Tax Treatment Extension Act of 1980. Additional interpretive information may also be found in Historic Preservation Tax Incentives, Certification of Rehabilitation Workbook, Department of the Interior, National Park Service; National Register Programs Guidelines, NPS-49; Preservation Briefs Series; National Register Bulletins; and Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation, Notice published by the Department of the Interior, National Park Service, Federal Register, Vol. 48, No. 190, Thursday, September 29, 1983.

223—37.3(303) Eligibility. A taxpayer, who is a fee simple owner or with the written approval of the owner and who elects to rehabilitate a certified historic structure, may apply for tax benefits as a result of the certified historic rehabilitation.

223—37.4(303) Certification of historic structures.

37.4(1) Buildings listed individually on the National Register of Historic Places are by definition certified historic structures.

37.4(2) Applications for certification of a particular building located within a registered historic district shall request a certification of significance using Part 1 of the Historic Preservation Certification Application (NPS Form 10-168, Part 1).

37.4(3) Applications for properties which are not individually listed or are within potential historic districts, or outside the period or area of significance of registered historic districts may request preliminary determinations as certified historic structures when and if nominated and listed. These applications shall be made using Part 1 of the Historic Preservation Certification Applications (NPS Form No. 10-168, Part 1).

37.4(4) The taxpayer shall also complete a rehabilitation description (NPS Form 10-168A, Part 2). Part 2 shall include a written description of the proposed rehabilitation and photographic materials adequate to document conditions inside and outside the building and the site prior to the rehabilitation. Additional documentation, such as window condition surveys or cleaning specifications, may be required for some projects.

37.4(5) Certification forms shall be provided by the National Park Service or the state historical society of Iowa. Certification review is normally 30 days maximum at the state and 30 days maximum at the federal level. Inquiries may be directed to Consulting Architect, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8637.

223—37.5(303) Review and evaluation.

37.5(1) All elements of a rehabilitation project such as interior and exterior of the building(s) site and environment as determined by the Secretary of the Interior, and all phases of demolition, construction, and rehabilitation shall meet the Secretary of the Interior's Standards for Rehabilitation. Portions of the project not in conformance shall not be exempted.

37.5(2) The staff shall review the application and materials, request additional materials or clarification, if needed, and provide a recommendation to the state historic preservation officer within 30 days of receipt of all materials from the applicant. The state historic preservation officer shall submit the state's recommendation to the National Park Service in a timely fashion.

37.5(3) Review by the National Park Service requires an initial plan review fee. Reviews by the National Park Service are generally completed within 30 days. All approvals of applications and amendments are conveyed only in writing by the duly authorized officials of the National Park Service. Owners who undertake rehabilitation projects without prior approval from the Secretary of the Interior do so at their own risk.

37.5(4) Decisions with respect to certification shall be made on the basis of the application form. If a discrepancy exists between the application form and other submitted material, the application form shall take precedence.

223—37.6(303) Certification of completion of work.

37.6(1) Upon receipt of an application requesting certification of completed work, the staff shall review the application and accompanying photographic documentation for conformance with the Secretary of the Interior's Standards for Rehabilitation, Guidelines for Rehabilitation of Historic Buildings, 36 CFR Part 67, March 12, 1984. The state historic preservation officer shall provide recommendations to the National Park Service for their decision.

37.6(2) Applicants shall receive notification of project status from the National Park Service. If the National Park Service finds that a project does not meet the Standards, the Secretary notifies the owner in writing, and if possible, advises the owner of necessary revisions to meet the Standards.

In the case of a denial of significance of the proposed rehabilitation project or the completed work, the owner may appeal in writing to the Chief Appeals Officer, Cultural Resources, National Park Service, U.S. Department of the Interior, P.O. Box 37127, Washington, D.C. 20013-7127. Appeals shall be filed within 30 days of receipt of the decision which is subject to appeal.

37.6(3) Completed, approved projects shall be subject to recapture of tax credits during the following five-year period, due to sale (on a pro rata basis) or further unapproved alterations inconsistent with the Secretary of the Interior's Standards.

37.6(4) Any previous approval by federal, state or local agencies and organizations shall not ensure certification by the Secretary for tax purposes. Any certifications made by the Secretary of the Interior shall not be considered binding upon the Internal Revenue Service or the Secretary of the Treasury with respect to the tax consequences under the Internal Revenue Code. Nor does the certification of significance for tax benefits substitute for or bind the National Register of Historic Places nomination and listing process.

These rules are intended to implement Iowa Code section 303.2 and Iowa Code chapter 303, subchapter II.

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CHAPTER 38
NATIONAL REGISTER OF HISTORIC PLACES
[Prior to 5/31/89, see Historical Department [490] Ch 17]

223—38.1(303) Purpose. The National Register of Historic Places is a listing of the nation's cultural resources worthy of preservation. National Register listing serves as a basic standard for providing historic preservation program support.

223—38.2(303) Regulations. The National Register of Historic Places Program shall operate in accordance with National Register of Historic Places, 36 CFR 60, November 16, 1981, and October 2, 1983; Determination of Eligibility for Inclusion in the National Register of Historic Places, 36 CFR 63, September 21, 1977; and Historic Preservation Certification, 36 CFR Part 67, March 12, 1984.

223—38.3(303) Nomination procedure.

38.3(1) Individuals wishing to nominate a cultural resource to the National Register of Historic Places may contact the National Register Coordinator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-4137 to secure a preliminary nomination packet.

38.3(2) Preliminary nominations shall be returned to the national register coordinator for evaluation. Within 30 days the staff shall evaluate the preliminary nomination and advise the applicant of the need for additional information, that the cultural resource is not eligible, or that the application may proceed. If the cultural resource is believed to be eligible, a final nomination packet shall be forwarded to the applicant.

223—38.4(303) Review of nominations.

38.4(1) Completed final nominations shall be reviewed by the staff prior to submission to the Iowa state nominations review committee for approval.

38.4(2) Property owners shall be notified of pending review of a potential nomination by the Iowa state nominations review committee. Property owners objecting to consideration may notify the national register coordinator to terminate nomination. Inquiries and objections may be directed to the National Register Coordinator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-4137.

38.4(3) The Iowa state national register review committee shall review and recommend action to the state historic preservation officer or designee.

38.4(4) Nominations signed by the state historic preservation officer shall be forwarded to the National Park Service for consideration. The National Park Service has a 45-day response period, which includes a 15-day period for public comment. The National Park Service may take three actions—listing of the resource on the National Register of Historic Places; return of the nomination for further preparation; or rejection of nomination. Appeals of National Park Service decision may be directed to the National Park Service, Department of the Interior, National Register Office, Box 37127, Washington, D.C. 20013-7127.

38.4(5) Owners and all interested parties shall be notified by the state historic preservation officer of the formal listing. A commemorative certificate shall be forwarded to the property owner.

223—38.5(303) Delisting of properties. Alterations to a property may result in delisting of a property. Delisting of a property is automatic if the property is completely demolished. Initiative to delist is the responsibility of the national register coordinator. Inquiries may be directed to the National Register Coordinator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-4137.

These rules are intended to implement Iowa Code section 303.2 and Iowa Code chapter 303, subchapter II.

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CHAPTER 39
EDUCATION PROGRAM

223—39.1(303) Purpose. The Education Program provides educational services to the public concerning many topics. Printed materials, audiovisual materials, and staff presentations are available.

223—39.2(303) Regulations. The Education Program shall operate in accordance with the National Historic Preservation Act of 1966 and the Program Guidelines-NPS 49, Chapters 12 and 13.

223—39.3(303) Procedure. Services are provided to individuals or organizations on a first-come, first-served basis. Fees may be charged to cover expenses. Requests for services may be directed to the Iowa History Resource Center, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-6860. Many materials may be obtained from the Iowa History Resource Center, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-6860.

These rules are intended to implement Iowa Code section 303.2 and Iowa Code chapter 303, subchapter II.

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CHAPTER 40
PRESERVATION PARTNERSHIP PROGRAM

223—40.1(303) Purpose. The Preservation Partnership Program provides preservation education and technical assistance for a one-year period to a competitively selected multicounty area which has not been the subject of a cultural resources survey and does not participate in the Certified Local Government Program.

223—40.2(303) Regulations. The Preservation Partnership Program is designed to meet the priorities of the state historical society of Iowa annual workplan. The contracts shall be competitively bid.

223—40.3(303) Application procedure and selection.

40.3(1) Selection criteria. The criteria considered in the selection of a preservation partner are:

- a. The breadth of organizations represented in the application for the purpose of maximizing nontraditional audiences and economic development;
- b. Amount of match available;
- c. An identified cultural resource that merits preservation and which is central to the region;
- d. Identification of a range of potential projects; and
- e. Relationship to the planning priorities of the program.

40.3(2) Applications shall be filed prior to April 15.

40.3(3) Selection shall be made by the staff with final approval by the state historic preservation officer.

40.3(4) Inquiries concerning the program may be directed to the Deputy State Historic Preservation Officer, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8741.

These rules are intended to implement Iowa Code section 303.2 and Iowa Code chapter 303, subchapter II.

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CHAPTER 41
SURVEY AND REGISTRATION OF CULTURAL RESOURCES PROGRAM
[Prior to 5/31/89, see [490] Ch 18]

223—41.1(303) Purpose. The Iowa Cultural Resources Survey and Registration Program is responsible for identifying and evaluating prehistoric and historic sites, buildings, structures, objects, and districts of significance to Iowa, its communities and the nation as a whole.

223—41.2(303) Regulations. The Iowa Cultural Resources Survey and Registration Program shall operate in accordance with the National Historic Preservation Act of 1966, as amended in 1980, Section 101 and Section 106; Executive Order 11593; and 36 CFR Part 800, September 21, 1986.

223—41.3(303) Survey selection.

41.3(1) Surveys may be conducted by the society staff, subgrants to consultants, certified local governments, or interagency agreements with federal, state, and local governmental agencies.

41.3(2) Selection of survey areas or topics, and the inclusion of survey results in the survey files, shall be determined by the priorities of the Iowa historic preservation plan, requirements of the Secretary of the Interior and, as appropriate, by requirements of the state of Iowa.

41.3(3) The society shall make available to the public, on request, federal and state guidelines for planning and conducting surveys of historic properties, survey data collection forms and continuation sheets, photo field catalog sheets, photographic specifications, and guidelines for the reporting of results to the society. These specifications and guidelines shall be used in all historic property surveys conducted or funded either partially or totally by the society. Adoption of these specifications and guidelines is not binding on federal agencies, other Iowa state agencies, local governments, or individuals, but their adoption is strongly recommended to facilitate comprehensive preservation planning, Section 106 review, information sharing, consistency in survey standards, and listing of historic properties on the National Register of Historic Places.

41.3(4) Federal agencies, state and local government entities, public and private institutions, and private individuals may be requested to conduct surveys if they are utilizing federal funds or engaging in a federally licensed, guaranteed, or regulated activity in order to comply with Section 106 of the National Historic Preservation Act of 1966 and Executive Order 11593.

41.3(5) State historical society of Iowa staff may assist federal and state agencies, local governments, and individuals in survey planning, the preparation of requests for proposals, and proposal evaluation. Requests for assistance may be directed to Deputy State Historic Preservation Officer, State Historical Society, Capitol Complex, Des Moines, Iowa 50319, (515)281-8741.

223—41.4(303) Survey funding.

41.4(1) Surveys funded by the society shall be conducted by principal investigators who meet the minimum professional qualifications specified for the appropriate discipline by the National Park Service in 36 CFR, Part 61, April 13, 1984, and August 30, 1985. The same standards are recommended for investigators in projects not funded by the society.

a. The staff maintains a list of consultants meeting the requirements of 36 CFR, Part 61, April 13, 1984, and August 30, 1985, and expressing an interest in conducting survey activities. Persons or firms interested in being listed may apply by submitting a résumé and other materials describing their qualifications to the staff. The staff shall review the qualifications and inform the applicant of the outcome of the review within 30 working days of submittal of complete documentation. Printed lists of qualified consultants shall be issued annually on January 15.

b. Inclusion on the consultant list does not constitute endorsement of an individual or a firm. At public request the staff shall review credentials of consultants not on the list and under consideration for a specific project funded by the society.

41.4(2) All survey projects to be conducted by a consultant shall be awarded in a competitive bidding process. A request for proposal shall be prepared by the staff. The request for proposal shall describe the project, specifications for the final product, and evaluation factors for the awarding of the contract.

41.4(3) The request for proposal shall be sent by the staff to all individuals and firms on the appropriate consultant list. A minimum of 30 days shall be permitted for the submittal of bids. State historical society of Iowa staff and other qualified individuals shall review the proposals and inform the consultants of the status of their bid within 30 working days. The society may reject all proposals; request some bidders to submit best and final offers in 15 working days; or award the contract. Awards shall be made to the offeror whose proposal is deemed to be the most advantageous to the state of Iowa on the basis of price and other factors.

223—41.5(303) Conduct of the surveys.

41.5(1) All surveys are subject to all state and federal laws regarding trespass and egress and the protection of archaeological resources. Responsibility for compliance rests solely with the firm or individual conducting the survey.

41.5(2) Information collected from private and public repositories, individuals and groups, and within the public right-of-way including photography shall be subject to inclusion in the project file. All information collected from private and public repositories, individuals and groups, and within the public rights-of-way including photography shall be considered suitable for inclusion in project files and be made available to the public upon request.

223—41.6(303) Availability of survey information. The state historical society of Iowa is the repository for all architectural and historical survey data collected through projects funded by the state historical society and the review and compliance (Section 106) process. Other agencies and individuals are encouraged to deposit their survey materials or a copy of those materials with the state historical society of Iowa.

223—41.7(303) Confidentiality of archaeological site information.

41.7(1) In accordance with Iowa Code subsection 22.7(21) and 685—Chapter 14, Iowa Administrative Code, specific locational information on archaeological resources is confidential unless approved for disclosure. The state historic preservation officer, or designee, shall make archeological site records available to the following entities for inspection and copying:

1. Federal and state agencies, local governments, and applicants for federal assistance, permits, and licenses in compliance with Section 106;
2. Federal and state agencies, local governments, and other planning bodies for management and oversight of archaeological sites under their jurisdiction;
3. Members of the Association of Iowa Archaeologists;
4. Members of the Society of Professional Archaeologists;
5. Qualified archaeologists as defined in 685—14.2(305A), Iowa Administrative Code; and
6. Other persons deemed to present no unreasonable risk of damage or loss of the resource.

41.7(2) Notwithstanding any of the preceding subrule, the state historic preservation officer, or designee, shall retain the authority to deny access to the Iowa site records, site location maps, and all supporting documents if the release is believed to result in an unreasonable risk of damage or loss of the resource. An appeal committee consisting of three qualified archaeologists as defined in 685—14.2(305A), Iowa Administrative Code, shall review contested cases and make recommendations to the director of the department of cultural affairs for final decision.

41.7(3) The society may enter into agreements with the state archaeologist or other agencies to obtain or make available Iowa site records for planning purposes.

41.7(4) Unless subject to restriction, copies of survey material may be obtained from the state historical society of Iowa. Fees shall be posted in accordance with 223—subrule 1.5(3), Iowa Administrative Code. Requests may be directed to Consulting Archaeologist, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8744.

These rules are intended to implement Iowa Code section 303.2 and Iowa Code chapter 303, subchapter II.

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CHAPTER 42
REVIEW AND COMPLIANCE PROGRAM

223—42.1(303) Purpose. The Review and Compliance Program implements Section 106 of the National Historic Preservation Act of 1966 for the purpose of taking into account the effects of an agency's undertaking on properties included in or eligible for the National Register of Historic Places.

223—42.2(303) Regulations. The Iowa Review and Compliance Program shall operate in accordance with the National Historic Preservation Act of 1966, Section 106; and 36 CFR Part 800, September 21, 1986.

223—42.3(303) Procedures.

42.3(1) The state historic preservation officer, or designee, shall consult with agency officials expending federal funds to identify historic properties, assess effects of the undertaking on historic properties, and consider alternatives to avoid or reduce the effects.

42.3(2) Agency officials desiring a Section 106 review shall contact the review and compliance coordinator to obtain the appropriate forms required to evaluate the effects. Completion of the forms does not constitute clearance of the proposed projects, but is intended to assist the review and compliance staff in rendering an informed recommendation. Inquiries may be directed to Review and Compliance Coordinator, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-4137.

42.3(3) Responses to agency requests shall be made by the review and compliance staff within 30 days. Responses may indicate that no historic properties are located within the impact area, request the presentation of additional information and research, or that there is an effect. If an impact is indicated the review and compliance staff shall indicate the steps desired to mitigate the impact.

42.3(4) After initiating consultation, the state historic preservation officer or designee, the funding agency official, or the Advisory Council for Historic Preservation, at its discretion, may state that further consultation may not be productive and thereby terminate the consultation process. The agency official may then request the Council's comments in accordance with Section 800.6(b) of the National Historic Preservation Act of 1966 and notify all other consulting parties of the request.

These rules are intended to implement Iowa Code section 303.2 and Iowa Code chapter 303, subchapter II.

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CHAPTER 43
TECHNICAL ASSISTANCE PROGRAM

223—43.1(303) Purpose. The Technical Assistance Program provides professional consultation in the areas of planning, project monitoring, local ordinance review, local historic district organizations, and general preservation consulting.

223—43.2(303) Regulations. Technical assistance is provided as resources permit. First priority is given to projects relating to the National Register of Historic Places, the Certified Local Government program or a local preservation commission, and the preservation partnership program.

223—43.3(303) Services. The technical assistance program provides service in these four areas:

1. Planning assistance. This program provides on-site or other forms of consultation in the preparation and review of a community or county historic preservation plan.

2. Project monitoring. The staff provides on-site or other forms of project monitoring and facilitation.

3. Local ordinance review and local historic district organization. In accordance with Iowa Code subsection 303.34(4), the local commission shall submit the draft or final ordinance for review and approval by the staff. An existing commission shall similarly submit proposed local historic district designations for review and approval to the staff. Comments by the appropriate staff shall be supplied within 45 days from the receipt of complete documentation.

4. General technical assistance. Technical assistance in the physical preservation of properties is provided by staff. This service is provided on an individual request and time available basis. The services provided by the staff shall not substitute for private professional services.

All inquiries and requests may be directed to the Deputy State Historic Preservation Officer, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, (515)281-8741.

These rules are intended to implement Iowa Code section 303.2 and Iowa Code chapter 303, subchapter II, and subchapter III.

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CHAPTER 44
STATE REGISTER OF HISTORIC PLACES PROGRAM
[Prior to 5/31/89, see Historical Department[490] Ch 17]

223—44.1(303) Purpose. The State Register of Historic Places recognizes properties of historical significance to Iowa.

223—44.2(303) Regulations and procedures. All regulations and procedures of 223—Chapter 38, Iowa Administrative Code, pertaining to the National Register of Historic Places shall pertain to the state register of historic places.

These rules are intended to implement Iowa Code section 303.2 and Iowa Code chapter 303, subchapter II.

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CHAPTER 45
COMPREHENSIVE PRESERVATION PLANNING PROGRAM

Reserved

CHAPTER 46
MAIN STREET LINKED INVESTMENTS LOAN PROGRAM

223—46.1(12) Program administered. The main street linked investments loan program is administered jointly by the treasurer of state, department of economic development, and the state historical society. The rules of the society for this program are identical to the rules of the department of economic development for this program and are adopted by reference. See 261 IAC 43. The rules of the treasurer of state concerning funding of the program appear as 781 IAC 4.

These rules are intended to implement Iowa Code sections 12.51 and 12.52.

[Filed 8/2/90, Notice 1/10/90—published 8/22/90, effective 9/26/90]

CHAPTER 47
HISTORIC PROPERTY REHABILITATION TAX EXEMPTION

223—47.1(303) Purpose. Property owners desiring property tax benefits for substantial rehabilitation of historic buildings may apply for certification of completed work to the consulting architect of the state historical society of Iowa. Applicants are encouraged to apply for preliminary review and approval prior to start of rehabilitation work to prevent delays in certification of completed work or denials caused by unacceptable rehabilitation work.

Approved certifications of completed work may then be filed by the property owner with the assessor of the jurisdiction who shall certify the eligibility of the property for exemption and forward the application to the board of supervisors.

223—47.2(303) Definitions. The definitions listed in Iowa Code section 17A.2 and rules 223—1.2(303) and 223—35.2(303) shall apply for terms as they are used throughout this chapter. In addition, the following definitions apply:

“Application for certification” means the application for approval of substantial rehabilitation work to a historic property filed with the state historical society of Iowa.

“Application for exemption” means the application for a property tax exemption filed with the assessor for the substantial rehabilitation work on a historic property certified as approved by the state historic preservation officer.

“Base year valuation” means the assessed valuation for the building on January 1 of the year in which the rehabilitation work was initiated.

“Exemption” means the temporary release from the increase in valuation due to certified substantial rehabilitation of a historic property and is dependent on maintaining the certification from the state historic preservation officer.

223—47.3(303) Program administration.

47.3(1) The staff of the society shall review and evaluate proposed and completed substantial rehabilitation applications. The state historic preservation officer shall provide applicants of approved projects with a certification of completed work.

47.3(2) Boards of supervisors shall establish their priorities for which an exemption may be granted. Examples of exemption priorities may be: a maximum annual dollar amount of exemptions allowed on a first-come basis; types of historic properties as defined in Iowa Code section 427.16; property types defined by use or location; exclusion of properties within a tax increment financing or special municipal improvement district; or other criteria specified by the board of supervisors. An annual priority list shall be established by boards of supervisors as required by Iowa Code section 427.16.

47.3(3) An annual report listing all historic properties in the county for which an exemption has been granted shall be prepared by the assessor on or before July 1, submitted to the respective county auditor and to the state historic preservation officer.

223—47.4(303) Eligibility.

47.4(1) All applications for exemption eligibility submitted to the assessor and board of supervisors shall have received a certification of completed work from the state historic preservation officer. The approved certification shall be attached to the exemption application.

47.4(2) Applications for eligibility shall be evaluated using the board of supervisors’ adopted priority list.

223—47.5(303) Application for exemption procedure.

47.5(1) All applications for exemption shall be submitted on the historic property rehabilitation tax exemption form prescribed by the department of revenue. All applications shall have attached an approved application for certification of completed work. Forms may be obtained from the Department of Revenue, Capitol Complex, Des Moines, Iowa 50319; Consulting Architect, State Historical Society

of Iowa, Capitol Complex, Des Moines, Iowa 50319, telephone (515)281-8719; or the office of the appropriate assessor or board of supervisors.

47.5(2) Applications for certification of completed work shall provide historical, architectural and financial information; and plans, photographs and maps as required on the application form.

a. Part 1 of the application form shall establish the significance of the property. As a minimum, current photographs of all exterior sides of the building, the streetscape and representative views of the interior shall be provided. Where property is within a National Register Historic District or area of historic significance as defined in Iowa Code section 303.20 or 303.34, a map locating the property within the boundaries of the area shall be provided.

b. Part 2 of the application form shall detail the existing conditions and the proposed rehabilitation workplan. Photographs shall show specific areas of work and both the interior and exterior conditions prior to the start of work.

c. Request for Certification of Completed Work (part 3) shall document the completed work. Photographs shall show specific areas where work has been completed and both the interior and exterior conditions after the completion of work.

d. Applicants are strongly encouraged to obtain approvals on parts 1 and 2 of the application prior to the start of work. Applicants shall file completed part 3 application forms with the state historical society of Iowa on or before December 31 for work completed that calendar year. Applicants whose work is approved shall file certifications of completed work as part of their application for exemption with their assessor on or before March 1 of the appropriate tax year.

47.5(3) Materials submitted to the society shall not be returned.

47.5(4) In some localities or with some funding sources, other preservation or design-related reviews may be required before any rehabilitation occurs. The process of application for certification of completed work as part of historic property rehabilitation tax exemption program does not substitute for any other reviews/applications which may be required of property owners.

47.5(5) Inquiries concerning information required, historic property eligibility, and review criteria should be addressed to the Deputy State Historic Preservation Officer, State Historical Society of Iowa, Capitol Complex, Des Moines, Iowa 50319, telephone (515)281-8719.

223—47.6(303) Review and approval standards for applications for certification.

47.6(1) Project certification shall be based on the Secretary of the Interior's Standards for Rehabilitation and Guidelines for Rehabilitating Historic Buildings, 36 CFR Part 67.7 (1990), National Park Service, Preservation Assistance Division, Washington, D.C. 20013-7127.

47.6(2) The standards apply equally to interior and exterior work. All reviews shall consider the entire rehabilitation project, including any new construction on site, rather than only a limited segment of the project; and the certification shall be based on conformity of the total project to the standards.

47.6(3) If required documentation is incomplete and the review and evaluation cannot be completed, the project shall be denied the requested certification. The applicant shall be notified by the society.

223—47.7(303) Appeals. Decisions made by the society or its designee adversely affecting applicants may be appealed pursuant to 221—Chapter 3.¹

¹ See Notice of Intended Action **ARC 1811A**, IAB 3/20/91.

These rules are intended to implement Iowa Code sections 303.2 and 427.16.

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CHAPTER 48
HISTORIC PRESERVATION AND CULTURAL AND
ENTERTAINMENT DISTRICT TAX CREDITS

223—48.1(303,404A) Purpose. A historic preservation and cultural and entertainment district tax credit (hereafter referred to as historic tax credit) for rehabilitation of eligible commercial property, residential property and barns located in this state is granted to approved projects, subject to availability of the credit, to apply against the income tax imposed under Iowa Code chapter 422, division II, III, or V, or Iowa Code chapter 432. Historic tax credits are restricted to rehabilitation projects for eligible properties in Iowa. Rehabilitation projects for eligible properties must be conducted in accordance with the federal Standards for Rehabilitation (36 CFR Part 67.7) as described in the U.S. Secretary of the Interior’s Standards for the Treatment of Historic Properties (hereafter referred to as Standards).

223—48.2(303,404A) Definitions. The definitions listed in Iowa Code section 17A.2 and rules 223—1.2(17A,303), 223—1.6(303), 223—13.2(303), 223—22.2(303), and 223—35.2(303) shall apply to terms as they are used throughout this chapter. In addition, the following definitions apply:

“*Assessed value*” means the amount of the most current property tax assessment.

“*Commercial property*” means a building used for retail, office, or other business uses not otherwise classified as residential use pursuant to the Iowa state building code.

“*Historic tax credit(s)*” means the historic preservation and cultural and entertainment district tax credit established in Iowa Code chapter 404A.

“*Mixed-use property*” means a property that includes three or more residential units and may also contain a commercial property component in the same building.

“*Qualified rehabilitation costs*” means qualified rehabilitation expenditures under the federal rehabilitation credit in Section 47 of the Internal Revenue Code.

“*Reserved tax credit*” means the amount of tax credits set aside from the available tax credit fund for an approved project.

“*Residential property*” means a building with two or fewer residential units.

“*Standards*” means the Standards for Rehabilitation as described in the U.S. Secretary of the Interior’s Standards for the Treatment of Historic Properties.

“*Tax basis*” means the same as defined in department of revenue 701—subrule 42.15(3).

“*Tax credit year*” means the tax year in which a tax credit certificate holder is eligible to redeem a tax credit certificate based on the availability of tax credit funds for an eligible project.

223—48.3(303,404A) Eligible properties. The following properties are eligible for the historic tax credit:

1. Property verified as listed on the National Register of Historic Places or determined eligible for such listing through the established procedures of the state historic preservation office (SHPO);
2. Property designated as a building contributing to the historic significance of a district listed on the National Register of Historic Places or contributing to the historic significance of a district determined eligible for such listing through the established procedures of the SHPO;
3. A property or district designated as a local landmark by a city or county ordinance; or
4. A barn constructed prior to 1937.

223—48.4(303,404A) Qualified and nonqualified rehabilitation costs.

48.4(1) Qualified rehabilitation costs are as defined in Section 47, rehabilitation credit, of the Internal Revenue Code. To view Section 47 online, visit www.nps.gov/history/local-law/FHPL_RehabCredit%20.pdf.

48.4(2) Costs deducted as expenses in the tax year in which they are paid or incurred are nonqualified rehabilitation costs for determination of historic tax credits.

48.4(3) Architectural and engineering fees, site survey fees, legal fees, insurance premiums, development fees and other construction-related expenses are qualified rehabilitation costs for determination of historic tax credits to the extent they increase the tax basis of the eligible property.

48.4(4) Sidewalk, parking lot and landscaping expenses are nonqualified rehabilitation costs for determination of historic tax credits.

48.4(5) Only qualified rehabilitation costs incurred during the 24-month period immediately prior to the project completion date may be used for determination of historic tax credits, excluding any costs incurred prior to inception of this program.

a. Qualified rehabilitation costs incurred prior to approval by the SHPO of part two of the application (see rule 223—48.6(303,404A)) may be considered in the determination of historic tax credits.

b. Owners who undertake rehabilitation projects without prior approval from the SHPO do so at their own risk.

48.4(6) Any submission of a part three of the application with qualified rehabilitation costs of more than \$500,000 shall include a certified statement by a certified public accountant verifying that the expenses statement includes only qualified rehabilitation costs incurred in the time period established in subrule 48.4(5).

223—48.5(303,404A) Rehabilitation cost limits and amount of credit.

48.5(1) For commercial or mixed-use property, the amount of rehabilitation costs must equal at least 50 percent of the assessed value of the property, excluding the land, prior to rehabilitation.

48.5(2) For residential property or for barns, the amount of rehabilitation costs must equal at least \$25,000 or 25 percent of the assessed value of the property, excluding the land, prior to rehabilitation, whichever is less.

48.5(3) For residential or mixed-use property, the amount of rehabilitation costs shall not exceed \$100,000 per residential unit excluding any qualified rehabilitation costs for the commercial space and excluding any qualified rehabilitation costs for the weather surfaces of the building envelope including exterior windows and doors.

48.5(4) The historic tax credit for a project shall equal 25 percent of the qualified rehabilitation costs.

48.5(5) Applicants may develop subsequent projects for qualified rehabilitation costs not previously included in a tax credit application for a building which had tax credits previously reserved or awarded. Each subsequent application shall meet eligibility requirements as stated in subrules 48.5(1) to 48.5(4) and shall be reviewed individually and independently. The cumulative total for applications for buildings funded through the small projects funding queue shall not exceed \$500,000. Any application for a building previously funded through the small projects funding queue that causes the cumulative total for that building to exceed \$500,000 may be considered for funding in accordance with rule 223—48.8(303,404A).

223—48.6(303,404A) Application and review process.

48.6(1) All applications for historic tax credits shall be on forms and in accordance with instructions provided by the SHPO. Application forms are available from the Tax Incentives Program Manager, State Historic Preservation Office, Department of Cultural Affairs, 600 E. Locust Street, Des Moines, Iowa 50319-0290. Applications may also be downloaded from the following Web site: www.state.ia.us/government/dca/shsi/preservation/financial_assistance/state_tax_credit/ia_state_tax_credit.html.

a. Part one of the application identifies the eligibility of the property for the historic tax credit. Part one of the application must include all requested information. SHPO staff shall notify the applicant in writing if part one of the application is incomplete. Incomplete applications will not be processed.

b. Part two of the application provides a detailed description of the rehabilitation project. Part two of the application must include all requested information. SHPO staff shall notify the applicant in writing if part two of the application is incomplete. Incomplete applications will not be processed.

c. Part three of the application provides the information and documentation required to request certification of project completion and must include all requested information including certification in accordance with subrule 48.4(6). SHPO staff shall notify the applicant in writing if part three of the application is incomplete. Incomplete applications will not be processed. Incomplete applications may be subject to abandonment as outlined in rule 223—48.11(303,404A).

d. Amendments to applications. An applicant may amend an approved part two of the application to notify SHPO of, and to request review of, modifications to the original description of the rehabilitation project. Amendments to part two of the application shall not include modification of the rehabilitation costs estimated in the originally approved part two of the application. Amendments to part two of the application shall not result in the reservation of additional tax credits for a project.

48.6(2) SHPO staff trained by the National Park Service for reviewing rehabilitation projects to ensure compliance with Standards will review part two and part three of each submitted application.

48.6(3) SHPO staff shall review and respond in writing to part two or part three of each completed application or to amendments to part two of an application (see rule 223—48.8(303,404A)) within 90 days of receipt.

a. If an applicant submits more than one part of an application simultaneously, SHPO staff shall review each part sequentially.

b. If an applicant submits more than one part of an application simultaneously, SHPO staff shall respond in writing to each completed application part sequentially, within 90 days of approval of the previous part of the application.

48.6(4) A part two of an application that includes the same scope of work as a rehabilitation project which qualifies for the federal rehabilitation credit under Section 47 of the Internal Revenue Code shall automatically be approved when submitted in accordance with rule 223—48.8(303,404A) and to the extent that all historic tax credits appropriated for the fiscal year have not already been reserved.

48.6(5) Response to application parts.

a. Review of part one of the application shall result in one of two responses:

- (1) The property is eligible for the historic tax credit; or
- (2) The property is not eligible for the historic tax credit.

b. Review of part two of the application shall result in one of three responses which may be provided to the department of revenue:

(1) The rehabilitation described in the application is consistent with the historic character of the property or the district in which it is located, and the project meets the Standards. The initial review of part two is a preliminary determination only. A formal certification of rehabilitation shall be issued only after rehabilitation work is completed;

(2) The rehabilitation or proposed rehabilitation described in part two of the application will meet the Standards if the stipulated conditions are met; or

(3) The rehabilitation described in part two of the application is not consistent with the historic character of the property or the district in which it is located, and the project does not meet the Standards.

c. Review of part three of the application shall result in one of two responses which may be provided to the department of revenue:

(1) The completed rehabilitation meets the Standards and is consistent with the historic character of the property or the district in which it is located. Effective on the date of approval of part three of the application, the project shall be designated a “certified rehabilitation”; or

(2) The rehabilitation is not consistent with the historic character of the property or the district in which it is located, and the project does not meet the Standards.

d. Questions concerning specific tax consequences or interpretation of the state tax code must be addressed to the department of revenue.

48.6(6) Approval of part one of the application. Upon approval of part one of the application, an applicant may proceed to submission of part two of the application. If the applicant submitted part two of the application simultaneously, the SHPO shall complete review of part one of the application before reviewing part two of the application.

48.6(7) Approval of part two of the application.

a. Upon approval of part two of the application with no conditions, the SHPO shall reserve tax credits for the project in an amount equal to 25 percent of the estimated qualified rehabilitation costs for the next available tax credit year, and the applicant may proceed to implement the project.

b. Upon approval of part two of the application with conditions, the SHPO shall reserve tax credits for the project in an amount equal to 25 percent of the estimated qualified rehabilitation costs for the next available tax credit year. The applicant may proceed to implement the project, and the applicant shall document compliance with the conditions.

c. An authorized representative of the SHPO, with due notice to the applicant, may inspect projects to determine if the work meets the Standards.

48.6(8) Approval of part three of the application. Upon approval of part three of the application, the SHPO shall issue a tax credit certificate to the applicant in an amount equal to 25 percent of the qualified rehabilitation costs as estimated in part two of the application for the tax credit year originally reserved for the project upon approval of part two of the application, unless the qualified rehabilitation costs in part three of the application differ from the estimated qualified rehabilitation costs in part two of the application.

a. If the qualified rehabilitation costs documented in part three of the application are less than the qualified rehabilitation costs estimated in part two of the application, the SHPO shall return any unused tax credits to the available tax credit pool for other projects in the same funding queue.

b. If the qualified rehabilitation costs documented in part three of the application are greater than the qualified rehabilitation costs estimated in part two of the application, the SHPO shall issue a tax credit certificate to the applicant in an amount equal to 25 percent of the documented qualified rehabilitation costs that exceed the qualified rehabilitation costs estimated in part two of the application for the next available tax credits in the same funding queue from which tax credits were initially awarded according to procedures established in rule 223—48.8(303,404A).

223—48.7(303,404A) Funding queues.

48.7(1) The SHPO shall reserve 10 percent of available tax credits for any tax credit year in a small projects funding queue for single projects with estimated qualified rehabilitation costs totaling \$500,000 or less.

a. At the end of each state fiscal year, any funds in the small projects funding queue that have not been reserved for small projects shall be transferred to the statewide funding queue for other projects.

b. If the small projects funding queue is fully reserved before the end of a state fiscal year, any applications for small projects received after full reservation of the small projects funding queue may be eligible for the cultural and entertainment district (CED) funding queue or the statewide funding queue.

48.7(2) The SHPO shall reserve 40 percent of available tax credits for any tax credit year in a CED funding queue for projects located in cultural and entertainment districts certified in accordance with Iowa Code section 303.3B or for projects identified in Iowa great places agreements developed in accordance with Iowa Code section 303.3C.

a. At the end of each state fiscal year, any funds in the CED funding queue that have not been reserved for projects located in cultural and entertainment districts certified in accordance with Iowa Code section 303.3B or for projects identified in Iowa great places agreements developed in accordance with Iowa Code section 303.3C shall be transferred to the statewide funding queue for other projects.

b. If the CED funding queue is fully reserved before the end of a state fiscal year, any applications for projects located in cultural and entertainment districts certified in accordance with Iowa Code section 303.3B or for projects identified in Iowa great places agreements developed in accordance with Iowa Code section 303.3C received after full reservation of the CED funding queue shall be eligible for the statewide funding queue.

48.7(3) The SHPO shall reserve 50 percent of available tax credits in a statewide funding queue for any tax credit year, which is to be used for eligible projects throughout the state of Iowa.

223—48.8(303,404A) Sequencing of applications for review.

48.8(1) Order of review. The SHPO anticipates the receipt of a large number of applications for historic tax credits for projects with qualified rehabilitation costs in excess of \$500,000 at the beginning of each state fiscal year. At the start of each state fiscal year, the SHPO will utilize a project review sequencing system to establish the order in which applications will be reviewed. Applications for projects with qualified rehabilitation costs under \$500,000 making application for credits from the small project funding queue will be accepted and reviewed throughout the calendar year until all available credits from that funding queue are reserved. When all available credits are reserved from the small project funding queue, subsequent applications will be accepted utilizing the procedures in subrules 48.8(1) to 48.8(6) for projects with qualified rehabilitation costs in excess of \$500,000.

48.8(2) Filing window. Projects with qualified rehabilitation costs documented in part three of the application in excess of the estimated rehabilitation costs in part two pursuant to paragraph 48.6(8) “b” and applications for state historic tax credits received during the first ten working days of the state fiscal year shall be included in a project review sequencing system to determine the order in which they will be reviewed.

48.8(3) Initial sequencing process. An initial sorting process based on the status of the project application at the start of the state fiscal year will be used to associate applications with the appropriate initial sequencing category. Following initial sorting into a category, each application within the assigned category will be sequenced in accordance with rule 223—48.8(303,404A).

a. Category A projects are comprised of projects with qualified rehabilitation costs documented in part three of the application in excess of the estimated rehabilitation costs in part two pursuant to paragraph 48.6(8) “b” and which could not be otherwise reserved from available credits in the appropriate funding queue.

b. Category B projects are comprised of projects for which part two of a state historic tax credit application was submitted during any previous year’s filing window, as verified by records maintained at the SHPO, and was included in that year’s sequencing system, and did not receive a tax credit reservation. Category B projects will be divided into subcategories according to the state fiscal year of original submission. Projects will be included in a subcategory for the state fiscal year of original submission provided the project was included in each successive state fiscal year’s sequencing system and did not receive a tax credit reservation. Category B projects must be resubmitted during the present year’s filing window.

c. Category C projects are comprised of projects with part two of a state historic tax credit application that includes the same scope of work approved for federal rehabilitation tax credits, as documented by a signed part two of the federal tax credit application approved prior to the first business day of the state fiscal year, and applications with rehabilitation costs in excess of \$500,000 which are not eligible for the federal program. Applications eligible for this category must include one of the following:

- (1) A new part two of the application with part one of the application already on file;
- (2) New parts one and two of the application; or
- (3) New parts one, two and three of the application.

d. Category D projects are comprised of an entirely new part two of a state historic tax credit application not meeting the requirements for any other category and having been received within the specified filing window. Projects may consist of parts one and two of the application, parts two and three of the application with a part one having already been submitted, or parts one, two and three of the application.

48.8(4) Secondary sequencing process. Using a random number generator, SHPO staff will assign unique, random numbers to all applications that are eligible for inclusion in the review sequencing system within each category of the initial sequencing system. Applications within each category, and subcategory, shall then be placed in numeric order from lowest to highest. SHPO staff shall then create a master review sequence list, with category A applications reviewed first; category B applications, arranged by subcategory starting with the earliest state fiscal year of original submission, reviewed next; category C applications reviewed next; and category D applications reviewed last.

48.8(5) *Random number generator.* SHPO staff shall use a random number generator utility found in Microsoft Excel 2003 or the current version of Microsoft Excel generally used by the department of cultural affairs.

48.8(6) *Outside observer.* The initial sequencing process, the secondary sequencing process, and the development of the master review sequence list will be observed and certified by an official state witness.

223—48.9(303,404A) Reserved tax credits.

48.9(1) Upon written approval of part two of the project application, the SHPO shall reserve an estimated tax credit under the name of the applicant(s) in an amount equal to 25 percent of the estimated qualified rehabilitation costs for the next available tax credit year.

48.9(2) If the amount of estimated qualified rehabilitation costs changes during the course of project implementation, the applicant may include those costs in part three of the application.

48.9(3) The SHPO shall not reserve tax credits for more than two state fiscal years beyond the current state fiscal year.

223—48.10(303,404A) Project commencement.

48.10(1) Once a tax credit reservation is made for a project, actual construction must begin on the project prior to the end of the state fiscal year in which the SHPO approved part two of the application. The applicant shall notify the SHPO of the commencement date of actual construction and, if the estimated qualified rehabilitation costs for the project exceed \$500,000, shall submit a certified statement by a certified public accountant confirming expenditure of at least 10 percent of estimated qualified rehabilitation costs prior to the end of the state fiscal year in which the SHPO approved part two of the application.

48.10(2) In lieu of commencement of actual construction prior to the end of the state fiscal year in which the SHPO approved part two of the application, an applicant may notify the SHPO that the project identified in part two of the application was awarded low income housing tax credits (LIHTC) from the Iowa finance authority in the same fiscal year in which the SHPO approved part two of the application.

48.10(3) In the event actual construction on a project does not commence prior to the end of the state fiscal year in which the SHPO approved part two of the application in accordance with subrule 48.10(1) or 48.10(2), the SHPO shall recapture the tax credit reservation and utilize those tax credit funds for additional applications in accordance with the provisions of rule 223—48.8(303,404A).

223—48.11(303,404A) Abandonment of tax credit reservation.

48.11(1) If there has been no contact with the SHPO by the applicant between project commencement confirmed in accordance with rule 223—48.10(303,404A) and the estimated project completion date shown on the approved part two of the application, the SHPO shall, by registered U.S. mail sent to the last-known address of the applicant, request that a status report be filed with the SHPO within 30 days of the date of the letter. The SHPO shall notify an applicant that the project will be considered abandoned and the SHPO will recapture the tax credit reservation unless the applicant submits a status report that documents actual construction on the project within 30 days of the date of the letter.

48.11(2) If the SHPO has not received a status report that documents actual construction on a project by the deadline, then the SHPO shall notify an applicant by registered U.S. mail sent to the applicant's last-known address that the project has been abandoned and the tax credit reservation has been recaptured because the conditions of subrule 48.11(1) have not been met.

48.11(3) The SHPO shall return any recaptured tax credit reservations to the appropriate funding queue in the pool of tax credits available for other rehabilitation projects.

48.11(4) This rule shall also apply to any project that received approval for part two of the application on or before June 30, 2007.

223—48.12(303,404A) Submission deadline.

48.12(1) No later than six months after the estimated project completion date on the approved part two of the application, or upon project completion, the applicant shall submit a complete part three of the state historic tax credit application to the SHPO.

48.12(2) If the SHPO has not received a complete part three of the state historic tax credit application by the deadline, then the SHPO shall notify an applicant by registered U.S. mail sent to the applicant's last-known address that the project has been abandoned and the tax credit reservation has been recaptured because the conditions of subrule 48.12(1) have not been met.

48.12(3) The SHPO shall return any recaptured tax credits to the pool of tax credits available for other rehabilitation projects.

48.12(4) This rule shall also apply to any project that received approval for part two of its application on or before June 30, 2007.

223—48.13(303,404A) Transfer of tax credit certificate. The applicant may transfer the tax credit certificate to one or more parties in accordance with department of revenue 701—subrule 42.15(6).

223—48.14(303,404A) Redemption of tax credit certificate. The tax credit holder shall attach the tax credit certificate and a copy of the signed part three of the application to the taxpayer's state income tax return and submit these documents to the department of revenue in the tax year for which the tax credit certificate is valid.

223—48.15(303,404A) Tax credits in excess of tax liability.

48.15(1) An applicant whose tax credit exceeds the tax liability in the tax year for which the tax credit may be redeemed is entitled to a refund of the excess tax credit with interest under Iowa Code section 422.25. See also administrative rules of the department of revenue, particularly rules 701—42.15(422) and 701—52.18(422).

48.15(2) In lieu of a refund, the applicant may have the excess tax credit applied to the tax liability for the following year.

223—48.16(303,404A) Application processing fees. A nonrefundable fee for application processing of parts two and three of an application will be charged for review of requests for certification of a rehabilitation project for historic tax credits. An initial review fee will be due with the filing of part two of an application. An additional fee for review of completed rehabilitation work will be due with the filing of part three of an application. Fees will be based on the amount of qualified rehabilitation costs. The fee schedule is as follows:

Part 2 Review Fee	For projects with qualified rehabilitation cost of:	
Residential (1-2 units) & barns	Under \$50,000	No cost
Residential (1-2 units) & barns	\$50,000 and over	\$250
Commercial or mixed-use properties (includes residential 3+ units)	Any amount	\$500
Part 3 Review Fee	For projects with qualified rehabilitation cost of:	
Residential (1-2 units) & barns	Under \$50,000	No cost
Residential (1-2 units) & barns	\$50,000 and over	\$250
Commercial or mixed-use properties (includes residential 3+ units)	Under \$50,000	\$250
Commercial or mixed-use properties (includes residential 3+ units)	\$50,000 to \$1,000,000	.5 percent (.005) of qualified rehabilitation costs
Commercial or mixed-use properties (includes residential 3+ units)	Over \$1,000,000	\$5,000

223—48.17(303,404A) Appeals.

48.17(1) Applicants may appeal a decision of the state historic preservation office on any of the following bases:

- a.* Action was outside statutory authority;
- b.* Decision was influenced by a conflict of interest;
- c.* Action violated state law or administrative rules;
- d.* Insufficient public notice was given; or
- e.* Alteration of the review and certification process was detrimental to the applicant.

48.17(2) Appeals in writing shall be delivered to the director of the department of cultural affairs within 30 days of the decision giving rise to the appeal. All appeals shall be directed to the Director, Department of Cultural Affairs, 600 E. Locust Street, Des Moines, Iowa 50319; telephone (515)281-7471.

48.17(3) All appeals shall contain:

- a.* The facts of the case;
- b.* Argument(s) in support of the appeal; and
- c.* The remedy sought.

48.17(4) The director of the department of cultural affairs shall consider and rule on an appeal after receiving all documentation from the appellant and shall notify the appellant in writing of the decision within 30 days. The decision of the director of the department of cultural affairs shall be final except as provided in Iowa Code sections 17A.19 and 17A.20.

These rules are intended to implement Iowa Code chapters 303 and 404A.

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TITLE VI
GRANT PROGRAMS

CHAPTER 49

HISTORICAL RESOURCE DEVELOPMENT PROGRAM GRANTS

223—49.1(303) Purpose. The historical resource development program provides funds to preserve, conserve, interpret and enhance, and to educate the public about, the historical resources of the state. These rules define parameters for the administration of grants through the historical resource development program.

223—49.2(303) Definitions. The definitions listed in Iowa Code section 17A.2 and rules 223—1.2(17A,303), 223—1.6(303), 223—13.2(303), 223—22.2(303), and 223—35.2(303) shall apply to terms as they are used throughout this chapter. In addition, the following definitions apply:

“*Conservation*” means action to chemically stabilize or physically protect historical documents or artifacts to ensure their long-term survival.

“*Documentary collections*” means collections of current or historical materials that are or might become valuable in interpreting Iowa history, including but not limited to government records, newspapers, photographic images, electronic records, manuscripts, and printed materials.

“*Emergency*” means a threat to a historical resource that is not the result of delinquency by the current owner and that requires timely action to prevent immediate loss of the resource.

“*Grantee*” means any applicant that receives grant funds.

“*Historical resource*” means any site that is listed by the state historic preservation officer on the National Register of Historic Places or personal property that has inherent historical value due to its association with the history of Iowa or the heritage of Iowa’s people.

“*HRDP*” means the historical resource development program as established in Iowa Code section 303.16.

“*Interpretation*” means the presentation of Iowa history to the public through exhibitions, exhibition catalogs, education programs, historical markers, and other appropriate means.

“*Preservation*” means the stabilization and rehabilitation of a property eligible for or listed on the National Register of Historic Places, or the salvaging or reformatting of information contained in a historical document or artifact by the use of various surrogate media.

“*REAP*” means the resource enhancement and protection Act as established in Iowa Code section 455A.16.

“*REAP/HRDP steering committee*” means the historical division’s staff committee appointed by the director and consisting of the grants manager, a division leadership team member, and professional staff members from historic preservation, museum, and documentary collections interest areas.

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223—49.3(303) Funding policies. The grant programs shall be conducted according to published guidelines that outline funding priorities, review criteria, application forms, adjudication processes and grantee requirements. Programs include REAP/HRDP regular grants, REAP/HRDP emergency grants, and country school grants.

49.3(1) Grant programs shall require formal application and review prior to the awarding or denial of any funds. The application and awards process may vary in accordance with the nature and design of each grant program but shall follow published guidelines.

49.3(2) All funded projects shall comply with professional standards for historic preservation, museums, or documentary collections as follows:

a. Historic preservation projects shall adhere to the Secretary of the Interior’s Standards and Guidelines for Archeology and Historic Preservation and the Secretary of the Interior’s Standards for Rehabilitation and Guidelines for Rehabilitating Historic Buildings.

b. Museum projects shall adhere to applicable national standards or follow technical guidelines generally accepted by the museum profession. Applicants shall demonstrate a commitment to providing, and the ability to provide, care for their collections on a long-term basis.

c. Documentary collections projects shall adhere to national standards, where they apply, or otherwise follow technical guidelines generally accepted by the library, archives, and conservation communities. Applicants shall demonstrate a commitment to providing, and the ability to provide, care for their collections on a long-term basis.

49.3(3) Applications for grants shall be reviewed as follows:

a. Applications for REAP/HRDP emergency grants shall be evaluated by the REAP/HRDP steering committee. Awards shall be determined by majority vote of the steering committee.

b. Applications for REAP/HRDP regular grants and country school grants shall be evaluated by a review panel composed of a minimum of nine members, including at least six public members and three historical division staff members, as follows:

(1) Public members:

1. At least two Iowa museum professionals;

2. At least two members of the Iowa state national register of historic places nominations review committee;

3. At least two members of the Iowa historical records advisory board.

(2) Historical division staff members:

1. One professionally trained museum specialist;

2. One professionally trained historic preservation specialist;

3. One professionally trained archives specialist.

49.3(4) An applicant may not submit more than one application in any single category in any grant cycle.

49.3(5) Applicants funded in two consecutive fiscal years in the same grant category are not eligible to receive funding in the same grant category during the next fiscal year.

49.3(6) Review criteria scores shall be the official record of the proceedings of a review panel or steering committee meeting. Historical division staff shall, upon request, provide an applicant with a written record of these scores.

49.3(7) The review panel shall make grant award recommendations to the state historical society board of trustees. The state historical society board of trustees shall make grant award recommendations to the administrator of the historical division.

49.3(8) The historical division shall issue contracts for all funds awarded.

49.3(9) No state funds awarded under the historical resource development program shall be used by a grantee to meet the grantee's obligation to match other historical division or cultural affairs department grants or programs.

49.3(10) No appropriated state funds shall be used by a grantee to match the grantee's historical resource development program grant.

49.3(11) A grantee shall not utilize historical resource development program funds for any lobbying purpose.

49.3(12) An applicant shall not apply for or use any program funds for the purpose of regranting.

49.3(13) All government, nonprofit corporation, or Indian tribe applicants shall demonstrate that the historical resource is accessible to the public no less than an average of 16 hours per week or shall provide a statement concerning actions to be taken in the forthcoming 36 months after the grant award to provide the above-specified accessibility of the funded project to the public, unless access is restricted by specific federal or state code. Archaeological sites that are part of funded projects are not required by this program to be accessible to the public.

49.3(14) All private corporations, businesses, and individual applicants shall demonstrate that the historical resources which benefit from being acquired, developed or preserved, or the portions of the historical resource so benefited, shall be accessible to the public no less than an average of 96 hours per year or shall provide a statement concerning actions to be taken in the forthcoming 36 months after the grant award to provide the above-specified accessibility of the funded project to the public, unless access is restricted by specific federal or state code. Archaeological sites that are part of funded projects are not required by this program to be accessible to the public.

49.3(15) A grantee shall credit the historical resource development program in all promotions, publicity, advertising, and printed materials relating to the grant-supported project, with the following credit line or a reasonable facsimile: “This program is supported in part by the State Historical Society of Iowa, Historical Resource Development Program.” Noncompliance with this requirement shall jeopardize future funding of the grantee by the historical division.

49.3(16) The historical division may, for cause, find that a grantee is not in compliance with the requirements of this program or the terms of the contract. At the division’s discretion, remedies for noncompliance may include penalties or the repayment of program funds. Reasons for a finding of noncompliance include but are not limited to: the grantee’s use of program funds for activities not described in its application or not permitted under the program; the grantee’s failure to complete approved activities in a timely manner; the grantee’s failure to comply with any applicable professional standards, state rules, or federal regulations; the lack of a continuing capacity on the part of the grantee to carry out the approved program in a timely manner; or violation of the terms of the contract.

[ARC 7583B, IAB 2/25/09, effective 4/1/09]

223—49.4(303) Record keeping and retention. Grantees shall keep adequate records relating to the administration of a project, and particularly relating to all expenses incurred. These records shall be available for audit by representatives of the department and the state auditor’s office. All records shall be retained in accordance with state laws.

223—49.5(303) Appeals.

49.5(1) Applicants or grantees may appeal a decision of the historical division on any of the following bases:

- a. The action was outside the statutory authority;
- b. The decision was influenced by a conflict of interest;
- c. The action violated state law, administrative rules, or policy;
- d. Insufficient public notice was given; or
- e. Alteration of the review and certification processes was detrimental to the applicant.

49.5(2) Written appeals shall be directed to the director of the department within 30 calendar days of notification of the decision. All appeals shall be mailed to the following address: Director, Department of Cultural Affairs, 600 East Locust Street, Des Moines, Iowa 50319-0290.

49.5(3) All appeals shall contain:

- a. The facts of the case;
- b. An argument in favor of the appeal; and
- c. The remedy sought.

49.5(4) The director of the department of cultural affairs shall consider and rule on the appeal after receiving all documentation from the appellant and shall notify the appellant in writing of the decision within 30 days of receipt of all documentation. The decision of the director of the department of cultural affairs shall be final except as provided in Iowa Code sections 17A.19 and 17A.20.

These rules are intended to implement Iowa Code chapter 303.

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CHAPTER 50
HISTORIC SITE PRESERVATION GRANT PROGRAM

223—50.1(303) Purpose. The purpose of the historic site preservation grant program is to provide matching grants to nonprofit organizations, governmental bodies, and Indian tribes for the restoration, preservation, and development of historical sites.

The state historical society of Iowa, the historical division of the Iowa department of cultural affairs, shall administer the historic site preservation grant program.

223—50.2(303) Definitions.

“Administrator” means the administrator of the state historical society of Iowa, the historical division of the department of cultural affairs.

“Director” means the director of the department of cultural affairs.

“Emergency” means a threat to a historical resource that is not the result of delinquency by the current owner and that requires timely action to prevent immediate loss of the resource.

“Facility” means a site, structure, building, or object such as a sculpture or monument.

“Historical site” means a property that is listed or declared eligible by the state historic preservation officer for listing on the National Register of Historic Places, or a facility in which Iowa’s history or the heritage of Iowa’s people is interpreted. Historical sites shall relate to the human occupation of Iowa, but may be of prehistoric or historic age.

“Indian tribe” means any tribe, band, nation, or other organized group or community of Indians that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

“Infrastructure” is defined in Iowa Code section 8.57(5c) as “vertical infrastructure” and shall include only land acquisition for construction, major rehabilitation of buildings, all appurtenant structures, utilities, and site developments.

“Society” means the state historical society of Iowa, the historical division of the department of cultural affairs, established in Iowa Code section 303.1.

223—50.3(303) Application procedures.

50.3(1) Eligible applicants. Grants shall be awarded to any local political subdivisions of the state, state agency, Indian tribe, or nonprofit organization that is duly authorized and charged with responsibilities for construction, maintenance and operation of historical sites.

50.3(2) Eligible projects. Grants under this program shall be used for “vertical infrastructure” as defined in Iowa Code section 8.57(5c). Applicants shall submit only one grant application per funding cycle. Projects that received designated legislative earmarking of funds in the current fiscal year shall not be eligible for funding through this program. Projects that received funding from this program are ineligible to apply for three years from the date of grant award.

50.3(3) Project requirements. When applicable, all project work shall meet the Secretary of the Interior’s Standards and Guidelines for Archaeology and Historic Preservation. All applicants shall submit project information to the society’s community programs bureau for review as part of the application process. Successful applicants shall consult with the society’s historic preservation staff to ensure that the standards are met. Failure to meet the standards shall result in cancellation of the grant.

50.3(4) Form of application. Grant applications shall be on forms provided by the society and shall follow all prescribed guidelines. Completed applications shall provide sufficient detail to clearly describe the scope of the project.

50.3(5) Application timing. Grant applications (1 original and 11 copies) shall be received by 4:30 p.m. in the program coordinator’s office at the State Historical Society of Iowa, 600 East Locust, Des Moines, Iowa 50319-0290, on or before the deadline date, or shall have a United States Postal Service postmark, dated on or before the fourteenth day of September.

50.3(6) Assistance ceiling and cost share. Grants to any individual project shall not exceed \$100,000. Project sponsors shall provide cash match at the rate of one dollar for each state grant dollar.

An applicant shall certify that it has committed its share of project costs by the time final payment is made. State funds shall not be used as cash match for this program. Indirect costs and staff salaries shall not be used as match.

50.3(7) *Minimum grant amount.* No application requesting less than \$40,000 in grant funds shall be considered.

50.3(8) *Geographic distribution of funds.* No more than two projects may be awarded in any grant cycle within a single county.

223—50.4(303) Project review and selection.

50.4(1) *Staff review.* Applications shall be reviewed by society staff to ensure compliance with the program's administrative rules and guidelines. All applications meeting the requirements shall be forwarded to the review and selection panel. Ineligible applications shall not be considered.

50.4(2) *Review panel.* A review and selection panel, hereinafter referred to as the review panel, comprised of ten members appointed by the administrator, shall review and evaluate project applications and shall develop funding recommendations to be forwarded to the state historical society board of trustees for approval.

The review panel shall be comprised of the following members:

1. Panel chairperson, appointed by the administrator.
2. Five citizens, each with a background in archaeology, history, architectural history, architecture, museum studies, Iowa heritage, or a closely related field. Citizens serving on the committee shall be selected from a wide geographic area.
3. One member of the society's board of trustees.
4. One staff representative selected by the administrator of the Iowa division of tourism, Iowa department of economic development.
5. One staff representative selected by the administrator of the Iowa division of parks, recreation and preserves, Iowa department of natural resources.
6. One staff representative selected by the administrator of the division of project planning, Iowa department of transportation.

50.4(3) *Final review and selection of grants.* The society's board of trustees shall review the recommendations of the review panel and shall make recommendations to the administrator. The administrator shall make final funding decisions.

50.4(4) *Conflict of interest.* If a project is submitted by an eligible sponsor, one of whose members or employees is on the review panel, that panelist shall not participate in discussion and shall not vote on that particular project.

223—50.5(303) Application rating system. The review panel shall apply a numerical rating system to each grant application that is considered for funding assistance. The criteria, with a weight factor for each, shall include the following:

1. The historical or cultural significance of the project, and the degree to which the project is of regional, state, or national significance (30 percent);
2. The quality of the plans to interpret the historical resource (25 percent);
3. The extent to which the project will enhance educational opportunities for a broad and diverse audience (25 percent);
4. The degree to which the budget is reasonable and appropriate to the project (10 percent);
5. The degree to which the applicant demonstrates a commitment to the future viability of the resource by planning for the ongoing operation and maintenance of the project (10 percent).

Each criterion shall be given a score from 1 to 10, which is then multiplied by the weight factor.

223—50.6(303) Grant administration.

50.6(1) *Contract agreement.* Successful applicants shall enter into a contract agreement with the society.

50.6(2) *Timely commencement of projects.* Grant recipients are expected to carry out their projects in an expedient manner. Projects shall be under contract by February 1 in the year following their approval and shall be completed by the date specified in the contractual agreement. Failure to initiate projects in a timely manner may be cause for termination of the agreement and cancellation of the grant.

50.6(3) *Funding acknowledgement.* The grantee shall agree to include in all printed lists of contributors the following credit line: "State Historical Society of Iowa, Historic Site Preservation Grant Program."

50.6(4) *Disbursement of funds.* All project moneys, including grant funds and matching funds, shall be expended within the period established by legislation. Disbursement of grant funds shall be made on a schedule as determined in the contractual agreement.

50.6(5) *Record keeping and retention.* Grant recipients shall keep adequate records relating to the administration of a project, particularly relating to all incurred expenses. These records shall be available for audit by representatives of the society and the state auditor's office. All records shall be retained in accordance with state laws.

50.6(6) *Penalties.* During the contract period, whenever any property, real or personal, acquired or developed with grants under this program passes from the control of the grantee or is used for purposes other than the approved project purpose, it shall be considered an unlawful use of the funds.

50.6(7) *Remedy.* Funds used without authorization, for purposes other than the approved project purpose, or unlawfully, shall be returned to the society for deposit in the account supporting this program. In the case of diversion of personal property, the grantee shall remit to the department funds in the amount of the original purchase price of the property. The grantee shall have a period of two years after notification by the society in which to correct the unlawful use of funds. The remedies provided in this subrule are in addition to others provided by law.

50.6(8) *Ineligibility.* Whenever the administrator determines that a grantee is in violation of this rule, that grantee shall be ineligible to receive further grant funds until the matter has been resolved to the satisfaction of the state historical society board of trustees.

50.6(9) *Technical assistance.* The department may use up to 2 percent of the total appropriation for providing technical assistance to grant applicants and for administrative costs incurred in implementing the program.

223—50.7(303) Informal appeals. Eligible applicants or grantees may informally appeal a decision of the society not to grant historic site preservation grant funds on any of the following bases:

1. Action was outside statutory authority;
2. Decision was influenced by a conflict of interest;
3. Action violated state law, administrative rule, or written policy;
4. Insufficient public notice was given; and
5. Alteration of the review process was detrimental to the applicant.

Informal appeals in writing may be directed to the director within 15 days of the incident. All informal appeals shall be directed to the Director, Department of Cultural Affairs, Historical Building, 600 East Locust, Des Moines, Iowa 50319-0290. All informal appeals shall contain facts of the case, argument in favor of the appeal, and remedy sought.

The director shall consider and rule on the informal appeal after receiving all documentation from the appellant and shall notify the appellant in writing of the decision within 30 days. Decisions by the director may be appealed through the contested case process as set out in Iowa Code sections 17A.10 to 17A.19.

223—50.8(303) Emergency grants.

50.8(1) *Eligible applicants.*

a. Emergency grants may be awarded to any local political subdivision of the state, state agency, Indian tribe, individual or nonprofit organization that is duly authorized and charged with responsibilities for construction, maintenance and operation of historical sites, or to the owner of a historical site as defined in rule 50.2(303).

b. Emergency grants may be awarded for projects arising in counties for which a gubernatorial disaster emergency proclamation has been issued for natural disasters arising during the period of April 1, 2008, through June 30, 2008.

50.8(2) *Eligible projects.* Emergency grants may be awarded to projects for emergency stabilization of historical sites. All emergency grant projects shall meet the U.S. Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation.

50.8(3) *Grant amount.* Any application requesting less than \$1,000 in grant funds or more than \$50,000 in grant funds shall not be considered.

50.8(4) *Application deadline.* Applications (one original and four copies) will be received on a continuous basis and will be reviewed monthly.

50.8(5) *Review panel.* A review and selection panel, hereinafter referred to as the review panel, comprised of four members appointed by the administrator, shall review and evaluate emergency project applications and shall develop funding recommendations to be forwarded to the administrator of the historical division for approval.

50.8(6) *Application rating system.* The review panel shall apply a numerical rating system to each grant application that is considered for funding assistance. The criteria shall include all of the following:

a. The emergency status of the project as evaluated against the definition of emergency in rule 50.2(303) and eligibility criteria identified in subrule 50.8(1);

b. The historical or cultural significance of the project and the degree to which the project is of regional, state, or national significance;

c. The quality of the plans to stabilize the historical resource;

d. The degree to which the budget is reasonable and appropriate for the project; and

e. The degree to which the applicant demonstrates a commitment to the future viability of the resource by planning for the ongoing operation and maintenance of the project following stabilization.

These rules are intended to implement Iowa Code sections 303.1A and 303.2.

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CHAPTERS 51 to 54
Reserved

TITLE VII
Terrace Hill

CHAPTERS 55 to 57
Reserved