

**Survey and Planning Grant:
Planning and Pre-Development Projects**
Application Guidelines
2023

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Grant Overview

The State Historic Preservation Office (SHPO) offers matching, reimbursement Survey and Planning (S&P) grants of up to \$20,000.00 to Connecticut municipalities and 501(c)3 and 501(c)13 nonprofits for a variety of historic preservation planning and predevelopment purposes.

Survey and Planning Grants are funded by the Community Investment Act (also known as Public Act 05-228), which was signed into law on July 11, 2005. The Act provides increased funding for historic preservation as well as open space, farmland preservation, and affordable housing.

Eligible Applicants

Eligible Applicants:

- Municipalities
- 501(c)(3) or 501(c)13 nonprofit organizations that have had tax-exempt status for at least two years
- 501(c)(3) or 501(c)13 nonprofit organizations that have had tax-exempt status for less than two years but can demonstrate at least a 5-year history of sustainable historic preservation program activity
 - Must be individually approved as eligible for funding by the Historic Preservation Council

An Eligible applicant cannot apply for a grant on behalf of an ineligible group or organization.

Eligible Activities

Historic Resources Inventories

Historic Resources Inventories create a detailed record of historic buildings, sites, structures, and/or objects within a defined geographical area, or multiple resources related to a theme, throughout the state. These documents are based on archival research, field work, and photography.

Historic Designation Reports are completed by an Architectural Historian or a Historian who meets the Secretary of the Interior's Professional Qualifications Standards as published in the Code of Federal Regulations, 36 CFR Part 61.

Archaeological Surveys and Reports

The principal objective of an archeological investigation is to identify potentially significant archeological deposits located in a certain area to guide future development projects. The consultant will perform background research to identify archeologically sensitive areas and to establish a context for any archeological resources that may be identified. The investigation will include a subsequent Phase I (reconnaissance) level archeological survey which will provide systematic coverage of the property to locate evidence of archaeological deposits. It is expected that the reconnaissance survey will not only determine the presence of archaeological deposits, such as artifacts, features, and/or structural remnants; but also determine the nature and extent of those deposits by performing shovel tests and excavations as part of the investigation.

Intensive-level surveys are generally conducted in order to collect sufficient archaeological data to evaluate the National Register eligibility of an identified site.

Geophysical Survey for Human Burials

The purpose of this survey is to use remote sensing techniques to identify unmarked or unidentified burials that are more than 100 years old. The specific techniques used can vary according to the field conditions, but may include Ground Penetrating Radar, Electromagnetic Conductivity, and/or Magnetometry equipment. These surveys are an excellent tool to help manage and protect burial grounds, but the applicant must justify why the survey is warranted. This includes describing why the survey is needed and explaining why unmarked or mis-marked burials are suspected. The geophysical survey shall be conducted by a consultant, as approved by the SHPO, familiar with using remote sensing techniques to identify human burials. This grant can fund the survey of an area up to one acre in size and can include both marked and unmarked burial grounds. The maximum grant amount is \$5,000.

Archeological surveys shall be conducted by a consultant, as approved by the SHPO, who meets the professional qualifications standards of the U.S. Department of the Interior, National Park Service, as stated in 36 CFR 61 Appendix A for Archeology. All work should be in compliance with our *Environmental Review Primer for Connecticut's Archaeological Resources*.

Historic Designation Reports

Survey and Planning Grants can be used to fund a variety of historic designation reports including:

- National Historic Landmark Nominations
- National Register of Historic Places Nominations
- Connecticut State Register of Historic Places Nominations
- Local Historic District or Properties Reports
- Archaeological Preserves

Historic Designation Reports are completed by an Architectural Historian or a Historian who meets the Secretary of the Interior's Professional Qualifications Standards as published in the Code of Federal Regulations, 36 CFR Part 61.

Municipal Historic Preservation Planning Reports

Historic Preservation Planning Reports can assist a municipality with integrating historic preservation and a community's cultural resources into the local planning and design process. These plans can be used to assist in developing reports that involve land use, streetscapes, traffic, and signage. These reports can also be developed to assist a municipality in creating historic preservation plans or chapters of a plan of conservation and development. An analysis of the physical, social, and economic characteristics of the area serves as a basis for recommendations which may include rehabilitation guidelines, overlay zoning, or historic designations. Municipal Historic Preservation Planning Reports should be completed by a Historic Preservation Planner with municipal planning credentials; however other consultants may be used with approval from SHPO.

Pre-Development Studies

Survey and Planning Grants can be used to hire a qualified consultant to complete pre-development studies on historic resources owned by Connecticut 501(c)3 or 501(c)13 nonprofits or municipalities, or if a municipality has a financial or development interest in the resource. A “Historic Resource” is defined as a property or site listed on the State or National Register of Historic Places. Reports and studies may require a team of qualified professionals that includes any combination of architect, engineer, architectural historian or landscape architect.

Eligible activities in this program area include:

- **Historic Structures Reports-** document the history and existing physical condition of a property through research, photographs, physical exploration, etc. The report also provides guidance for the future use, repair, maintenance, etc. of the property. These reports are completed by a 36 CFR Part 61 qualified Historical Architect or an engineer, or both.
- **Historic Landscape Studies-** Historic landscapes can be found in any rural, urban or suburban place. They can be designed or vernacular and include a variety of types including estates, farms, cemeteries, campuses, parks, parkways, conservation areas, or any site that reflects historic cultural activity (human interaction with the land). Eligible studies may include historic landscape inventories, cultural landscape reports, landscape management plans, view shed analyses, and documentations. Historic landscape studies are used to document an existing historic landscape to give us information about its significance and help to safeguard it from sometimes uninformed and irreversible changes. Funding will also support research to produce an historic landscape plan based on a previously existing historic landscape.
- **Feasibility or Adaptive Reuse Studies-** analyze the reuse potential of an existing building and identify possible new uses, financial strategies, and cost estimates. A feasibility or adaptive reuse study may include preliminary architectural plans completed by a 36 CFR Part 61 qualified Historical Architect.
- **Structural Soundness Studies-** assess a structure’s physical stability. Structural Soundness Studies are conducted by a 36 CFR Part 61-Qualified structural engineer or architect, and sometimes may include a landscape architect.
- **Condition Assessment Reports-** assess a resource’s current, existing conditions on a comprehensive basis. Condition assessments can be prepared for a variety of resources including buildings, monuments, objects, bridges, etc. A condition assessment will prioritize the work necessary to rehabilitate or restore a property and will also include cost estimates and/or a proposed budget. These reports include a discussion on building materials,

failure of those materials, code violations, and ADA accessibility. For reports on buildings, the condition assessment should be prepared by a 36 CFR Part 61 qualified Historical Architect and/or engineer.

- **Architectural Plans and Specifications**-must meet the Secretary of the Interior's Standards for the Treatment of Historic Properties and be prepared by a 36 CFR Part 61 qualified Historical Architect. If the applicant is planning on using the plans and specifications for a Historic Restoration Fund grant application, the documents should be prepared to Design Development Level.

Please contact Mary Dunne to discuss a project if you are unsure of its eligibility.

Funding Details

- Grants range from \$1,000 to \$20,000
- Grants must be matched on a dollar for dollar basis with cash
 - Federal funds and other non-state funds can be used as a match
 - State of Connecticut funds cannot be used as a match
 - In-kind services cannot be used as a match
- Grant funds are paid to grantees on a single-payment reimbursement basis following the completion of the project and approval of all work by SHPO staff
- Funding for Historic Resources Inventories **does not** require a match.

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.”

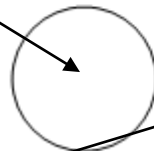
This date must be current. It can be the same date the accompanying contract is signed or within a few weeks BEFORE the contract signature date.

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

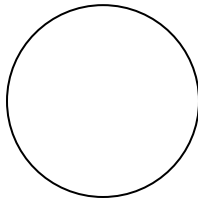
**the following should be printed on organizational letterhead*

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*)



Appendix C
STATE OF CONNECTICUT
STATE ELECTIONS ENFORCEMENT COMMISSION
20 Trinity Street Hartford, Connecticut 06106 – 1628

SEEC FORM 11

**NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF
CAMPAIGN CONTRIBUTION AND SOLICITATION BAN**

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined below):

Campaign Contribution and Solicitation Ban

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract or state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

Duty to Inform

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

Penalties for Violations

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

Contract Consequences

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "State Contractor Contribution Ban."

Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.