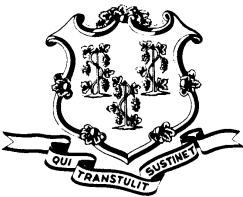


Office of the Public Records Administrator



Targeted Grants: Application and Guidelines

FY 2011

Historic Documents Preservation Grant Program

Connecticut State Library
Hartford, Connecticut
January 1, 2010

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I. Introduction

As we enter the tenth year of the Historic Documents Preservation Grant Program, the benefits of the program can be seen in many municipalities throughout Connecticut. The program has awarded 1,310 targeted, competitive and disaster recovery grants for a total of \$10,606,901.

Over the years, our program has experienced a series of ups and downs. The first four years of the grant program were growth years. During this time the fund balance grew, allowing us to offer competitive grants in FY 2007, FY 2008 and FY 2009. In the next five years, we experienced a steady decline in fund revenue, beginning with the FY 2005 grant year, which dropped further in FY 2007 and FY 2008. Despite this, we were able to maintain our grant amounts at a consistent level until the most recent fiscal year.

We experienced a very unfortunate shortfall in the fund at the end of FY 2009 when the legislature passed Senate Bill 1167, "An Act Concerning a State Deficit Mitigation Plan for Fiscal Year ending June 20, 2009." This act had a severe effect on our grant program as \$900,000 was "swept" from the fund and transferred to the General Fund, leaving us with a balance of less than \$400,000 for FY 2010 grants. The program had received \$960,244 in grant applications for Cycle 1, which included \$430,224 for competitive grants. As a result, we were only able to fund 94 targeted grants for a total of \$615,000 as the money from the monthly filings became available. There was insufficient funding for the competitive grants or Cycle 2 grants.

After evaluating the fund status and estimated income projections, we determined that the grant levels will again need to be adjusted downward for FY 2011. We will award targeted grants based on population in the amounts of \$3,000, \$6,000, and \$9,000. Unfortunately, we cannot offer competitive grants as we need to build up a reserve to be able to support these grants in the future. We will still offer disaster recovery grants up to a maximum of \$10,000, depending on the availability of funds.

Cycle 2 grants will be offered in FY 2011, if funds are available. We strongly encourage all towns to apply for a targeted grant in Cycle 1. The deadline for Cycle 1 applications is April 30, 2010.

We have many challenges ahead of us, but I believe that the ongoing budget crisis will improve and that we will be able to overcome the difficult times ahead. Many towns are experiencing an increase in home sales possibly as a result of the new federal tax credit for first-time home buyers, a reduction in the median sales prices of homes, or a stabilizing economy.

We continue to be hopeful that our economic climate will improve and that our grant program will remain intact and will not be affected negatively in the next legislative session. Many municipalities are facing difficult fiscal situations. It is important that this program continues to help municipalities preserve and make accessible the records of the State of Connecticut and its citizens.

The grant staff and I look forward to working with you during FY 2011.



LeAnn R. Power, CRM

Public Records Administrator

January 1, 2010

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. Each month, town clerks forward two dollars of this fee to the State Library for deposit into the Historic Documents Preservation Account. 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.

Three types of grants have been established under the Historic Documents Preservation Program: Targeted Grants, Competitive Grants, and Disaster Recovery Grants.

The total amount of funds available for grants depends in part 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 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. For FY 2011, Competitive Grants will not be offered. Disaster Recovery Grants are subject to the availability of funds.

Targeted Grants focus on records projects for one or more departments. 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 focus on broader records management or archival management projects that are implemented for a significant number of departments or town-wide. These grants are awarded on a competitive basis, based on the merits of the application.

Disaster Recovery Grants are intended to help defray records recovery costs not covered by insurance in the event of a natural or man-made disaster affecting essential, permanent, or archival records in any municipal department.

Grant project categories are based on pre-established areas of greatest need as determined by the Public Records Administrator.

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

This booklet outlines the policies and procedures that govern the Targeted Grant program and includes the application and final report forms. These guidelines and forms are also available online at www.cslib.org/publicrecords/histdoc/grantforms.htm.

The information contained in this booklet is current as of the date of issuance and is subject to change.

III. Targeted Grants Timetable

February 1, 2010	Grant application materials available to town officials by this date.
April 30, 2010	Postmark Deadline for submitting a <i>Targeted Grant Application</i> for a Cycle 1 grant.
July 31, 2010	Cycle 1 award notifications mailed to town officials by this date. After receiving award notification, the municipality must promptly submit the <i>Grant Contract</i> and <i>Certified Resolution Form</i> .
September 30, 2010	Postmark Deadline for submitting a <i>Targeted Grant Application</i> for a Cycle 2 grant.
December 31, 2010	Cycle 2 award notifications mailed to town officials by this date. After receiving notification, the municipality must promptly submit the <i>Grant Contract</i> and <i>Certified Resolution Form</i> .
April 30, 2011	Postmark Deadline for submitting an <i>Amendment Request Form</i> to request a change to the vendor, work plan, or budget line items, or a deadline extension. The municipality must submit the request by this date and obtain approval and an amended contract before proceeding.
June 30, 2011	Completion Deadline. Grant projects must be completed and grant funds must be expended by this date.
September 1, 2011	Receipt Deadline 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.

A municipality is eligible to apply for one Targeted Grant per year. A municipality that applies for a Disaster Recovery Grant remains eligible to apply for a Targeted 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 submit the required monthly filings after a grant has been awarded.

Please note that a municipality may apply for a grant for the upcoming fiscal year before completing its grant for the current fiscal year, provided that it continues to meet its current obligations by the appropriate deadlines.

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 FY 2011, the **2000 Census figures** will apply, as the 2010 Census figures will not yet be available when the grant year begins on July 1, 2010.

For this grant year, the following maximum amounts will be distributed:

Small Municipality	Population less than 25,000	\$3,000
Medium Municipality	Population between 25,000 and 99,999	\$6,000
Large Municipality	Population of 100,000 or over	\$9,000

VI. Funding Priorities

For FY 2011, 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 organization and access to town records through improved physical order or indexing, updated records management software, or other information technology.
- Improved records management and/or historic preservation practices within municipal departments.
- Improved records storage, maintenance and access through purchase of appropriate equipment.
- Preservation of historic documents (original, non-published records) through methods such as microfilming, reformatting, 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 that 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.

Completion of a records management, preservation, or disaster preparedness survey also serves as a pre-requisite for applying for a Competitive Grant. For municipalities considering future renovation or construction of vaults or records storage facilities, environmental monitoring surveys and/or facilities assessment surveys are recommended.

Assessment surveys must be prepared by approved consultants, as listed in the *Approved Vendors List*. This list is available on request from the grants staff.

Eligible projects include:

- Preservation survey to identify permanent/historic records and provide recommendations for a plan for records care, preservation, and access.
- Records management survey to identify official records, conduct a records inventory and develop recommendations for a plan for active records management.
- Disaster preparedness survey to develop recommendations for a disaster preparedness and business recovery plan.
- Environmental control survey to monitor, evaluate and make recommendations concerning environmental conditions in vaults/records storage facilities.
- Facilities assessment survey to evaluate and make recommendations as part of the planning for renovation or construction of vaults/records storage facilities.

2. Organization and Indexing

Organization and indexing projects increase access to town records by improving physical order within a collection of records, providing high quality indexing or correcting previous indexing, digitizing records, or providing records management software or hardware.

Eligible projects include:

- Records indexing project to improve access to a collection of historical or active public records; for example, a reindexing project.
- Records conversion project to improve access to a collection of historical or active public records; for example, a backfile conversion, scanning or codification project.
- Records processing project to organize and create finding aids for a collection of historical or active public records.

- Purchase and use of computer software to manage and improve access to a collection of historical or active public records.
- Purchase and use of information technology hardware to manage and improve access to a collection of historical or active public records.

3. Program Development

Program development projects advance the records management and/or historic preservation practices within one or more departments. These projects generally implement recommendations given to the town in prior planning surveys (see *Inventory and Planning*, above) and may be carried out with the assistance of an approved consultant.

Eligible projects include:

- Development of a records management, preservation and/or disaster recovery plan for one or more municipal departments; for example, developing a records management policy/procedures manual for the municipality, or developing a preservation plan for the municipality's permanent/historic records.
- Implementation of a records management, preservation, and/or disaster recovery plan for one or more municipal departments; for example, a project to establish and organize an inactive records storage room, or a project to rehouse archival records.

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 falling under another grant category, the equipment purchases are included under 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*, below).

Eligible projects include:

- Purchase of records storage equipment that meets current records management/archival standards for the storage of public records.
- Purchase of environmental monitoring equipment to manage or improve records storage conditions, such as thermohygrometers or dataloggers.
- Purchase of specialized cleaning equipment to maintain or improve records storage conditions, such as HEPA (high efficiency particulate air) filter vacuums.
- Installation or upgrade of a vault HVAC system to maintain or improve records storage conditions.

5. Preservation/Conservation

Preservation/conservation projects improve records longevity and security by creating backup copies to allow for off-site storage and records recreation in case of loss; creating access copies to allow for reduced handling of originals; and preventing or repairing records deterioration and damage.

Eligible projects include:

- Microfilming project for permanently retained public records to improve security and preservation.

- Reformatting project for permanently retained public records, for example, to reduce handling of historical records by providing use copies, or to recreate land record volumes.
- Conservation project for permanently retained original public records that are unique, historically significant, and at risk of loss from deterioration.
- Purchase of archival supplies for the preservation of public records, such as archival paper, records binders, disaster recovery kits or other preservation materials for municipal offices.

VIII. Specific Project Information

Specific requirements for microfilming, imaging and HVAC projects are described below.

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*. 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. See www.cslib.org/publicrecords/opraforms.htm.

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*. The municipality must submit a *Certificate of Compliance* to the Public Records Administrator, signed by representatives of the municipality and the vendor. See www.cslib.org/publicrecords/opraforms.htm.

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 \$3,000. If the proposed HVAC project cost \$4,000, it would apply for \$2,000 in grant funds and pay \$2,000 from local funds (and could request the remaining \$1,000 in grant funds for another project). If the project cost \$20,000, it would apply for \$3,000 in grant funds and pay \$17,000 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.

IX. Allowable Expenses

1. Eligible Expenses

Eligible expenses are described below for each of the four budget categories.

Note that in many cases, municipalities are eligible to purchase items available on state contract at discounted contract prices. 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.

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 staff on request.

For all other vendor 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 staff 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 municipality 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

Equipment purchases must be directly related to the proposed project or appropriate stand-alone purchases under the *Storage and Facilities* project category.

Normal office equipment and furniture is the responsibility of the town (see *Ineligible Expenses*, below).

Eligible equipment purchases include but are not limited to:

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

C. Supplies

Archival supplies must be directly related to the proposed project or appropriate stand-alone purchases under the *Preservation/Conservation* project category.

Eligible supplies include but are not limited to: alkaline (acid-free) supplies; cubic-foot records storage boxes; 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.

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.

2. Ineligible Expenses

The following expenses are ineligible for funding through Targeted Grants, even if directly related to the proposed project. Ineligible expenses include but are not limited to:

- Project expenses incurred prior to start of the contract period, that is, prior to July 1, 2010, AND the municipality's receipt of its copy of the fully executed contract.
- Project expenses incurred after the end of the contract period, June 30, 2011.
- 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*, above).
- 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, workstations 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

To apply for a grant, a municipality must submit a *Targeted Grant Application*, including a narrative description of the project, budget information, and supporting documentation. The application requires the signature of the Municipal Chief Executive Officer (MCEO), and, if designated by the MCEO as the applicant, the signature of the Town Clerk.

The application must be postmarked by **April 30, 2010** for consideration under Cycle 1 or by **September 30, 2010** for consideration under Cycle 2.

Municipalities are encouraged to apply under Cycle 1 as this allows for a longer time period in which to complete the grant. Note that a municipality may apply for a grant for the upcoming fiscal year before completing its grant for the current fiscal year, provided that it continues to meet its current grant obligations by the appropriate deadlines.

Applicants are encouraged to request the maximum grant amount for which the municipality is eligible. If total project expenses are less than the full grant amount, the applicant should include another project, for example, the purchase of eligible supplies or equipment, to reach the maximum grant amount. If the project expenses exceed the full grant amount, local funds may be applied.

The municipality is responsible for submitting a complete application by the deadline and for ensuring that all eligibility requirements have been met. The grants 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 grants staff, or the application will be deferred to the next grant cycle.

Applicants are encouraged to discuss any questions regarding their projects or their applications with the grants staff prior to the application deadline.

2. Preparing the Resolution

When the grant application is approved, the municipality will be required to enter into a contract with the State Library prior to receiving the award. The grant contract can be signed by the MCEO only after the governing board of the municipality adopts a resolution authorizing this individual.

It is recommended that the Town Clerk **bring this resolution to the governing board soon after submitting the application**. By doing so in advance of receiving the contract, the contract can be signed and returned quickly once it is received (see *Submitting the Grant Contract and Certified Resolution*, below).

When bringing the resolution to the governing board, use this **exact wording**:

RESOLVED: That _____ (name of MCEO), _____ (title), is empowered to execute and deliver in the name and on behalf of this municipality a contract with the Connecticut State Library for an Historic Documents Preservation Grant.

Do not certify the resolution at this time, as it must be certified **after** the contract is signed. Do not submit any information regarding the resolution to the grants office at this time. The *Certified Resolution Form* will be submitted at a later point, together with the contract.

Continuing resolutions may not be used; a new resolution must be adopted each year.

3. Submitting the Grant Contract and Certified Resolution

The State Library will notify the applicant by mail of its final decision regarding the application on or before **July 31, 2010** for Cycle 1 awards and on or before **December 31, 2010** for Cycle 2 awards.

The notification mailing will include the municipality's *Grant Contract* and the *Certified Resolution Form*, with detailed instructions for their return.

In brief, the Town Clerk will ask the MCEO to sign the *Grant Contract*, after the governing board has adopted the resolution authorizing this individual to sign (see *Preparing the Resolution*, above). The Clerk will then complete the *Certified Resolution Form* to certify that the resolution was adopted by the governing board and remains in full force and effect.

When completing the contract documents, proper date order is essential. The resolution must be adopted **before** the MCEO signs the contract. The resolution must be certified **after** the MCEO signs the contract.

The applicant must return the *Grant Contract* and *Certified Resolution Form* **promptly** to the State Library. If the *Grant Contract* and *Certified Resolution 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 completion by June 30, 2011.

After the municipality returns its *Grant Contract* to the State Library, it will be forwarded to the State Librarian for approval and signature.

4. Grant Start Date

After the municipality's *Grant Contract* is approved and signed by the State Librarian, a copy of the fully executed contract will be mailed to the MCEO and the Town Clerk will be notified by email.

The municipality may begin grant work and expenditures only **after the start of the contract period, July 1, 2010, AND after receiving its copy of the fully executed contract.**

In other words, if the contract is fully executed and mailed to the municipality prior to July 1, the municipality must wait until July 1 to begin its grant work and expenditures.

If the contract is not fully executed and mailed to the municipality prior to July 1, the municipality may not begin its grant work and expenditures on July 1. It must wait until it receives its copy of the fully executed contract before beginning.

It is not necessary to receive the grant funds 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 its copy of the fully executed contract. If the check is not received within 30 days, contact the grants staff.

XI. Grant Administration Requirements

1. General Requirements

Grantees must conduct projects in accordance with the work plan and budget outlined in the approved application, and must adhere to the provisions of the grant guidelines and the grant contract.

The State Library expects each project to substantially meet the objectives outlined in the application.

Grant projects and expenditures must be completed **within** the contract period. The contract period begins **July 1, 2010, or the date the municipality receives its copy of the fully executed contract, whichever is later**, and ends **June 30, 2011**.

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 staff 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 an *Amendment Request Form*.

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 municipality receiving a \$3,000 grant would not require prior approval to adjust any existing line item in its approved budget by \$300 or less. Reallocation of more than \$300 would require the submission of an *Amendment Request Form*.

An extension to the June 30 deadline will not be given except in the most extenuating circumstances beyond the municipality's control. Contact the grants staff immediately if there is any difficulty that may affect the municipality's ability to complete grant work and expenditures by the June 30 deadline. A request for an extension will require the submission of an *Amendment Request Form*.

To request a significant change to the project or budget or a deadline extension, an *Amendment Request Form* must be submitted to the State Library by April 30, 2011. If this amendment is approved by the Public Records Administrator, the municipality will receive a *Contract Amendment*. The grantee must then return the signed *Contract Amendment* and an updated *Certified Resolution Form* to the State Library no later than May 31, 2011. The town will receive a copy of the *Contract Amendment* after it is signed by the State Librarian.

To discuss any potential changes or obtain an *Amendment Request Form*, contact the grants staff.

3. Grant Completion Deadline

Grant projects must be completed and funds expended by the end of the contract period, June 30, 2011.

“Expended” means that the funds have been spent or encumbered by the submission of a valid purchase order by June 30, 2011.

It is imperative that applicants design a realistic work plan and have good communication with their vendors to ensure that the project is completed and the funds are expended by the deadline.

4. Return of Unexpended Funds

Funds remaining unexpended after June 30, 2011, must be returned with the *Project Evaluation/Expenditure Report*. Checks should be made out to “Connecticut State Library” and rounded to the nearest dollar.

If issues arise that may prevent the full expenditure of the grant funds, such as a project coming in under budget, the applicant is encouraged to contact the grants staff **before June 30** for assistance with possible reallocation of the funds.

5. Project Evaluation/Expenditure Report

The *Project Evaluation/Expenditure Report* must be submitted for receipt at the State Library by September 1, 2011.

Note that this is a **receipt** deadline rather than a postmark deadline. The form should be postmarked no later than **August 20** to ensure receipt at the State Library by September 1. Grantees are encouraged to submit the form immediately upon the completion of their grants (that is, June 30 or earlier).

The report documents the project’s success in meeting its objectives and the final project expenses. It is signed by the MCEO or, if designated as the applicant (on the *Targeted Grant Application*), the Town Clerk.

If a consultant report is produced as part of the project, such as a planning survey or policy/procedure manual, a copy must be included.

If the municipality has unexpended funds remaining after June 30, a check must be included (see *Return of Unexpended Funds*, above).

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. For Assistance

Please contact:

Kathy Makover, Field Archivist

Phone: (860) 566-1100 ext. 303

Email: kmakover@cslib.org

2. Mailing Address

Submit all grant materials to:

Kathy Makover, Field Archivist

Connecticut State Library

231 Capitol Avenue

Hartford, CT 06106

XIII. Application: Instructions and Form

Complete and print the *Application* online at www.cslib.org/publicrecords/histdoc/grantforms.htm or use a typewriter. Signatures must be in black or blue ink. Do not staple the pages. Refer to the *Guidelines* booklet for complete information.

To complete this form using your computer: Open the form online at www.cslib.org/publicrecords/histdoc/grantforms.htm. Click on each highlighted field and type your information, or use the Tab button to page through the fields. To check a box, click on the box. Save a copy to your computer. Print the form for signatures and submission.

A. Municipality Information

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

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.

B. Grant Information

Amount Requested: Not to exceed the amount listed for the appropriate population level as determined by the 2000 Census figures.

Grant Category: If there is more than one project, more than one category may be selected. For a description of each category, see Section VII of the *Guidelines* booklet.

C. Budget Summary

List the total costs under each category (Consultants/Vendors, Equipment, Supplies, Town Personnel Costs), indicating grant funds and local funds (if any). Total the lines across and down.

If applying for funds for additional temporary help or for additional hours for existing staff to work on a grant project, list only the base pay under grant funds and any taxes and benefit costs under local funds.

Note that if total project expenses are less than the full grant amount, applicants are encouraged to include another project, for example, the purchase of eligible supplies or equipment, to reach the maximum grant amount. See Sections IX and X of the *Guidelines* booklet for additional information.

D. Narrative Description

On a separate sheet, provide the information requested, numbering each response to match the question being answered. Include the name of the municipality at the top of the page. Answer each question fully and in your own words. It is not acceptable to use a vendor’s prepared text or proposal in place of the narrative. Attach copies of supporting documentation.

E. Signatures

Designation of Town Clerk as Applicant: The MCEO completes this section only if designating the Town Clerk as the applicant. If not, it is left blank.

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.

F. Mailing Instructions

Submit the application with original signature(s), the narrative page and supporting documentation, to:

Kathy Makover, Field Archivist
Connecticut State Library
231 Capitol Avenue
Hartford, CT 06106

G. Questions?

Please contact Kathy Makover at (860) 566-1100 ext. 303 or kmakover@cslib.org.

APPLICATION
TARGETED GRANT FY 2011
 Historic Documents Preservation Program
 Connecticut Municipalities
 GP-001 (rev. 12/09)



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:

Name of Municipal CEO:

Title:

Phone with Area Code:

FAX:

Email:

Name of Town Clerk:

Title:

Phone with Area Code:

FAX:

Email:

Check if Designated Applicant:

TC Mailing Address:

MCEO Address if Different:

Grant Application Deadline:

Cycle 1: April 30, 2010

Cycle 2: September 30, 2010

Grant Contract Period:

The contract period begins after July 1, 2010 AND receipt of the fully executed contract. Grant projects must be completed and funds expended by June 30, 2011.

Maximum Grant Allowed:

\$3,000

Small Municipality

Population less than 25,000

\$6,000

Medium Municipality

Population between 25,000 and 99,999

\$9,000

Large Municipality

Population of 100,000 or greater

Amount Requested:

\$ _____

Grant Category(ies):

Inventory and Planning

Organization and Indexing

Program Development

Storage and Facilities

Preservation/Conservation

Budget Summary	Grant Funds (A)	Local Funds (B)	Total Funds (A+B)
1. Consultants/Vendors (Total cost for all consultants and vendors)	\$	\$	\$
2. Equipment (Total cost for eligible items, i.e. shelving)	\$	\$	\$
3. Supplies (Total cost for eligible items, i.e. archival supplies)	\$	\$	\$
4. Town Personnel Costs (Total cost for all town personnel)	¹ \$	² \$	\$
5. Other (Please identify on a separate sheet)	\$	\$	\$
6. TOTAL	\$	\$	\$

¹ Base pay only for personnel hired directly by the municipality. Personnel costs for vendors should be listed under Consultants/Vendors.

² Personnel taxes and benefits paid by the municipality if grant funds used for base pay.

Narrative Description

On a separate sheet, answer the following four questions. If more than one project, include information on each project. A vendor's proposal or prepared text may not be used in place of the applicant's own words.

1. **Describe the project(s).** Identify the specific records involved (type of records, volume numbers and dates), what will be done, and why.
2. **Identify the vendors and/or town personnel.** Include their assigned duties and the timeframe for completing the work.
3. **Describe what the municipality hopes to accomplish with the grant.** For example, describe how the project(s) will impact the records, the office and the municipality.
4. **Provide a detailed budget that supports the Budget Summary.** Using the same headings (Consultants/Vendors, Equipment, Supplies, Town Personnel Costs), itemize the expenses under each budget category. Total each category and provide a grand total, ensuring that these totals match those shown in the Budget Summary. List grant funds and local funds separately, if applicable. (If itemizing Town Personnel Costs, include the job title, hourly rate, and total number of working hours for each individual.)

Attach copies of supporting documentation. For consultants/vendors, provide a copy of the proposal or quote. For direct purchases of equipment or supplies, provide a copy of the product information/pricing.

Note: If applying for only **one project**, and using only **one vendor**, you may **omit** the detailed budget provided that the expenses are clearly indicated on the attached vendor proposal.

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 2011 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

For State Library Use Only

Grant Disposition: Approved Denied

Grant Award: \$ _____

Grant Number: _____ - _____ - _____

Signature of Public Records Administrator

Date

XIV. Final Report: Instructions and Form

Complete and print the *Project Evaluation/Expenditure Report* online at www.cslib.org/publicrecords/histdoc/grantforms.htm or use a typewriter. Signatures must be in black or blue ink. Do not staple the pages. Refer to the *Guidelines* booklet for complete information.

To complete this form using your computer: Open the form online at www.cslib.org/publicrecords/histdoc/grantforms.htm. Click on each highlighted field and type your information, or use the Tab button to page through the fields. To check a box, click on the box. Save a copy to your computer. Print the form for signatures and submission.

A. Municipality Information

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

Designated Applicant Checkbox: If the Municipal Chief Executive Officer appointed the Town Clerk as the applicant for the grant (as indicated on the second page of your *Application*), check this box.

B. Grant Information

Grant Award Number; Grant Cycle: These numbers are shown on your award notification letter and *Grant Contract*.

Grant Category: The grant categories are shown on your *Application*.

C. Expenditures

Enter the total amounts spent for each budget line item. Amounts reported as expended should correspond with the amounts in the approved *Application* and *Grant Contract*.

Note that 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, 2011.

For further information, see Section XI of the *Guidelines* booklet.

D. Final Accounting

Enter funds received, funds expended and any funds remaining unexpended. For example, if you received a \$3,000 grant and expended the full amount, you would enter “\$3,000,” “\$3,000” and “0.”

Grantees must return any funds not expended by June 30, 2011, to the Connecticut State Library with this report. The check should be payable to “Connecticut State Library” and rounded to the nearest dollar.

E. Final Evaluation Narrative

On a separate sheet, answer the three questions, providing a brief narrative report about your grant.

Number each response to match the question being answered. Include the name of the municipality at the top of the page.

F. Certification

The grant applicant must sign and date the Certification. If the Town Clerk was designated by the MCEO (as indicated on the second page of your *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.

G. Mailing Instructions

The *Project Evaluation/Expenditure Report* must be submitted for receipt at the State Library by **September 1, 2011**. Note that this is a **receipt** deadline, not a postmark deadline. The form should be postmarked no later than **August 20** to ensure receipt at the State Library by September 1. Grantees are encouraged to submit the form immediately upon the completion of their grants (that is, June 30 or earlier).

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.

Consultant Reports: If a consultant report was produced as part of the project, such as a planning survey or policy/procedure manual, a copy must be submitted with the *Project Evaluation/Expenditure Report*.

Return of Unexpended Funds: If the municipality did not expend the full grant funds by June 30, 2011, a check for the unexpended funds must be submitted with the *Project Evaluation/Expenditure Report*. The check should be made out to "Connecticut State Library" and rounded to the nearest dollar.

Attach the Final Evaluation Narrative page. If applicable, attach a copy of the consultant report or a check for unexpended funds. **Submit the report with original signature to:**

Kathy Makover, Field Archivist
Connecticut State Library
231 Capitol Avenue
Hartford, CT 06106

H. Questions?

Please contact Kathy Makover at (860) 566-1100 ext. 303 or kmakover@cslib.org.

**PROJECT EVALUATION/
EXPENDITURE REPORT
TARGETED GRANT FY 2011**

Historic Documents Preservation Program
Connecticut Municipalities
GP-003 (rev. 12/09)



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:

Name of Municipal CEO:

Title:

Phone with Area Code:

FAX:

Email:

Name of Town Clerk:

Title:

Phone with Area Code:

FAX:

Email:

Check if Designated Applicant:

TC Mailing Address:

MCEO Address if Different:

Grant Award Number: _____

Grant Cycle: Cycle 1
 Cycle 2

Grant Contract Period:

The contract period begins after July 1, 2010 AND receipt of the fully executed contract. Grant projects must be completed and funds expended by June 30, 2011.

Grant Category(ies):

- Inventory and Planning Organization and Indexing
 Program Development Storage and Facilities
 Preservation/Conservation

Expenditures	Grant Funds Expended (A)	Local Funds Expended (B)	Total Funds Expended (A+B)
1. Consultants/Vendors	\$	\$	\$
2. Equipment	\$	\$	\$
3. Supplies	\$	\$	\$
4. Town Personnel Costs	\$	\$	\$
5. Other (Identify on a separate sheet)	\$	\$	\$
6. TOTAL	\$	\$	\$

Final Accounting	
1. Grant Funds Received:	\$
2. Grant Funds Expended:	\$
3. Grant Funds Remaining Unexpended (if none, enter "0"):	\$

Final Evaluation Narrative

On a separate sheet, answer the following three questions. If the grant funded more than one project, be sure to include information on each project.

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.
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 hereby certify that the information contained in this report 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, 2011. Note that this is a **receipt** deadline, not a postmark deadline. The form should be postmarked no later than **August 20** to ensure receipt at the State Library by September 1. Grantees are encouraged to submit the form immediately upon the completion of their grants (that is, June 30 or earlier).

Consultant Reports: If a consultant report was produced as part of the project, such as a planning survey or policy/procedure manual, a copy must be submitted with the *Project Evaluation/Expenditure Report*.

Return of Unexpended Funds: If the municipality did not expend the full grant funds by June 30, 2011, a check for the unexpended funds must be submitted with the *Project Evaluation/Expenditure Report*. The check should be made out to "Connecticut State Library" and rounded to the nearest dollar.

Attach the Final Evaluation Narrative page. If applicable, attach a copy of the consultant report or a check for unexpended funds. **Submit the report with original signature to:**

Kathy Makover, Field Archivist
Connecticut State Library
231 Capitol Avenue
Hartford, CT 06106