

**Survey and Planning Grant:
Planning and Pre-Development Projects**
Application Guidelines
2022

Grant Specifications

State Procurement:

- The use of state funds requires a competitive bidding process.
 - Contractors cannot be pre-selected
 - Potential contractors cannot play a role in the design of the project or application
 - Projects with a total cost of less than \$50,000 require the direct solicitation of proposals from at least 3 qualified consultants. There is no requirement for public advertisement.

Publicity:

- Grantees are required to credit SHPO and the Community Investment Act in all print, audio, video, internet, and publicity materials.

Grant Cancellations:

- SHPO has the right to withhold, reduce, or cancel a grant if an organization:
 - Owes final reports from previous non-construction grants that are overdue
 - Fails to comply with the terms of the grant contract
 - Demonstrates inadequate financial management or oversight
 - Does not properly credit SHPO financial support
 - Experience significant changes in the scope of work
 - Does not adhere to the Secretary of the Interior's Standards for the Treatment of Historic Properties

Grant Administration

1. Application

- Applications are accepted on a rolling basis
- Applications are first reviewed by SHPO staff and then awarded by the Historic Preservation Council (HPC)
- The HPC meets the first Wednesday of every month

2. Assistance Agreement

- Once the grant is awarded, an assistance agreement is executed between the grantee and SHPO/Department of Economic and Community Development
- Do not begin your project until an agreement is executed by all parties.

3. Procurement

- Once the contract is fully executed, the grantee can solicit qualified consultants
- A Request for Proposal (RFP) must be submitted to SHPO for review and approval
- All proposals received from bidders must be submitted to SHPO for review and approval before a consultant is chosen
- A contract between the grantee and contractor must be submitted to SHPO for review and approval before executed

4. Closeout

- Once the project is complete, a final report following SHPO guidelines must be submitted

5. Reimbursement

Upon approval of the final report and grant-funded product, SHPO will submit a grant reimbursement request to the Office of Financial Administration. All grantees must be set up to receive funds electronically by direct deposit. The necessary forms and instructions are at https://portal.ct.gov/DECD/Content/Historic-Preservation/02_Review_Funding_Opportunities/Grant-Opportunities/Survey-and-Planning-Grants

Application Requirements

The application can be found at: https://portal.ct.gov/DECD/Content/Historic-Preservation/02_Review_Funding_Opportunities/Grant-Opportunities/Survey-and-Planning-Grants

Application Materials Must Include the Following:

A. Project Abstract (No more than 1 page)

- Briefly describe the proposed project.

B. Project Narrative (5-10 pages)

Please address the following points in your narrative:

1. Please list the street address and date of construction of the resource.
2. Briefly describe your organization and primary mission.
3. For Planning and Pre-development grants, please discuss the resource and its significance. Is it listed on the State or National Register of Historic Places? Are there currently any measured drawings of the building?
4. What issue will your project address? How was this issue identified?
5. Who will manage the project?
6. What specific activities will you carry out with the grant funds?
7. Who will benefit from your project?
8. What product will be produced with the grant funds (what is the “deliverable”)?
9. How will the grant-funded product be shared with the public (as applicable)?
10. How will you measure the success or impact of the project?

C. Photographs:

- Color photographs must be no smaller than 4x6". Photographs can be printed on regular copy paper from a digital source
- Photographs must be labeled for identification
- For buildings or structures – photographs of each elevation and detailed photographs of the project area(s)
- For landscapes or archaeological sites – photographs of the entire property and detailed photographs of the project area(s)
- For Historic Resources Inventories – include a map of the proposed survey area and representative photographs of streetscapes

D. Project Timeline:

- Detailed schedule of project timeline, including estimated start and completion dates

E. Budget:

- Please provide a detailed budget, using the budget form in Appendix A, for the proposed project. The budget should account for the total project cost and delineate between grant and non-grant shares.

F. Budget Narrative:

- Provide a brief explanation of each line item in the budget. For example, if you list printing costs, specify the product that is printed, number of pages, number of copies, whether they will be printed in black and white or color, etc.

G. Long-Term Preservation Plan (for Pre-development projects)

- Include the preservation plan that guides the organization's/municipality's stewardship of the subject property.
- In lieu of a formal preservation plan, describe major preservation projects undertaken in the last 3-5 years and any projects in the pipeline. If applicable, also describe the maintenance/preservation staff and/or committees responsible for caring for the building.

H. 501(c)3 or 501(c)13 IRS tax status determination letter:

- Confirmation from the Internal Revenue Service that your organization is a 501(c)3 or 501(c)13. If you are unsure of your organization's IRS status, you can look it up here: <https://apps.irs.gov/app/eos/>.

I. Certified resolution:

- Certified resolution authorizing the grant and contract signatory. The resolution must predate the application and the subsequent contract, but not by more than 6 months. A template is included here as Appendix B.

J. Vendor Profile and W-9 Forms

- If you have not submitted these forms previously, please fill out the forms, which can be found on our website or obtained from SHPO. These forms are completed with your organization's information and are used to set you up as a vendor with the Office of the State Comptroller so that you can receive state funds.

K. Vendor Direct Deposit (ACH) Election Form

The Office of Financial Administration requires that funds be distributed via Direct Deposit. Please fill out the ACH form found on the website and submit it along with a cancelled check or deposit slip for the account to which you want the funds deposited. SHPO can submit the forms to the Office of the State Comptroller (OSC) on your behalf, or you can send them directly to the OSC. Instructions are on the forms.

L. Certificate of title or long-term lease agreement (if applicable) Self Explanatory

M. Letters of Support (optional) Self-Explanatory

N. Applicant has read SEEC Form 11

Effective July 1, 2021, for all State contracts, defined in section 9-612 of the Connecticut General Statutes as having a value in a calendar year of \$50,000 or more, or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory on the contract represents that they have received the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. This notice is found in Appendix C of these guidelines.

Contact SHPO

For questions, contact:

Mary Dunne
Architectural Historian
mary.dunne@ct.gov
(860) 500-2356

Mail applications to:

DECD/State Historic Preservation Office
Attn: Mary Dunne
450 Columbus Boulevard, Suite 5
Hartford, CT 06103

Applications may also be emailed to:
mary.dunne@ct.gov

Appendix A: Budget

	Grant Share	Applicant Share	Total
Consultant Fees (list type of consultant)			
Supplies			
Printing/Copying			
Postage			
Advertising			
Other (Specify)			
Total			

Appendix B: Certified Resolution

Instructions for Certified Resolutions

The certified resolution should name an individual (or individuals) authorized to sign contracts with the State of Connecticut on behalf of the grantee. A new resolution (with original signature) must accompany every grant contract. Grantees may use the template provided or reproduce the template on organization letterhead. Please follow these instructions closely.

If the secretary is not available, or the secretary is the “authorized official,” then another officer of the board may sign the certification.

The meeting date must be BEFORE the contract is signed. There is no need to hold another board meeting or to pass another resolution if the individual named continues to be authorized. If that is true there is no time limit on this date.

Affix corporate seal if the organization has one. If not, write “L.S.” inside a circle signifying “in lieu of seal.”

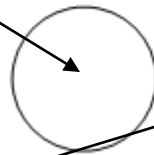
This date must be current. It can be the same date the accompanying contract is signed or within a few weeks BEFORE the contract signature date.

CERTIFIED RESOLUTION (to accompany contract)

I, **NAME OF SECRETARY (OR OTHER BOARD OFFICER)**, Secretary of **NAME OF ORGANIZATION AS INCORPORATED**, a Connecticut corporation, do hereby certify that the following is a true and correct copy of a resolution duly adopted at a meeting of the Board of Directors of this corporation, duly held on **DATE** of board meeting (*held BEFORE contract is signed*), at which meeting a duly constituted quorum of the Board of Directors was present and acting throughout and that such resolution has not been modified, rescinded or revoked and is at present in full force and effect:

RESOLVED, that **NAME OF OFFICIAL**, who is the **TITLE** of this corporation, is empowered to execute and deliver in the name and on behalf of this corporation a certain contract with the State of Connecticut, Department of Economic and Community Development, and to affix the corporate seal, if any.

In Witness whereof, the undersigned has affixed his/her signature and the corporate seal of this corporation, if any, this the ____ day of ____, 20__.



(Signature)

NAME OF SECRETARY

DATE (BEFORE contract is signed)

A person cannot certify him or herself as the authorized official of an organization, i.e. the signature on the resolution and contract must be two different people. If the organization wishes the board secretary to sign the contracts, then another officer of the board should sign the resolution.

Template for Certified Resolutions

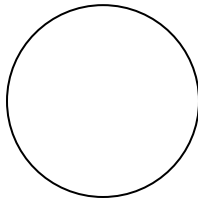
**the following should be printed on organizational letterhead*

Certified Resolution

I, **NAME OF SECRETARY (OR OTHER BOARD OFFICER)**, Secretary of **NAME OF ORGANIZATION AS INCORPORATED**, a Connecticut corporation, do hereby certify that the following is a true and correct copy of a resolution duly adopted at a meeting of the Board of Directors of this corporation, duly held on **DATE** of board meeting (***held BEFORE contract is signed***), at which meeting a duly constituted quorum of the Board of Directors was present and acting throughout and that such resolution has not been modified, rescinded or revoked and is at present in full force and effect:

RESOLVED, that **NAME OF OFFICIAL**, who is the **TITLE** of this corporation, is empowered to execute and deliver in the name and on behalf of this corporation a certain contract with the State of Connecticut, Department of Economic and Community Development, and to affix the corporate seal, if any.

In Witness whereof, the undersigned has affixed his/her signature and the corporate seal of this corporation, if any, this the _____ day of _____, 20____.



(Signature)

NAME OF SECRETARY

DATE (*BEFORE contract is signed*)