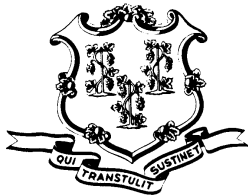


Office of the Public Records Administrator



Competitive Grants: Application and Guidelines

FY 2010

Historic Documents Preservation Grant Program

Connecticut State Library
Hartford, Connecticut
January 1, 2009

PUBLIC RECORDS ADMINISTRATOR
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STATE ARCHIVIST
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PUBLIC RECORDS GRANT PROGRAM SPECIALIST
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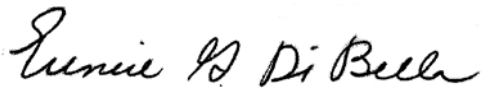
I. Introduction

The impact of the decline in the housing market, and the recession that followed have had a direct impact on the Historic Documents Preservation Account. For the first four years after the account was established, the real estate and refinancing markets in Connecticut were strong. Since 2005 things have changed, and activity in both housing sales and refinancing began to decrease. Initially, this was considered to be a return to a normal market after a period of extreme growth. Now we are at a very low point in both housing sales and refinancing as the economy has slowed and the availability of credit has tightened. As a result, our revenue stream is at an all time low, and the reserves in the fund that we built up in the early years are steadily declining.

We have evaluated the status of the fund, along with income projections, and determined that we need to adjust downward in the grant levels for FY2010. The targeted grant program will still make awards based on population in the amounts of \$5,000, \$10,000, and \$15,000. We will continue to offer competitive grants, but the amount of money that we will set aside has been cut from \$500,000 to \$250,000. The maximum award continues to be \$50,000. This means that we will be able to award approximately five competitive grants. We will still offer disaster recovery grants up to a maximum of \$10,000, depending on the availability of funds.

None of us is able to predict when the American economy and the economic conditions in Connecticut will improve, but we are all hoping for a positive change. What we have learned is that we need to be flexible in these difficult times, and adjust our goals to reflect the reality that we are currently facing.

The grant staff and I look forward to working with you during FY 2010, and as always, encourage you to apply for an Historic Documents Preservation Grant and to attend our grant training workshop in January.



Eunice G. DiBella, CRM
Public Records Administrator
January 1, 2009

II. Program Scope

Sections 11-8i through 11-8n of the *Connecticut General Statutes* authorize the creation of a dedicated fund and a grant program utilizing that fund to enhance or improve the preservation and management of historic documents.

The statute imposes an additional fee of three dollars for the recording of land records, including deeds and mortgages. The Historic Documents Preservation Account is comprised of the two dollars from this fee that the town clerks forward to the State Library. The Office of the Public Records Administrator oversees this account and administers the grant program for Connecticut's municipalities to help them enhance or improve the preservation and management of their records as well as to provide training and technical assistance.

The Historic Documents Preservation Program offers three types of grants: Targeted Grants, Competitive Grants, and Disaster Recovery Grants. The State Library awards these grants based on pre-established areas of greatest need as determined by the Public Records Administrator.

Targeted Grants focus on records at the department or office level. All municipalities in good standing that submit a properly completed application for an eligible project by the appropriate deadline are eligible to receive a Targeted Grant from the fund.

Competitive Grants concentrate on records above the individual department or office level and are awarded based on the merits of the application.

Disaster Recovery Grants are available to help defray records recovery costs not covered by insurance in the event of a natural or man-made disaster.

This booklet outlines the policies and procedures that govern the Competitive Grant program and includes the application and final report forms. The guidelines and forms for the Targeted Grants and the Disaster Recovery Grants are available separately. All grant information is available online at www.cslib.org/publicrecords/histdoc/grantforms.htm.

The total amount of funds available for grants depends on the number of documents recorded the previous year. This amount will vary with the state of the economy, which in turn affects housing sales and thus the recording of deeds and mortgages, and cannot be predicted with certainty. Targeted Grants will receive priority funding from the program. In the event that there is insufficient funding in any given year for both Targeted and Competitive Grants, only Targeted Grants will be offered. The amount of Competitive Grant funds available for FY2010 is \$250,000.

Any municipality that meets the eligibility requirements, and submits a properly completed application for an eligible project by the deadline, will be considered for a grant based on the merits of the application. Well conceived, fully described and adequately supported projects will receive the most favorable review.

The State Library encourages local government officials to attend the grant training workshops offered periodically by the grant program staff or as part of the Town Clerks School or Town Clerks Association meetings. In addition, the State Library staff is available to provide technical advice to potential applicants before the application deadline.

III. Competitive Grants Time Table

January 1, 2009	Grant application materials available to town officials by this date.
January 14, 2009	Grant Application Workshop. This training is mandatory for Competitive Grant applicants unless the applicant has attended the workshop in the prior two years.
February 15, 2009	Postmark Deadline for submitting the interim <i>Competitive Grant Application</i> for staff review.
March 31, 2009	Postmark Deadline for submitting the final <i>Competitive Grant Application</i> .
April 15, 2009	Applications sent to independent reviewers.
May 15, 2009	Independent reviewers submit recommendations to the Public Records Administrator.
July 31, 2009	Competitive Grant award notifications mailed by this date. After receiving notification, the municipality must promptly submit the <i>Contract, Certified Resolution Form</i> and <i>Nondiscrimination Certification Form</i> .
April 30, 2010	Postmark Deadline for submitting a <i>Competitive Grant Amendment</i> to request a change to your vendor, work plan, or budget line items, or a deadline extension; you must notify the office by this date and obtain approval and an amended contract before proceeding.
June 30, 2010	Completion Deadline. Grant projects must be completed and grant funds must be expended by this date.
September 1, 2010	Receipt Deadline for the <i>Project Evaluation/Expenditure Report</i> . Grantees are encouraged to submit this report immediately upon the completion of their grant, that is, June 30 or earlier. Note that reports should be postmarked no later than August 20 to ensure receipt at the State Library by the deadline.

IV. Eligibility Requirements

All municipalities in good standing that have completed an approved planning survey and attended a competitive grant training workshop in the current or prior two years may apply for a Competitive Grant.

The State Library will not award more than one Competitive Grant to a municipality per fiscal year. A town may not receive a Competitive Grant and a Targeted Grant in the same grant year. If a Competitive Grant application is denied, however, the municipality will be encouraged to apply for a Targeted Grant in Cycle 2 of the same year. A town that applies for a Disaster Recovery Grant remains eligible to apply for a Targeted or Competitive Grant.

A municipality is in good standing provided that:

- 1) The municipality has submitted the required *Monthly Document Recording Reports* (GP-005 rev.) with the appropriate payments to the State Library.
- 2) The municipality has met all requirements for any past grant it has received from the program.

Any municipality that is more than two consecutive months behind in its monthly filings or has outstanding obligations for any previous grant is ineligible to apply for a grant until all requirements have been met.

In addition, the State Library's Fiscal Unit will not release grant funds to a municipality that fails to file the required monthly reports after a grant has been awarded.

V. Funding Levels

While Targeted Grants are based upon a town's population as of the latest published U.S. Census figures, the Competitive Grants are capped at **\$50,000** for every municipality. A Competitive Grant must be more than the maximum amount allowed for a Targeted Grant, which is for this grant year: **\$5,000** for a Small Municipality (population less than 25,000); **\$10,000** for a Medium Municipality (population between 25,000 and 99,999); **\$15,000** for a Large Municipality (population 100,000 or greater).

VI. Funding Priorities

The State Library established its funding priorities for the Competitive Grants based on a thorough analysis of previous Preservation and Records Management Surveys funded under the Targeted Grant program. Based on these surveys the areas of greatest need are:

- Development of formal town-wide or multi-office cooperative records management programs, particularly for paper records.
- Management and care of permanent, archival, and historical records on a town-wide or multi-office cooperative basis.

VII. Grant Categories and Projects

1. *Records Management*

Records management projects at the competitive level should demonstrate a solid long-term commitment by the town's administration and management to significantly improve record keeping, file management, retention scheduling, disaster readiness and/or storage systems.

The project may either address the town as a whole or a group of related departments that share information, with the intent of expanding the program to other departments in the future.

An eligible project must establish priorities, standards, guidelines and procedures to systematically manage records regardless of form or format and must include the creation of a permanent records management committee, if one does not already exist. In order to deal effectively with the complexities of electronic records management, a town must have good control over its existing paper records and filing systems.

There are three phases of program development:

- **Creation of a Basic Records Management Program:** Includes appointing a permanent Records Management Committee; conducting a systematic records inventory; implementing the municipal records retention schedules; disposition of non-record materials and records past their established retention periods; and development of official records management policies and procedures, as outlined in a previously completed records management survey.
- **Development of an Approved Centralized Records Center:** Includes space planning for current and future needs; facility set up; records transfer; development of operational policies and procedures; and establishment of appropriate administrative oversight. The facility may be off-site, but must be in an approved town-operated facility.
- **Creation of a Town Records Disaster Plan:** Includes identification of existing risks and proposed methods of remediation; provides policies and procedures for damage assessment, disaster recovery and post-disaster evaluation; and reflects specific town needs and responses to various types of possible disasters. The project should identify and prioritize "vital" or critical operational records as well as historical records; establish policies and procedures for building maintenance and security; verify the effectiveness of existing document backup systems regardless of format; establish a schedule for reviewing and updating the plan; and provide for staff training. This plan should become part of any other town emergency planning document.

2. *Archival Management*

In order to protect the permanent and/or historically significant records within the town, the town must identify such records and address their special needs. Archival management projects at the competitive level should demonstrate a solid long-term commitment by the town's administration and management to the care and preservation of the town's documentary heritage.

- **Development of an Historic Records Inventory and Preservation Plan:** Includes a detailed town-wide inventory of public records collections having unique and intrinsic historical value and generally dating earlier than 1920; analysis of any past conservation treatments and recommendations for reversing any damaging treatments; and recommendations regarding preservation and treatment options for the records. The plan should prioritize the collections and address both preservation and access needs.

- **Organization of Historical Records:** Includes improvements to the arrangement and storage of records collections having unique and intrinsic historical value to the town as a whole and generally dating earlier than 1920. This project may include rehousing the records in appropriate archival containers; relocating them to a more appropriate facility, if necessary; and creating a detailed inventory or guide to the records to allow better access for staff and the public. This project may not include conservation treatments, which are funded through the Targeted Grant program.

VIII. Specific Project Information

1. Microfilming Projects

The municipality is responsible for ensuring that the selected vendor's microfilm operation meets the standards and specifications of *General Letter 96-2 (rev.): Required Minimum Microfilming Standards for Public Records* (online at www.cslib.org/publicrecords/opraforms.htm). The municipality must submit a *Certificate of Compliance* to the Public Records Administrator, signed by representatives of the municipality and the vendor. Each roll of microfilm must include a *Records Certification* signed by a representative of the municipality.

2. Imaging Projects

The municipality is responsible for ensuring that the selected vendor's imaging operation meets the standards and specifications of *General Letter 2001-1, Standards for the Use of Imaging Technology for Storage, Retrieval, and Disposition of Public Records* (online at www.cslib.org/publicrecords/opraforms.htm). The municipality must submit a *Certificate of Compliance* to the Public Records Administrator, signed by representatives of the municipality and the vendor.

3. HVAC Projects

A town may include the installation or upgrade of a vault HVAC system as one element of a larger Competitive Grant project. A town may apply for funds to cover up to 50% of the cost to install or upgrade a vault HVAC system, up to the town's maximum Targeted Grant amount. The town must meet the following prerequisites before submitting the application:

- 1) The town must complete twelve months of temperature and humidity monitoring in the vault, using one of these two options:
 - a. Use a digital min/max thermohygrometer or datalogger to collect daily minimum and maximum readings for temperature and humidity. Readings must be documented in written logs or printed reports.
 - b. Obtain an environmental monitoring survey, which includes daily readings as well as professional analysis and reporting. This option is highly recommended as it will provide more complete and accurate data for use in determining system requirements and improvements.
- 2) The town must hire an approved licensed engineer to assess the vault, reviewing the full year of monitoring data and any other relevant factors, and submit a report with recommendations

for improving the environment, which may or may not include an upgraded or new HVAC system. If this assessment does not support installation of an upgraded or new HVAC system, the project will not be eligible for grant funding.

- 3) The town must submit the plans for installation of an upgraded or new system, which must meet vault regulations, to the Public Records Administrator and must receive approval before submitting the project as part of a grant application.

As stated above, a town must cover at least 50% of the cost of its HVAC project. It may apply for grant funds to cover up to 50% of the cost, up to the town's maximum Targeted Grant amount. For example, a small town is eligible for a maximum Targeted Grant of \$5,000. If the proposed HVAC project cost \$6,000, it would apply for \$3,000 in grant funds and pay \$3,000 from local funds. If the project cost \$18,000, it would apply for \$5,000 in grant funds and pay \$13,000 from local funds.

The monitoring equipment, environmental survey and facility assessment described here as prerequisites are eligible for funding under Targeted Grants.

IX. Allowable Expenses

1. Eligible Expenses

A. Consultants/Vendors

For consulting and conservation services, the municipality may only use vendors that have been approved by the Public Records Administrator, as indicated on the *Approved Vendors List*, available from the Grants Office on request.

For all other services, the municipality must use vendors that are appropriate and qualified to perform the proposed services. The application must include sufficient information regarding the vendor. For convenience in locating vendors, a *Vendor Directory* is available from the Grants Office on request. The *Vendor Directory* does not indicate prior approval, nor is a municipality required to choose a vendor from this list.

It is the responsibility of the town to oversee all vendor work and to ensure that any problems are rectified. Inclusion of vendors on either the *Approved Vendors List* or *Vendor Directory* does not guarantee the professionalism of vendors nor the quality of their products or services. Report any problems to the Public Records Administrator.

B. Equipment

The following types of equipment are eligible expenditures if they are directly related to the proposed project. Normal office equipment and furniture is the responsibility of the town (see "*Ineligible Expenses*").

- Storage equipment such as map cabinets, open shelving systems, or other storage units that meet current records management and archival standards.
- Computers and software to be used exclusively for indexing and/or records retrieval.
- Environmental monitoring equipment such as hygrothermographs or data loggers.
- HVAC systems (see "*HVAC Projects*").
- HEPA (high efficiency particulate air) filter vacuum for cleaning records storage areas.
- Microfilm reader or reader/printer as part of a preservation-microfilming project (to conduct quality control tests).
- Photoluminescent safety strips and signage for vaults (also called "glow strips").

C. Supplies

Archival supplies are eligible expenditures if they are directly related to the proposed project. These include but are not limited to: alkaline (acid-free) supplies; cubic-foot records storage cartons; archival PIGMA Micron Pens; REACT•PAKS™ or other similar disaster recovery supplies; and appropriate reference books. Refer to archival product catalogs (such as those from Brodart, Gaylord, Hollinger Corporation, Light Impressions, or University Products) for additional examples of appropriate supplies and materials.

D. Town Personnel Costs

Base pay for temporary help or for additional hours for existing staff to work on a grant project is an eligible expense. The grant application must indicate the exact hours and duties that temporary or existing staff will devote to the grant project. Grant funds may not supplant funding

for regular job duties as found in the employee's job description. The town is responsible for any additional payments for overtime, employee benefits, and applicable payroll taxes.

E. Printing

Printing costs for copies of any consultant or vendor reports produced as part of the project, such as planning surveys and policy and procedure manuals, are eligible expenses.

Note: In many cases, municipalities are eligible to purchase items available on state contract at the discounted contract price. The Department of Administrative Services, State of Connecticut, maintains a list of contracts that may be available to municipalities. For further information, see www.das.state.ct.us/ and www.cslib.org/publicrecords/twnclrkres.htm.

2. Ineligible Expenses

The following items are ineligible for funding through Competitive Grants. They include but are not limited to:

- Projects already completed.
- Project expenses incurred prior to start of the contract period, that is, prior to July 1, 2009, and the municipality's receipt of its copy of the signed contract.
- Project expenses incurred after the end of the contract period, June 30, 2010.
- Vendors, equipment, or procedures not acceptable to the Public Records Administrator.
- Office furniture and equipment, such as desks, chairs, work stations or other items used for routine office activities.
- Office supplies, such as pens, pencils, printer toner, or other routine office supplies.
- Personnel costs for non-grant work.
- Hospitality expenses.
- Prizes/awards.

The following items are also ineligible for funding through the Competitive Grants. However, if they are related to the proposed project, town funds spent on these items may be noted in the application as in-kind contributions:

- Construction or renovation of facilities, except for the installation or upgrade of vault HVAC systems (see "*HVAC Projects*").
- Purchase or leasing of land or facilities.
- Leasing costs for services, equipment, software or other items that are part of the town's ongoing operating expenses. (Note: Leasing costs are permitted for projects with a fixed end date and for new installations of electronic land recording systems, not to exceed the first year of system expenses.)

X. Grant Application and Award Process

1. Grant Review Criteria

Each grant application will be evaluated based on how well it meets the following five criteria. The independent reviewers will assign a score of 1 through 20 for each criterion, with a maximum score of 100.

- 1) The overall soundness of the work plan, including its timetable and the appropriateness of the techniques to be used.
- 2) The qualifications or appropriateness of personnel and/or consultants working on the project.
- 3) The appropriateness of the budget for the proposed work plan.
- 4) The potential of the project to develop or enhance the management or preservation of town records, rather than merely supporting the current level of these activities.
- 5) The amount of in-kind support for the project, including but not limited to town funds, existing staff hours and/or other town resources contributed to the project.

2. Submitting the Application

A. Interim Application

Applicants submit a draft of their application for State Library staff review, **postmarked by February 15, 2009**. Complete the draft using the proper forms and attached pages, including the detailed budget and narrative. The signatures of the Municipal Chief Executive Officer (MCEO) and/or Town Clerk are not required for this submission.

Applications are submitted to LeAnn Power, Public Records Grant Program Specialist, Connecticut State Library, 231 Capitol Ave., Hartford, CT 06106. Questions regarding grant projects and applications should be directed to her at lpower@cslib.org or (860) 566-1100 ext. 301.

After receiving the application, the State Library staff will provide assistance in correcting technical errors as well as in improving the application's presentation.

B. Final Application

Applicants submit the final version of their application with appropriate signatures, **postmarked by March 31, 2009**. The town is responsible for meeting eligibility requirements and submitting a complete and correct application by the deadline.

The State Library staff makes its final review for technical merit, including timely submission and eligibility, and forwards the applications to independent reviewers by April 15, 2009.

Members of the State Historical Records Advisory Board independently review the grant applications by May 15, 2009. Each reviewer recommends one of the following five actions concerning each application to the Public Records Administrator:

- Fund
- Partially fund
- Conditionally fund

- Return for project revision and resubmission in a future grant year
- Reject

The Public Records Administrator reviews the recommendations and makes the final decision regarding each application.

The State Library will notify the applicant by mail of its final decision on or before **July 31, 2009**.

3. Submitting the Grant Contract and Certifications

Upon receiving notice that the grant application has been approved, the municipality must enter into a contract with the State Library. Along with the award letter, the municipality will receive the following three documents and detailed instructions for their completion and return: *Contract*, *Certified Resolution Form*, and *Nondiscrimination Certification Form*.

In brief, the MCEO must sign and date the *Contract*. The Town Clerk must prepare the *Certified Resolution Form*, authorizing the MCEO to enter into a contract with the State Library, and the *Nondiscrimination Certification Form*. These three documents must be returned **promptly** to Sheila K. Mosman, Grants and Contracts Manager, Connecticut State Library, Fiscal Office, 231 Capitol Avenue, Hartford, CT 06106. Any questions regarding the contracting process should be directed to her at smosman@cslib.org, (860) 424-3750 (M/W/F) or (800) 571-5443 (T/TH).

Note that the two certifications cannot be prepared in advance, as they must be certified (signed) after the MCEO has signed the grant contract. However, should the town wish to bring the resolutions to council before receiving the forms and instructions in the mail, they should check the required wording. The required wording for each resolution can be found in bold print on the *Certified Resolution* and *Nondiscrimination Certification Forms*, which are available online at www.cslib.org/publicrecords/histdoc/grantforms.htm.

If the *Contract*, *Certified Resolution Form*, and *Nondiscrimination Certification Form* are not returned by the municipality in a timely fashion, the municipality may forfeit its grant due to insufficient time for contract processing and grant project completion by June 30, 2010.

4. Grant Start Date

After the municipality returns the signed contract and two certifications, the State Librarian and a representative of the Attorney General will sign the contract and the State Library will then return a copy to the grantee.

Grant work and expenditures may not begin until the start of the contract period, July 1, 2009, and only after the grantee receives its copy of the signed contract from the State Library. It is not necessary to have received the grant check before beginning.

5. Receipt of Grant Funds

The State Library will make payment on grant awards according to the terms/conditions stated in the grant contract. The grantee should receive a check within 30 days of receiving the copy of the signed contract. A grantee who has not received a check after 30 days should contact Sheila K. Mosman, Grants and Contracts Manager, as soon as possible, at smosman@cslib.org, (860) 424-3750 (M/W/F) or (800) 571-5443 (T/TH).

XI. Grant Administration Requirements

1. General Requirements

Grantees must conduct projects in accordance with the work plan and budget outlined in the approved application; the grant guidelines; and the grant contract.

The State Library expects each project to substantially meet the objectives outlined in the application and to adhere to the provisions of the grant guidelines and contract.

2. Project Changes, Budget Changes, and Deadline Extensions

Changes to the grant project or budget may not be made without prior approval. Contact the Grants Office immediately regarding any potential change to the vendor, work plan, or budget line items (except for budget reallocations of less than 10% of the grant award). Significant changes to the project's purpose, methodology or budget will require the submission of a *Competitive Grant Amendment*.

Budget reallocations of up to 10% of the grant award do not require prior approval. Funds may be reallocated among existing approved line items or transferred to the supplies or equipment lines for the purchase of eligible supplies or equipment. For example, a town receiving a \$50,000 grant would not require prior approval to adjust any existing line item in its approved budget by \$5,000 or less. Reallocation of more than \$5,000 would require the submission of a *Competitive Grant Amendment*.

An extension to the June 30 deadline will not be given except in the most extenuating circumstances beyond the town's control. Contact the Grants Office immediately if there is any difficulty that may affect the town's ability to meet the June 30 deadline. A request for an extension will require the submission of a *Competitive Grant Amendment*.

To request a significant change or an extension, a *Competitive Grant Amendment* must be submitted to the Grants Office no later than April 30, 2010. If this amendment is approved by the Public Records Administrator, the town will receive a *Grant Contract Amendment*. The town must then submit the *Grant Contract Amendment*, signed by the MCEO, and an updated *Certified Resolution Form* and *Nondiscrimination Certification Form*, prepared by the Town Clerk, to the Contracts Office no later than **May 31, 2010**. The town will receive a copy of the *Grant Contract Amendment* after it is signed by the State Librarian and a representative of the Attorney General.

Inquiries regarding changes, extensions and/or amendments should be directed to LeAnn Power, Public Records Grant Program Specialist, at lpower@cslib.org or (860) 566-1100 ext. 301.

3. Grant Completion Deadline

Grant projects must be completed and funds expended by the end of the contract period, June 30, 2010. "Expended" means that the funds have been spent or encumbered by the submission of a valid purchase order by June 30, 2010.

It is imperative that applicants design a realistic work plan and have good communication with their vendors.

4. Return of Unexpended Funds

Funds remaining unexpended after June 30, 2010, must be returned with the *Project Evaluation/Expenditure Report*. If you become aware of any issues or problems that could prevent you from expending your full grant by the deadline, please contact the Grants Office immediately for assistance in determining whether the issue can be resolved before June 30.

5. Project Evaluation/Expenditure Report

The *Project Evaluation/Expenditure Report* must be submitted for receipt at the State Library by September 1, 2010. Grantees are encouraged to submit the form immediately upon the completion of their grants (that is, June 30 or earlier). Note that the form should be postmarked no later than August 20, to ensure **receipt** at the State Library by the deadline. The form and detailed instructions are included in this booklet and are also available online at www.cslib.org/publicrecords/histdoc/grantforms.htm.

The expenditure section documents the final expenses for the project. The narrative section of the report summarizes the project's success at meeting its objectives and evaluates its impact on the municipality. The MCEO or the Town Clerk, if the designated applicant, must sign and date the report. This report must include a copy of any consultant reports produced as part of the project, such as planning surveys and policy and procedure manuals.

Grantees must return any money not expended as of June 30, 2010, to the Connecticut State Library together with the report. Checks must be made out to "Connecticut State Library" and rounded to the nearest dollar.

The form and any required enclosures are submitted to LeAnn Power, Public Records Grant Program Specialist, Connecticut State Library, 231 Capitol Avenue, Hartford, CT 06106.

Failure to submit a completed *Project Evaluation/Expenditure Report* for receipt by the deadline may result in termination of the grant and the requirement that the town return the full grant amount, as well as loss of eligibility for the next grant cycle.

Grantees must notify the Office of the Public Records Administrator immediately if difficulties arise that could affect the timely submission of the *Project Evaluation/Expenditure Report*, as there is no statutory provision for extension of the filing deadline.

XII. Contact Information

1. Regarding Grants, Including Applications, Amendments & Final Reports

LeAnn Power

Phone: (860) 566-1100 ext. 301

Public Records Grant Program Specialist

Fax: (860) 566-1118

Connecticut State Library

Email: lpower@cslib.org

231 Capitol Avenue

Hartford, CT 06106

2. Regarding Contracts, Including Certifications & Payments

Sheila K. Mosman

Phone: (860) 424-3750 (M/W/F)

Grants and Contracts Manager

(800) 571-5443 (T/TH)

Connecticut State Library, Fiscal Office

Fax: (860) 424-3920

231 Capitol Avenue

Email: smosman@cslib.org

Hartford, CT 06106

XIII. Application: Instructions and Form

Either complete this form online at www.cslib.org/publicrecords/histdoc/grantforms.htm, where a copy of the form can be saved, filled in and printed for submission, or use a typewriter. Signatures must be in black or blue ink. Do not staple the pages; please use paperclips.

Please note the following instructions:

Cover Page

Name of Municipality: Please use the format “Town of ____” or “City of ____.”

Title and Name of Municipal Chief Executive Officer: Provide the appropriate statutory title for the head of the local government (e.g., Mayor, First Selectman).

Designated Applicant Checkbox: If the municipal chief executive officer chooses to appoint the town clerk as the applicant for the grant (as indicated on the second page of the application), check this box.

Phone, FAX: Please include area codes.

Grant Category: Check the box to the right of the appropriate grant category, as described in Section VII of the *Guidelines*.

Total Grant Funds Requested: The amount requested must be more than the municipality’s Targeted Grant level and may not exceed \$50,000. This number should match the total of “Column A” in the Budget Summary.

Application Summary: This is a single paragraph describing the proposed project including what records and activities the project involves, who will be involved and how it will be accomplished. This summary provides the reviewers with their first impression of the proposed project. It is highly recommended that applicants compose this paragraph only **after** completing the other sections of the application.

Budget Summary: Transcribe the section totals from the Detailed Grant Project Budget. Total the lines across and down.

Designation of Town Clerk as Applicant: The MCEO completes this section only if designating the Town Clerk as the applicant.

Certification of Application: The applicant signs this certification. If the Town Clerk has been designated as the applicant, the Town Clerk signs. If not, the MCEO signs.

Grant Project Description Page

Name and Title of Project Supervisor: The Project Supervisor is the town employee who will be overseeing the project.

Date Grant Training Attended: Enter the date that either the MCEO, Town Clerk or other approved individual attended a competitive grant training session presented by the grant staff.

Narrative Description: The narrative is the most critical part of any application. Be as clear and as precise as possible. The responses should reflect the town’s unique situation, specific problems, and proposed solutions.

Answer all the questions listed in the section and in the same order. Failure to answer any question will result in the application being disqualified. Include the number/letter and full text of each question before each answer. Provide as much detail as possible, in your own words. Simply referring to an attached vendor’s prospectus will not be sufficient.

Include the town name at the top left of the page and the page number on the upper right of all additional sheets. Place the additional sheets immediately after this page and before the Detailed Grant Project Budget page.

Detailed Grant Project Budget Page

Itemize all costs for each of the four budget areas: consultant and/or vendor services, equipment and/or supplies, town personnel costs, and in-kind contributions made by the town toward the project. Use whole dollar amounts only; round all figures to the higher dollar amount.

Do not list items that have no grant funding in Sections 1 through 3. Items paid for solely by the town are In-kind Contributions and listed in Section 4.

Be careful to list personnel costs in the appropriate section(s). Expenses for *temporary staff* or for *additional hours for existing staff* to work on the grant project are listed in Section 3, Town Personnel Costs. The value of *regular staff hours dedicated to the project* should be listed in Section 4, In-Kind Contributions. *Consultant/vendor personnel costs* should be listed under Section 1, Consultant/Vendors.

Separate costs by grant funds and town funds for each budget item in the appropriate section. All figures must be totaled across each row and down each column. If there are more items in a section than available space, check the appropriate box on the bottom line of the section and use another copy of the budget form; if using more than one form, enter the full amount for the section on the total line of the second page. Attach copies of any vendor quotes. Eligible and ineligible expenses are described in the *Guidelines*.

Consultant(s)/Vendor(s): Enter the name of any consultants or vendors who will be working on the project. Briefly describe the service to be provided.

Equipment/Supplies: List all eligible equipment and supplies to be purchased for the project. Include the supplier, the product, and the quantity and unit cost (if applicable).

Town Personnel Costs: If a town is applying for funds for additional temporary help or for additional hours for existing staff to work on a grant project, list the base pay under the grant and any overtime, benefits, or payroll tax costs under local funds.

In-Kind Contributions: This may include town funds, existing staff hours and/or other town resources contributed to the project. List any items that will be paid for entirely with town funds. List the value of any regular staff hours to be dedicated to the project; in the description, include the estimated number of hours and the hourly rate for each individual listed, and multiply these numbers to determine the values to be entered in the third column. List any existing town resources that the town plans to make available for the grant project and provide the estimated value. Applications with a greater percentage of town support will receive greater consideration; town support includes local funds listed in any of the budget sections and in-kind contributions listed in this section.

Mailing Address

Submit applications to: LeAnn Power, Public Records Grant Program Specialist, Connecticut State Library, 231 Capitol Avenue, Hartford, CT 06106.

APPLICATION
COMPETITIVE GRANT FY 2010
 Historic Documents Preservation Program
 Connecticut Municipalities
 GP-001C (rev. 12/08)



STATE OF CONNECTICUT
 Connecticut State Library
 PUBLIC RECORDS ADMINISTRATOR
 231 Capitol Ave., Hartford, CT 06106

This form may be completed and printed for submission at www.cslib.org/publicrecords/histdoc/grantforms.htm.

Name of Municipality:		
Title and Name of Municipal CEO:		
Phone:	FAX:	Email:
Name of Town Clerk:	Check if Designated Applicant <input type="checkbox"/>	
Phone:	FAX:	Email:
Mailing Address:		

Grant Contract Period: The grant period begins after July 1, 2009 AND receipt of the signed contract. Grant projects must be completed and funds expended by June 30, 2010.

Grant Category (check one): Records Management Archival Management

Total Grant Funds Requested: \$ _____

Application Summary

Provide a **one-paragraph** summary of the proposed project. Use only this space and no less than 10 pt. font.

Budget Summary

Transcribe section totals from the Detailed Grant Project Budget.

Line Items	Grant Funds (A)	Local Funds (B)	Total Funds (A+B)
1. Consultant(s)/Vendor(s)	\$	\$	\$
2. Equipment/Supplies	\$	\$	\$
3. Town Personnel Costs	\$	\$	\$
4. In-kind Contribution(s)	\$	\$	\$
TOTAL	\$	\$	\$

Designation of Town Clerk as Applicant

This section to be completed only if the MCEO wishes to designate the Town Clerk to make the application for the grant.

I hereby designate, _____, the Town Clerk, as the agent for making the above application.

Signature of MCEO

Date

Typed Name and Title of MCEO

Certification of Application

This section must be signed by the applicant.

If the Town Clerk has been designated above, the Town Clerk must sign. If the Town Clerk is not designated, the MCEO must sign.

I hereby certify that the statements contained in this application are true and that all eligibility requirements as outlined in the *FY 2010 Competitive Grant Guidelines* have been met.

Signature of Applicant (MCEO or Town Clerk if Designated)

Date (must be same as or later than above date)

Typed Name and Title of Applicant

State Library Use Only

Grant Disposition:

Approved
Denied

Grant Award: \$ _____

Grant Number: _____

Signature of Public Records Administrator

Date

Grant Project Description

Name and Title of Project Supervisor:

Department:

Phone:

FAX:

Email:

Planning Survey(s) Completed (check all that apply):

Preservation Survey

Disaster Preparedness Survey

Records Management Survey

Facilities Assessment Survey

Date Town Clerk, MCEO or other approved staff attended grant training (mm/dd/yyyy):

Project Category:

Records Management

Establish town-wide or multi-department records management program

Establish centralized records storage center

Create a town-wide disaster records recovery plan

Archival Management

Conduct an historic records inventory and create a preservation plan

Organize historical records and write a user guide

Project Format:

Will more than one department/office be involved in the project? Yes No

If yes, please list them:

Narrative Description:

On as many additional sheets as necessary, please answer each of the following questions¹.

1. Statement of Purpose.
 - a. Describe the specific records management or archival management issue(s) the project will address.
 - b. Explain why the issue(s) is (are) a priority.
2. Intended Results.
 - a. Explain how the project will resolve the above issue(s).
 - b. Describe how the project will benefit the town, the department(s)/office(s) and the specific records involved.
 - c. Explain how the project relates to and will advance the town's overall records management and/or archival management.
3. Work Plan².
 - a. Describe in detail the technique(s)/process(es) to be used and explain why they were selected over other options.
 - b. Provide a timetable for each phase of the project and an estimated date of completion. For each step of the project, include the time period, description of work, and person(s) responsible for doing the work.
4. Staffing.
 - a. Indicate which employee(s) will be involved in the project. Include job title(s), duties, estimated number of work hours and qualifications to work on the project. Describe any impact on present duties and how the town will mitigate the impact, if necessary.
 - b. Identify any vendors or consultants who will be working on the project. If not previously approved, attach document(s) supporting a company's qualifications to perform the proposed work or a resume for individual consultants.

¹ Failure to answer any question will result in disqualification. If the question appears not to apply, please contact the grant staff for assistance.

² Simply referring to an attached vendor prospectus is not acceptable.

Blank Page

Detailed Grant Project Budget

Enter whole amounts only. Round all figures to the higher dollar amount.

1. Consultant(s)/Vendor(s)

Vendor/Consultant	Service	Grant Funds (A)	Local Funds (B)	Total Funds (A+B)
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
Totals (Enter in the summary on p. 1)	Check if additional sheets attached <input type="checkbox"/>	\$	\$	\$

2. Equipment/Supplies

Vendor/Supplier	Product			Grant Funds (A)	Local Funds (B)	Total Funds (A+B)
	Description	Qty	Unit Cost			
				\$	\$	\$
				\$	\$	\$
				\$	\$	\$
				\$	\$	\$
				\$	\$	\$
				\$	\$	\$
				\$	\$	\$
				\$	\$	\$
				\$	\$	\$
Totals (Enter in the summary on p. 1)	Check if additional sheets attached <input type="checkbox"/>			\$	\$	\$

3. Town Personnel Costs³

Job Title	Job Duties/Pay Rate/Hours			Grant Funds ⁴ (A)	Local Funds (B)	Total Funds (A+B)
	Duties	Total Hours	Rate			
				\$	\$	\$
				\$	\$	\$
				\$	\$	\$
				\$	\$	\$
Totals (Enter in the summary on p. 1)	Check if additional sheets attached <input type="checkbox"/>			\$	\$	\$

4. In-kind Contribution(s)

Item	Purpose	Value in Local Funds
		\$
		\$
		\$
		\$
		\$
		\$
		\$
		\$
		\$
Totals (Enter in the summary on p. 1)	Check if additional sheets attached <input type="checkbox"/>	\$

³ Only list expenses for temporary staff or for additional hours for existing staff to work on the grant project in Section 3. The value of regular staff hours dedicated to the project should be listed in Section 4, In-Kind Contributions. Consultant/Vendor personnel costs should be listed under Section 1, Consultant/Vendors.

⁴ Shall only consist of base pay for personnel hired directly by the municipality.

XIV. Final Report: Instructions and Form

Either complete this form online at www.cslib.org/publicrecords/histdoc/grantforms.htm, where a copy of the form can be saved, filled in and printed for submission, or use a typewriter. Signatures must be in black or blue ink. If attaching additional pages, do not staple; please use paperclips.

Please note the following instructions:

- 1) **Name of Municipality:** Please use the format “Town of ____” or “City of ____.”
- 2) **Title and Name of Municipal Chief Executive Officer:** Include the appropriate statutory title for the head of the local government (e.g., Mayor, First Selectman).
- 3) **Designated Applicant Checkbox:** If the Municipal Chief Executive Officer appointed the Town Clerk as the applicant for the grant (as indicated on your application), check this box.
- 4) **Phone, FAX:** Please include area codes.
- 5) **Grant Award Number:** The grant award number can be found on your grant award letter and contract.
- 6) **Grant Cycle:** The cycle number can be found on your application.
- 7) **Grant Category(ies):** The grant category(ies) can be found on your application and contract.
- 8) **Expenditures:** Enter the amount spent for each line item. Amounts reported as expended must correspond with the amounts in the approved application budget. *Note:* Up to 10% of the total grant amount may be reallocated without prior approval. Funds may be reallocated among existing approved line items or transferred to the supplies or equipment lines for the purchase of eligible supplies or equipment, and must be expended by June 30, 2010. For further information, see Section XI of the *Guidelines*.
- 9) **Final Accounting:** Enter funds received, funds expended and any funds remaining unexpended (if none, enter “0”). For example, if you received a \$5,000 grant and expended the full amount, you would enter “\$5,000,” “\$5,000” and “0.” Grantees must return any funds not expended by June 30, 2010, to the Connecticut State Library with this report. Make checks payable to “Connecticut State Library.” Round off figures to the nearest dollar.
- 10) **Final Evaluation:** On the reverse side of the form or an attached page, answer the three questions, providing a narrative report about your grant. Please limit your evaluation to a maximum of two pages.
- 11) **Certification:** The grant applicant must sign and date the Certification. If the Town Clerk was designated by the MCEO (as indicated on the grant application), the Town Clerk must sign. If the Town Clerk was not designated, the MCEO must sign. If the individual who served as the applicant at the start of the grant has since left office, please note the change and have the individual currently holding that office sign the report. If not the designated applicant, the Town Clerk may prepare the form and sign it as the preparer.
- 12) **Mailing Instructions: The *Project Evaluation/Expenditure Report* must be submitted for receipt by September 1, 2010.** Grantees are encouraged to submit the form immediately upon the completion of their grants (that is, June 30 or earlier). Note that the form should be postmarked no later than August 20 to ensure receipt at the State Library by the deadline.

Failure to submit a completed *Project Evaluation/Expenditure Report* for receipt by the deadline may result in termination of the grant and the requirement that the town return the full grant amount, as well as loss of eligibility for the next grant cycle. Grantees must notify the

Office of the Public Records Administrator immediately if difficulties arise that could affect the timely completion of the *Project Evaluation/Expenditure Report*, as there is no statutory provision for extension of the filing deadline.

Include a copy of any consultant or vendor reports produced as part of the project, such as planning surveys and policy and procedure manuals (if applicable); a check for funds not expended by June 30, 2010, rounded to the nearest dollar, payable to “Connecticut State Library” (if applicable), and mail to: LeAnn Power, Public Records Grant Program Specialist, Connecticut State Library, 231 Capitol Avenue, Hartford, CT 06106.

**PROJECT EVALUATION/
EXPENDITURE REPORT
COMPETITIVE GRANT FY 2010**
Historic Documents Preservation Program
Connecticut Municipalities
GP-003C (rev. 12/08)



STATE OF CONNECTICUT
Connecticut State Library
PUBLIC RECORDS ADMINISTRATOR
231 Capitol Ave., Hartford, CT 06106

This form may be completed and printed for submission at www.cslib.org/publicrecords/histdoc/grantforms.htm.

I. Expenditure Report

A. Grant Award Information

Name of Municipality:		
Title and Name of Municipal CEO:		
Phone:	FAX:	Email:
Name of Town Clerk:		Check if Designated Applicant <input type="checkbox"/>
Phone:	FAX:	Email:
Mailing Address:		

Grant Award Number: _____

Grant Period: The grant period begins after July 1, 2009 AND receipt of the signed contract. Grant projects must be completed and funds expended by June 30, 2010.

Grant Category: Records Management Archival Management

B. Expenditures

	Expense Type	Grant Funds Expended (A)	Local Funds Expended (B)	Total Funds Expended (A+B)
1.	Consultant(s)/Vendor(s)	\$	\$	\$
2.	Equipment/Supplies	\$	\$	\$
3.	Town Personnel Costs	\$	\$	\$
4.	In-kind Contribution(s)	\$	\$	\$
5.	Other (please identify)	\$	\$	\$
	TOTAL	\$	\$	\$

C. Final Accounting

Grant Funds Received:	\$
Grant Funds Expended:	\$
Grant Funds Remaining Unexpended (if none, enter "0"):	\$

