

# DESPP- Municipal Grant Program



**State of Connecticut**

Department of Emergency Services and Public Protection

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## I. Program Overview

The Office of Policy and Management (OPM) has designated the Department of Emergency Services and Public Protection (DESPP) as the administrative agency for bond awards related to public safety projects. At times, DESPP is given administrative oversight of projects under the following funding sources:

- **Urban Act Grants Program**
  - Urban Act grants-in-aid provide funding to severely distressed municipalities and urban communities to alleviate excessively deteriorated neighborhoods and community revitalization areas with population-out migration.
- **Small Town Economic Assistance Program (STEAP)**
  - The STEAP program provides grants-in-aid to towns that: (a) do not meet the Urban Act Grants Program criteria for being economically distressed, having an urban center, or being a public investment community and (b) have a population under 30,000.
- **Municipal Grant-In Aid Program**
  - This program permits towns that do not qualify for either of the Urban Act Grants Program or the Small Town Economic Assistance Program (STEAP) to apply for grants-in-aid under the provisions of the Urban Act Grants Program.

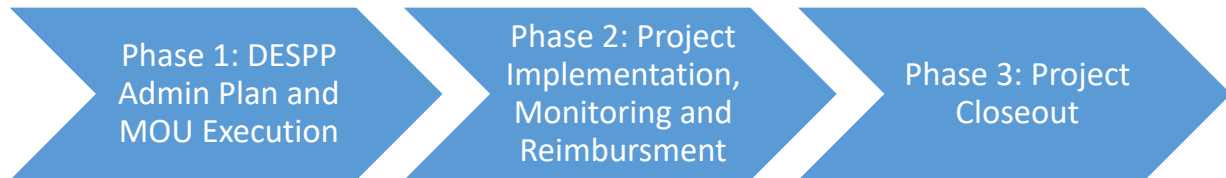
Issued by the State Bond Commission, MGP awards **can only be used for capital projects.** Programmatic expenditures or recurring budget expenditures are not eligible for any state bond program.

Once the Office of Policy of Management notifies the grantee of an award, the grantee shall contact DESPP to begin the grant process.

## II. MGP Grant Lifecycle at DESPP and Contact Information

### A. Grant Lifecycle

The MGP program consists of four phases: (1) the DESPP Administrative Plan and the Memorandum of Understanding (MOU) Execution phase; (2) the Project Implementation Period, Monitoring and Reimbursement Phase; and, (3) the Closeout Phase. The sections below outline the requirements at each phase.



### B. Contact Us

The following is the contact information for the Department of Emergency Services and Public Protection unit involved in the administration of the Municipal Grants Program:

- Department of Emergency Services and Public Protection  
1111 Country Club Road, 3<sup>rd</sup> Floor Center  
Middletown, CT 06457
- MGP Email Account: [MGP.DESPP@ct.gov](mailto:MGP.DESPP@ct.gov)

### III. Phase 1: DESPP Administrative Plan and MOU Execution

Once the Office of Policy and Management assigns the grant to DESPP as the administering agency, the Grantee’s Chief Executive Officer will receive a package via email containing the necessary documents required to execute Phase 1 which includes the steps/forms to obligate funding, clarify funding sources and the project budget, identify the project points of contact, outline the project timeline and ensure the Grantee is aware of all program guidance.

| What’s included in the Phase 1 package?   |   |   |
|---|---|---|
| A. Guidance Documents   | B. Administrative Plan/Project Budget Forms   | C. Memorandum of Understanding (MOU)  |
| 1. DESPP STEAP Program Guidance (this document)<br>2. Bidding and Contract Guidance<br>a. Personal Services Information under \$50,000<br>b. Personal Service Information over \$50,000 | 1. Administrative Plan Template<br>a. Grantee Point of Contact and Administrative Plan Approval Form (DPS-204-C)<br>2. Project Budget Forms | 1. Memorandum of Understanding Document<br>a. Attachment A: Executive Orders<br>b. Attachment B: Certifications (Not Required at this time shared for awareness)<br>2. Authorizing Resolution |

#### A. Guidance Documents

1. **DESPP STEAP Program Guidance** (this document): This guidance lays out the process utilized to successfully complete and execute your grant with the Department of Emergency Services and Public Protection.
2. **Bidding and Contract Guidance:** The Department of Emergency Service and Public Protection does not review or approve Grantee bidding documents or contracts related to the Municipal Grant Program. It is the responsibility of the Grantee, in collaboration with its legal counsel, to ensure your project complies with all relevant local, state, and federal laws and/or program requirements. The following guidance is provided to assist with your bidding process.
  - a. [Personal Services Information under \\$50,000](#)
  - b. [Personal Service Information over \\$50,000](#)

#### B. Administrative Plan and Project Budget

1. **Administrative Plan:** Grantees are required to prepare a project Administrative Plan that describes how it will manage, document, and monitor and oversee the financial and programmatic elements of the grant project. The purpose of the plan is to:
  - Ensure that the Grantee has the staffing and organizational resources available to manage the proposed project.
  - Assure the completion of the project within the approved Financing Plan and Budget with the appropriate use of state funds.

- Describe the process that the Grantee will use to monitor the expenditure of state funds in accordance with the contracts.
- Detail the process that the Grantee will use to review and approve project construction change orders and payment requisitions.

The Administrative Plan must be consistent with the original OPM Approval. No scope changes are allowed.

2. **Project Budget:** A finalized Project Budget must be submitted with the Administrative Plan. The budget/overall project scope must be consistent with the original OPM Grant Application. DESPP has the discretion to adjust/shift budget category amounts, so long as the physical project scope remains consistent with the original intent of the award. The Grantee will need to request a change in the scope of their award and notify DESPP before making any changes

### Required Administrative Plan and Project Budget Forms

**Administrative Plan Template:** The Administrative Plan Template was developed as a template so you know what information to include in your Administrative Plan. This template should be submitted, filled out, on the Grantee's letterhead with the Memorandum of Understanding and the forms listed below.

**Grantee Point of Contact and Administrative Plan Approval Form (DPS-204-C):** This form is attached to the Administrative Plan. It designates a Point of Contact for the project and fiscal components of the project. This form can be used to also designate a change in Grantee Point of Contact.

**Source of Project Funds and Project Budget Itemization Form (DPS-203-C- REV 2/2/2021):** The Grantee must identify *all* project funding sources. Under this section, list the specific funding sources, descriptions, limitations, and amounts of all monies being used for this project. Be specific. If using several federal grants, list each individually. The total amount must match the total of the itemized budget. The totals should match the original approved OPM budget.

**The budget totals on all forms must match the OPM budget allocation.**

### C. Memorandum of Understanding (MOU)

The Department of Emergency Services and Public Protection will enter into a Memorandum of Understanding (MOU) with the Grantee. This document will serve as the contract between the Grantee and the Grantor (DESPP) and explains all off the contractual requirements and obligations of each party.

#### Required MOU Sections/Forms

**Main MOU Body and Signatory Page:** Explains all of the contractual obligations of both parties for this grant as well as the funding limits, term, authorizing legislation. Both parties are required to sign the signatory page.

**Attachment A: Executive Orders:** This MOU is subject to the provisions of all applicable Executive Orders as contained in Attachment A of the MOU.

**Attachment B: Notice of MOU Revision:** This attachment is provided for awareness and provides a sample of what the MOU revision will look like should the Grantee request an extension.

**Attachment C: Certifications:** These certifications are provided for awareness. During the term of the project, the Grantee will be required to sign certifications. These certifications are statements of fact, which are sworn to (or affirmed) before an officer who has the authority to administer an oath (e.g., a notary public). The person making the signed statement takes an oath that the contents are, to the best of his or her knowledge, true. The certification is also signed by a notary or some other officer that can administer oaths, affirming that the person signing the certification was under oath when doing so.

- Each certification contains the following language: “Notice: Any false statement made by you under oath that you do not believe to be true and which is intended to mislead a public servant in the performance of his or her official function may be punishable by a fine or imprisonment pursuant to Connecticut General Statutes Section 53a-157b.”.

**Certified Resolution - Guidance and Sample:** The Grantee is required to submit a certified resolution authorizing the designated official to execute and deliver contracts with the MOU. The Resolution must comply with the following requirements:

- The Resolution must authorize the Grantee’s CEO to sign the Memorandum of Understanding between the Grantee and the Department of Emergency Services and Public Protection.
- Signatures must match the printed names, letter-for-letter.
- The Resolution’s effective date (usually the date of the board meeting when the Resolution is passed) must be the same or before the date the signatory signs the contract.

- The Resolution must be sealed. If the Grantee's seal is not available, the letters "L.S." must be printed after the secretary's signature and the words "No seal available" must be printed at the bottom of the Resolution.
- All signatures must have the name typed underneath the signature.
- The text must be neatly printed with no erasures, strike outs, or white out.



#### IV. Phase 2: Project Implementation, Monitoring and Reimbursement

Phase II begins once the Administrative plan has been approved and the Memorandum of Understanding has been executed. Once all elements of Phase I has been completed Phase II Package will be sent via email to the Grantee Chief Executive Officer, the Grantee Point of Contact and the Grantee Chief Financial Officer with all executed Phase I documents and required forms for Phase 2.

| What's included in the Phase 2 package?   |   |  |
|---|---|--|
| A. Quarterly Progress Reporting   | B. Reimbursement Request Documents  | C. Other Certifications  |
| <ol style="list-style-type: none"> <li>1. Progress Report (DPS-205-C)</li> <li>2. Financial Report - DPS-203-C-3</li> </ol> | <ol style="list-style-type: none"> <li>1. Reimbursement Data Sheet</li> <li>2. Reimbursement Certification</li> <li>3. Reimbursement Verification Form</li> </ol> | <ol style="list-style-type: none"> <li>1. Certification by Grantee Official Authorized to Execute Contracts (DPS-201-C)</li> <li>2. Design Compliance Certification (DPS-202-C)</li> <li>3. Construction Completion Certification (DPS-202-C-1)</li> </ol> |

##### A. Quarterly Progress Reports

Grantees are required to provide quarterly progress reports. This includes status reports on the programmatic and financial progress of the project.

##### Required Quarterly Progress Report Forms

**Progress Reports (DPS-205-C):** This form provides the status of the project by detailing project activities, staffing, timelines, and any problems related to them along with solutions to these problems. This information will be based on the Administrative Plan submitted and approved with the application package. The Municipal Building Inspectors reports, received to date, must be attached to the Progress Reports.

**Financial Report - DPS-203-C-3:** This form is used to report project outlays or expenditures and unpaid obligations. The Grantee's Chief Financial Officer must sign this form certifying the information contained on the form is based on official accounting records and that project outlays shown have been made in accordance with applicable grant terms and conditions and that documentation to support these project outlays is available upon request. Grantees will use financial reporting as the means to document the results of financial operations and the financial status of the project. The following principles and standards shall apply in the preparation of financial reports.

## B. Requesting Reimbursement

State funds distributed through the Municipal Grant Program (MGP) are disbursed on a reimbursement basis only for allowable expenditures incurred between the start and end dates of the contract, for which the grantee has already paid. Payment increments are specified in the Memorandum of Understanding (MOU). The Grantee may submit up to two (2) Reimbursement Requests. Final reimbursement will be made after documentation of the total project costs, which includes documentation of the municipal share of the project, is submitted. If the grantee match is larger than the state share of the grant, only one request will be accepted.

### Required Reimbursement Request Forms

All four documents are required for reimbursement. No payments will be processed if any of these forms, reports, or supporting documentation are missing, incomplete or incorrect.

**Reimbursement Data Sheet:** This document is the cover sheet for your reimbursement request and summarizes the amounts requested in your request.

**Reimbursement Certification: DPS-200-C:** The Certifications are included in the Original MOU Attachment B. The Grantee's CEO certifies the conditions for reimbursement have been met and supporting documentation is accurate and complete. When the project is 100% complete, the Grantee must submit the Certificate of Occupancy before final reimbursement.

**Reimbursement Verification Form - DPS-203-C-4:** This form provides the details for the total amount listed on Column 2b of the Financial Report. Copies of all supporting documentation must be attached to this form. Documentation includes detailed vendor invoices and Grantee payment documents. See chart below for more information.

| Documentation Requirements   |  |
|--|--|
| A. Proof of Service  | B. Proof of Payment  |
| May consist of one of the following: <ul style="list-style-type: none"><li>• Invoice showing services rendered</li><li>• Store receipt showing in-store purchase</li></ul> | May consist of one of the following: <ul style="list-style-type: none"><li>• Cancelled check</li><li>• Municipal Financial System Report showing vendor name, amount paid, date paid, and check number</li><li>• Credit Card Statement and payment</li></ul> |

### C. Additional Project Certifications

Depending on the status of your project certifications are required to be submitted depending on the type of project.

#### Required Additional Certifications

##### **Certification by Grantee Official Authorized to Execute Contracts (DPS-201-C):**

This form certifies the following:

- Grantee’s CEO is authorized to execute the contracts with their vendors.
- The selection of the contractor was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud, or inappropriate influence from any person.
- All bidding and award requirements as outlined in MGP Bidding and Contracting Guidance and Consulting Guidance has been complied with in this project.

**Design Compliance Certification (DPS-202-C):** The Design Compliance Certification certifies the project has been designed in substantial compliance with requirements of the State of Connecticut Building Code and all other applicable codes as required by Chapter 541, General Statutes of Connecticut and all applicable Connecticut Fire Safety Codes. This certification must be completed after the design phase and before the bid phase.

**Construction Completion Certification (DPS-202-C-1):** The Construction Completion Certification certifies the completed project is in substantial compliance with the approved plans and specifications and the requirements of the State of Connecticut Building Code and all other applicable codes as required by Chapter 541, General Statutes of Connecticut and all applicable Connecticut Fire Safety Codes. This certification must be completed before Agency Occupancy and/or with the Certificate of Occupancy.

### D. Extension/Revision Process

The Grantee’s Chief Executive Officer should submit a written request for an extension, if needed, not less than ninety days before the expiration date of the current MOU. No more than one extension for the maximum of one year may be granted. Physical scope changes from the initial OPM project application are not eligible; changes between physical line items are allowable. Once the request is reviewed for eligibility by DESPP, the Grantee will submit the following documents as part of the extension process:

| Document  | Doc # | Required |
|---|-------|----------|
| 1. Memorandum of Understanding Amendment (1 Page Amendment) | N/A   | Required |

|  |                       |                  |
|--|-----------------------|------------------|
| 2. Certified Resolution  | N/A                   | Required         |
| 3. Administrative Documents                                    | N/A                   | Update if Needed |
| a. Administrative Plan Update                                  | N/A                   | Required         |
| b. Grantee Point of Contact and Administrative Plan Approval   | DPS-204-C             | Update if Needed |
| 5. Source of Project Funds and Project Budget Itemization Form | DPS-203-C REV<br>2/21 | Update if Needed |

## V. Phase 3: Project Closeout and Record Retention

Upon completion of your project and payment of your final reimbursement has been made by DESPP, you will receive a Notice of Grant Closeout from DESPP. Once executed your project with DESPP has been completed. After grant closeout, grantees must retain all records for a period not less than what is required pursuant to the regulations prescribed by the CT State Library (<https://ctstatelibrary.org/publicrecords/general-schedules-municipal/>).

- General Admin Records – Grant Program Records, retention is required for 6 years after renewal, termination or final report or audited, whichever is later.
- General Admin Records – Contracts, retention is: construction – 6 years after completion of project; services and supplies – 3 years after expiration
- Grant Fiscal Records - retention is 6 years after renewal, termination or final report or audited, whichever is later.

### Required Closeout Forms

**Notice of Grant Closeout:** This final grant document formally closes out your grant with DESPP and lays out the total actual project cost and any unspent funds. This form must be executed by both the Grantee Agency and the Grantor Agency. This document is used to formally close out the program and authorize the de-obligation of any remaining funds on the PO DESPP/OPM.

## Attachment A: Glossary of Forms

| Form  | Form #      | Description  | Pp.       | When to Submit   |
|---|-------------|--|-----------|--|
| Administrative Plan template                                      | N/A         | This template of the sections that should be included in the Administrative Plan.                    | Pp. 5,10  | Phase 1: Admin Plan/MOU<br>Phase 2: Extension  |
| Certification by Grantee Official Authorized to Execute Contracts | DPS-201-C   | Certifies the project contracts were executed as specified on the form.                              | P. 10     | Submission dependent on status of project  |
| Certified Resolution  | N/A         | Certifies the designated official is Authorized to Execute the MOU.                                  | Pp. 6, 11 | Phase 1: Admin Plan/MOU<br>Phase 2: Extension/Revision (Only If new CEO is in place)                               |
| Construction Completion Certification                             | DPS-202-C-1 | Certifies the project is in substantial compliance with the requirements as detailed on the form.    | P. 10     | Submission dependent on status of project  |
| Design Compliance Certification                                   | DPS-202-C   | Certifies the completed project has been designed in substantial compliance as detailed on the form. | P. 10     | Submission dependent on status of project  |
| Financial Report  | DPS-203-C-3 | This form is used to report project outlays or expenditures and unpaid obligations.                  | P. 8      | Phase 2: Monitoring  |
| Grantee Point of Contact and Administrative Plan Approval Form    | DPS-204-C   | Designates a Project and Fiscal Point of Contact and approval of the Administrative Plan.            | Pp. 5, 11 | Phase 1: Admin Plan/MOU<br>Phase 2: Extension<br>Submitted when changes are made to the Grantee Points of Contact. |
| Notice of Grant Closeout  | N/A         | Formally closes out the grant and deobligates any remaining funds.                                   | P. 12     |  |

| Form  | Form #                  | Description   | Pp.          | When to Submit   |
|---|-------------------------|---|--------------|--|
| Progress Report   | DPS-205-C               | Provides the status of the project by detailing project activities, staffing, timelines, and any problems related to them along with solutions to those problems. | P. 8         | Phase 2: Monitoring                                    |
| Source of Project Funds and Project Budget Itemization Form | DPS-203-C<br>REV 2/2021 | This form is used to report to DESPP the project budget and the sources of funding for the project.   | Pp. 5,<br>11 | Phase 1: Admin Plan/MOU<br>Phase 2: Extension/Revision |
| Reimbursement Certification                                 | DPS-200-C               | This form certifies the Grantee complies with all requirements necessary for reimbursement.   | P. 9         | Phase 2: Reimbursement                                 |
| Reimbursement Data Sheet                                    | N/A                     | This form is the cover page for the Reimbursement Request Package.  | P. 9         | Phase 2: Reimbursement                                 |
| Reimbursement Verification                                  | DPS-203-C-4             | This form is used by the Grantee for vendor identification and organization of Reimbursement Package documentation  | P. 9         | Phase 2: Reimbursement                                 |

## Attachment B: Sample Resolution

STATE OF CONNECTICUT  
DEPARTMENT OF EMERGENCY SERVICES AND PUBLIC PROTECTION  
CERTIFIED RESOLUTION OF THE LEGISLATIVE BODY  
OF A CONNECTICUT MUNICIPALITY

WHEREAS, Pursuant to (State Statutory Reference) the Connecticut Department of Emergency Services and Public Protection is authorized to extend financial assistance for Public Safety projects; and

WHEREAS, it is desirable and in the public interest that the (Applicant) make an application to the State for (\$) in order to undertake (Name and Phase of Project) and to execute an Assistance Agreement.

NOW, therefore, be it resolved by the (legislative body of the applicant)

1. That it is cognizant of the conditions and prerequisites for State Assistance imposed by (State Statutory Reference).
2. That the filing of an application by the (Applicant) in an amount not to exceed (\$) is hereby approved and that the (Name and Title of Authorized Official) is hereby authorized and directed to execute and file such application with the Connecticut Department of Emergency Services and Public Protection, to provide such additional information to execute other documents as may be required; to execute an Assistance Agreement with the State of Connecticut for State Financial Assistance if such an agreement is offered, to execute any amendments, rescissions, and revisions thereto; and to act as the authorized representative of (Name of Applicant).

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I, (Name of Town Clerk), Town Clerk for the Town of (Town Name), duly elected and qualified according to law and having custody of the seal of the Town of (Town Name) hereby certify that the above is a true and correct copy of a resolution duly adopted at a (Regular) (Special) meeting of the (Legislative Body) of the Town of (Town Name) on (Month-Day-Year), and, that said resolution has not been amended, rescinded or revoked and remains in full force and effect.

In Witness Whereof, I have hereunto set my hand and affixed the seal of the Town of (Town Name) this (Date) day of (Month), A.D. 2000.

\_\_\_\_\_  
(Name), Town Clerk

AFFIX TOWN SEAL HERE

SAMPLE