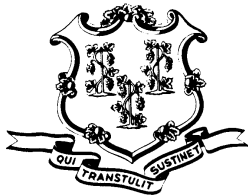


# Office of the Public Records Administrator



## **Targeted Grants:** Application and Guidelines

**FY 2010**

## Historic Documents Preservation Grant Program

Connecticut State Library  
Hartford, Connecticut  
January 1, 2009

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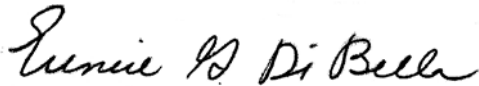
## I. Introduction

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 Targeted Grant program and includes the application and final report forms. The guidelines and forms for the Competitive Grants and the Disaster Recovery Grants are available separately. All grant information is available online at [www.cslib.org/publicrecords/histdoc/grantforms.htm](http://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 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 grant program staff is available to provide technical advice to potential applicants before the application deadline.

### III. Targeted Grants Time Table

<b>January 1, 2009</b>	Grant application materials available to town officials by this date.
<b>January 14, 2009</b>	Grant Application Workshop. Attendance is recommended.
<b>April 30, 2009</b>	<b>Postmark Deadline</b> for submitting a <i>Targeted Grant Application</i> for a Cycle 1 grant.
<b>July 31, 2009</b>	Cycle 1 award notifications mailed to town officials by this date. After receiving notification, the municipality must <b>promptly</b> submit the <i>Contract, Certified Resolution Form</i> and <i>Nondiscrimination Certification Form</i> .
<b>September 30, 2009</b>	<b>Postmark Deadline</b> for submitting a <i>Targeted Grant Application</i> for a Cycle 2 grant.
<b>December 31, 2009</b>	Cycle 2 award notifications mailed to town officials by this date. After receiving notification, the municipality must <b>promptly</b> submit the <i>Contract, Certified Resolution Form</i> and <i>Nondiscrimination Certification Form</i> .
<b>April 30, 2010</b>	<b>Postmark Deadline</b> for submitting a <i>Targeted 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.
<b>June 30, 2010</b>	<b>Completion Deadline.</b> Grant projects must be completed and grant funds must be expended by this date.
<b>September 1, 2010</b>	<b>Receipt Deadline</b> for the <i>Project Evaluation/Expenditure Report</i> . Grantees are encouraged to submit this report immediately upon completion of the 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 submit a properly completed application for an eligible project by the appropriate deadline are eligible to receive a Targeted Grant from the fund.

At this time, a municipality is eligible to apply for one Targeted or Competitive Grant per year. Any town that applies for a Disaster Recovery Grant remains eligible to apply for a Targeted or Competitive Grant in the same year.

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

The amount of a Targeted Grant award is determined by a town's population as of the latest published U.S. Census figures. For this grant year, the following maximum amounts will be distributed:

Small Municipality	Population less than 25,000	<b>\$ 5,000</b>
Medium Municipality	Population between 25,000 and 99,999	<b>\$10,000</b>
Large Municipality	Population 100,000 or over	<b>\$15,000</b>

## VI. Funding Priorities

For FY 2010, the following areas of need will receive priority funding:

- Assessment of current practices in the areas of preservation, records management, disaster preparedness, environmental control or facilities design, with recommendations for improvements.
- Increased public access to town records through improved physical order or indexes, updated records management software, or other information technology.
- Improved records management and/or historic preservation practices within a department or office.
- Improved records storage, maintenance and access through purchase of appropriate equipment.
- Preservation of historic documents (original, non-published records) through methods such as reformatting, microfilming, or conservation.

## VII. Grant Categories and Projects

Five project categories have been set in accordance with the funding priorities. These categories are designed to provide the greatest options for applicants. An applicant may request funding for one or more projects in one or more categories.

### 1. *Inventory and Planning*

Inventory and planning projects allow a town to conduct needs assessments in significant areas in order to create a framework for developing stronger records management or historic records preservation programs. The State Library strongly encourages towns to apply for one or more planning surveys as a basis for prioritizing and planning future grant projects. In addition, completion of a **records management, preservation, or disaster preparedness survey** serves as a pre-requisite for applying for a Competitive Grant. For municipalities considering future renovation or construction of vaults and records storage facilities, environmental monitoring surveys and/or facilities assessment surveys are strongly recommended. A list of approved consultants is available upon request.

Eligible projects include:

- A preservation survey to identify permanent/historic records and provide recommendations for a plan for care, preservation, and access.
- A records management survey to identify official records, conduct a records inventory and develop recommendations for a plan for active records management.
- A disaster preparedness survey to develop recommendations for a disaster preparedness and business recovery plan, including an inventory and quality check of the town's microfilmed records.
- An environmental control survey to monitor, evaluate and make recommendations concerning environmental conditions in vaults or other records storage areas or facilities.
- A facilities assessment survey to evaluate and make recommendations as part of the planning for renovation or construction of a building.

### 2. *Organization and Indexing*

Organization and indexing projects increase access to town records by improving physical order within a series or collection of records, by providing high quality indexing or correcting previous poor indexing of the records, or by providing computers or software for access to electronic records.

Eligible projects include:

- Improving access to a collection of historical or active public records through projects such as reindexing, scanning, backfile conversion, or codification.
- Organizing documents and creating finding aids/indexes to provide access to a collection of historical or active public records.
- Purchasing and using archival and/or records management software applications to manage and improve intellectual control and access to historical or active public records.
- Purchasing and using computers or other information technology products to manage and improve access to historical or active public records.

### **3. Program Development**

Program development projects advance the records management and/or historic preservation practices within a department or office. These projects generally implement recommendations given to the town in prior planning surveys (described above) and may be carried out with the assistance of an approved consultant.

Eligible projects include:

- Developing a records management plan for one or more departments.
- Creating and implementing records management, preservation, and/or disaster recovery policies and procedures.
- Improving records keeping and storage for one or more departments.
- Updating department level retention scheduling.
- Improving department level file management.

### **4. Storage and Facilities**

Storage and facilities projects improve the physical environment for public records. This category is for stand-alone purchases of equipment; if purchasing equipment as part of a project in another category, include the equipment purchases in that category. Construction and renovation of facilities are not eligible for grant funding, with the exception of installation or upgrade of HVAC systems for records vaults (see “*HVAC Projects*”).

Eligible projects include:

- Purchasing shelving, cabinets or other records storage equipment that meets current archival and records management standards.
- Purchasing environmental monitors, cleaning equipment, or other items that help improve records storage conditions, such as thermohygrometers, data loggers or HEPA (high efficiency particulate air) filter vacuums.
- Installing or upgrading a vault HVAC system (see “*HVAC Projects*”).

### **5. Preservation/Conservation**

Preservation/conservation projects prevent damage or remedy an existing problem for a specific record or group of records.

Eligible projects include:

- Microfilming and/or reformatting permanent records to improve security and/or access.
- Conserving unique and/or historically significant original records.
- Purchasing archival supplies, disaster kits or other preservation materials for municipal offices.
- Implementing recommendations made in preservation and/or disaster preparedness surveys to protect archival or public records.

## 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 Record* (online at [www.cslib.org/publicrecords/opraforms.htm](http://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](http://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 apply for a Targeted Grant 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 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 (and could request the remaining \$2,000 in grant funds for other projects). If the project cost \$18,000, it would apply for \$5,000 in grant funds and pay \$13,000 from local funds. Note that towns applying for Competitive Grants that include HVAC projects will be subject to the same limitations for funding, that is, 50% of the cost, up to the town's maximum Targeted Grant amount.

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

#### **4. Public Access to Electronic Indexing Systems**

As in past years, towns may apply for projects to provide public access to electronic indexing systems, including the purchase of public access computers or upgrading of their land record indexes.

As of January 1, 2009, all towns must provide public access to an electronic land record index. Per *Public Act 07-252*, Section 56, effective July 1, 2007, "Not later than January 1, 2009, each town shall provide public access to an electronic indexing system that combines the grantor index and the grantee index of the town's land records." Per Section 55, the definition of "preservation and management of historic documents" as given in *Connecticut General Statutes* Section 11-8j now includes "providing public access to an electronic indexing system that combines the grantor index and the grantee index of a town's land records."

If a town is not currently in compliance with these statutory requirements, it may not apply for grant funds towards any project except one that will enable it to meet these requirements.

## **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 or are appropriate stand-alone purchases under the Storage and Facilities category. 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 or are appropriate stand-alone purchases under the Preservation/Conservation category. 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/](http://www.das.state.ct.us/) and [www.cslib.org/publicrecords/twnclrkres.htm](http://www.cslib.org/publicrecords/twnclrkres.htm).

## **2. Ineligible Expenses**

The following items are ineligible for funding through Targeted Grants, even if directly related to the proposed project. Ineligible expenses 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.
- 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.)
- 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 items used for routine office activities.
- Personnel costs for non-grant work.
- Hospitality expenses.
- Prizes/awards.

## **X. Grant Application and Award Process**

### **1. Submitting the Application**

The grant application requires project and budget information, the signature of the Municipal Chief Executive Officer (MCEO), and if designated as the applicant, the signature of the Town Clerk. The application and detailed instructions are included in this booklet and are also available online at [www.cslib.org/publicrecords/histdoc/grantforms.htm](http://www.cslib.org/publicrecords/histdoc/grantforms.htm).

The application must be postmarked by **April 30, 2009** for consideration under **Cycle 1** or by **September 30, 2009** for consideration under **Cycle 2**.

The municipality is responsible for submitting a complete application in a timely manner and for ensuring that eligibility requirements have been met. Grant staff will review applications for eligibility.

The applicant will have fifteen business days after the application deadline to supply any additional information or submit changes requested by the grant staff, or the application will be deferred to the next grant cycle. Applicants are strongly encouraged to discuss any questions regarding their projects or their applications with the staff prior to the application deadline.

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](mailto:lpower@cslib.org) or (860) 566-1100 ext. 301.

The State Library will notify the applicant by mail of its final decision regarding the application on or before **July 31, 2009** for **Cycle 1** awards and on or before **December 31, 2009** for **Cycle 2** awards.

### **2. 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](mailto:smosman@cslib.org), (860) 424-3750 (M/W/F) or (800) 571-5443 (T/TH).

Note that the two certification forms 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](http://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.

### **3. 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.

### **4. 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](mailto: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 *Targeted 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 \$5,000 grant would not require prior approval to adjust any existing line item in its approved budget by \$500 or less. Reallocation of more than \$500 would require the submission of a *Targeted 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 *Targeted Grant Amendment*.

**To request a significant change or an extension, a *Targeted 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](mailto: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](http://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/or 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](mailto: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](mailto:smosman@cslib.org)

Hartford, CT 06106

### XIII. Application: Instructions and Form

Either complete this form online at [www.cslib.org/publicrecords/histdoc/grantforms.htm](http://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:

- 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 chooses to appoint the Town Clerk as the applicant for the grant (as indicated on the second page of the application), check this box.
- 4) **Phone, FAX:** Please include area codes.
- 5) **Amount Requested:** Not to exceed amount listed for the appropriate population level.
- 6) **Grant Category:** Check the box to the right of the appropriate category(ies), as described in Section VII of the *Guidelines*.
- 7) **Budget Summary:** List total consultant/vendor costs, equipment costs, supply costs, town personnel costs, and printing costs by the amount of grant funds requested and town funds to be used (if any). Total the lines across and down. If you are 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 additional benefits cost under the town. *Note:* Applicants may include additional eligible supplies or equipment to reach the maximum grant amount.
- 8) **Detailed Budget:** Attach an itemized list of expenses to be covered by the grant with a total for each budget category as listed in the summary table. For expenses in the Town Personnel category, include the individual’s job title, rate of pay and estimated number of work hours. Include the town name at the top of the page. Attach copies of any vendor quotes.
- 9) **Narrative Description:** On an attached sheet, provide the information requested, numbering each response to match the item being answered. Provide as much detail as possible. Simply referring to an attached vendor quote or proposal is not acceptable. Include the town name at the top of the page.
- 10) **Designation of Town Clerk as Applicant:** The MCEO completes this section only if designating the Town Clerk as the applicant.
- 11) **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.
- 12) **Mailing Instructions:** Submit application with original signature(s) to:

LeAnn Power  
Public Records Grant Program Specialist  
Connecticut State Library  
231 Capitol Avenue  
Hartford, CT 06106



**Narrative Description: On a separate sheet, please answer the following three questions.**

1. Describe the project(s). Identify the specific records involved (include the type, volumes and dates), what will be done and why. (*A vendor prospectus may not be used in place of the applicant's own words.*)
2. Identify the vendor(s) and/or town personnel to be involved in the project. (For town personnel, include job title(s) and estimated number of work hours.) Describe the duties assigned to the vendor(s)/personnel.
3. Describe what the town hopes to accomplish with the grant and how it will impact the records, the office and the town.

**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 Targeted 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

## XIV. Final Report: Instructions and Form

Either complete this form online at [www.cslib.org/publicrecords/histdoc/grantforms.htm](http://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  
TARGETED GRANT FY 2010**

Historic Documents Preservation Program  
Connecticut Municipalities  
GP-003 (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](http://www.cslib.org/publicrecords/histdoc/grantforms.htm).*

**I. Expenditure Report**

**A. Grant Award Information**

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

**Grant Award Number:** \_\_\_\_\_

**Grant Cycle:** Cycle 1   
Cycle 2

**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(ies):**

Inventory and Planning	<input type="checkbox"/>	Organization and Indexing	<input type="checkbox"/>
Program Development	<input type="checkbox"/>	Storage and Facilities	<input type="checkbox"/>
Preservation/Conservation	<input type="checkbox"/>		

**B. Expenditures**

	Expense Type	Grant Funds Expended (A)	Local Funds Expended (B)	Total Funds Expended (A+B)
1.	Consultant(s)/Vendor(s)	\$	\$	\$
2.	Equipment	\$	\$	\$
3.	Supplies	\$	\$	\$
4.	Town Personnel Costs	\$	\$	\$
5.	Printing	\$	\$	\$
6.	Other (please identify)	\$	\$	\$
	<b>TOTAL</b>	\$	\$	\$

**C. Final Accounting**

<b>Grant Funds Received:</b>	\$
<b>Grant Funds Expended:</b>	\$ _____
Grant Funds Remaining Unexpended (if none, enter "0"):	\$

## II. Final Evaluation

1. Describe the project(s) funded by the grant and indicate whether the project(s) achieved the goals outlined in the application. If not, please explain. (Be sure to include each funded project, if more than one).
2. Describe the impact of the project(s) on your office and/or municipality.
3. Describe anything you learned from the project(s) or might have done differently.

### Certification

This certification must be signed by the applicant. 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.

I certify that the information contained herein is correct to the best of my knowledge.

\_\_\_\_\_  
Signature of Applicant (MCEO or Town Clerk if Designated)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Typed Name and Title of Applicant

\_\_\_\_\_  
Typed Name and Title of Preparer (only if different from Applicant)

\_\_\_\_\_  
Date

Phone Number of Preparer: \_\_\_\_\_

**The Project Evaluation/Expenditure Report must be submitted for receipt at the State Library by September 1, 2010.** Grantees are encouraged to submit the report immediately upon completion of the grant (that is, June 30 or earlier). Note that the form should be postmarked by August 20 to ensure **receipt** at the State Library by the deadline.

Include a copy of any consultant or vendor reports produced as part of the project, such as planning surveys and/or 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 Ave.  
Hartford, CT 06106