

State Historic Preservation Office

Institutional Support for Capacity Building Grant Application

March 2019

Institutional Support for Capacity Building (ISCB) Grants for Historic Preservation Non-Profit Organizations

Application Information

The ISCB Grant for Historic Preservation Non-Profit Organizations program is designed to advance the mission of local historic preservation organizations by supporting their ability to build capacity. Capacity building is the process by which organizations obtain, improve, and retain the skills, knowledge, tools, equipment and other resources needed to do their jobs both competently and to a greater capacity such as a larger scale, larger audience, or larger impact. Building capacity will look different for different organizations, and is usually mission dependent. It may include promoting greater organizational stability via increased staff, improved governing board functionality, and/or diversification of funding sources, increasing a historic preservation organization's management, planning, and fiscal capabilities, and/or encouraging a broad range of educational and advocacy programs in historic preservation. Building capacity ***always includes some institutional movement from the place where an organization starts to the place where it plans to go.***

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

ISCB Grants may be used for the support of local historic preservation non-profit organizations incorporated in Connecticut. For the purposes of this program, a local historic preservation organization is defined as a 501(c)(3) nonprofit organization dedicated to the comprehensive identification, evaluation, registration and protection of historic districts, sites, buildings, structures, objects, and landscapes that are significant in the history, architecture, archeology, engineering, or culture of the municipality in which it is based. In addition to receipt of grant funds, it is expected that qualified applicants will work collaboratively and closely with SHPO staff throughout the period of the grant award.

Eligible Applicants

Organizations must have maintained tax-exempt status under Section 501(c)(3) of the Internal Revenue code for at least two years, be governed by a board of directors that meets regularly to set policy, show proof that organizational bylaws are reviewed every five years, and have completed two full years of historic preservation programs.

Applicants are required to submit an organizational strategic plan that is no older than five years and is consistent with Connecticut's Statewide Historic Preservation Plan, Shared Stewardship 2018-2023. (available online at https://portal.ct.gov/DECD/Content/Historic-Preservation/06_About_SHPO/About-SHPO-new); an audit (or equivalent) for the most recently completed fiscal year; an Affirmative Action Plan; and a statement on compliance with federal Americans with Disabilities Act requirements. Organizations must submit a proposed two-year work plan to be approved by SHPO prior to the issuing of a grant contract by SHPO. The proposed work program must provide clear benefits to the public in the field of historic preservation, and be in alignment with the institution's strategic plan and the SHPO Statewide Preservation Plan. If you have questions about whether your organization will qualify for this grant, please contact Mary Dunne, Mary.Dunne@ct.gov.

Funding Awards

Two-year grant will be awarded with annual amounts based on the following scale:

Organizational Budget of \$100,000 or more:	\$50,000/year
\$50,000-99,999:	\$10,000/year
Under \$50,000	\$5,000/year

Existing grantees that have received Basic Operating Support (BOS) awards in 2017 and 2018 will qualify for funding at the \$50,000/year level.

Applicant organizations must match the state grant award on a 50/50 basis for the two year period of the request. The match may come from private, municipal or federal funds. Staff salary expenses, in-kind services and direct facility costs (rent, utilities, and office supplies) are also eligible components of the matching share.

In order to qualify for ongoing support, organizations must have demonstrated measureable increases in capacity correlated to their stated objectives. Applicants will be asked to report at the end of each year and identify achievements.

Grant funds are paid to grantees quarterly by the SHPO on a reimbursement basis. The grantee will submit requisition form as proscribed by SHPO which will be accompanied by expenditure receipts and an activity report for the period. In all cases, whether pertaining to a specific project or to advise to the public, reports, etc., (Applicable project) historic

preservation work and recommendations must be consistent with the Secretary of the Interior's Standards for Identification, Evaluation, Registration, and Protection as interpreted by the SHPO. Grantees are highly encouraged to work directly with SHPO staff proactively to ensure that the Secretary of the Interior's Standards are always met. ***Association with work or other advice, recommendations, etc. that does not meet these Standards may jeopardize current and future funding.***

Eligible applicants are strictly limited to Connecticut non-profit local historic preservation organizations as described above. Proof of non-profit status is required. All applicants must provide their Federal Employer Identification Number issued by the U.S. Internal Revenue Service.

Ineligible applicants include: federal and state agencies, "friends" groups of federal or state agencies and municipalities, including municipal historic district commissions.

Eligible costs include:

- staff salaries and wages (administrative, programmatic, and technical) including fringe benefits
- in-kind services (must receive SHPO review and prior approval)
- postage, shipping
- professional development
- professional services such as legal, accounting, or audit
- printing/publication-must contain the DECD funding acknowledgement and logo
- public education activities
- rent
- software
- supplies
- telephone
- utilities
- website development

Ineligible costs include:

- acquisition of real estate
- activities performed outside of the represented municipality
- archeological salvage
- archival research not connected to historic preservation.
- capital expenses
- construction, restoration or rehabilitation
- costs incurred prior to the date of a grant award
- court actions
- curation
- equipment purchase
- fines or penalties
- fundraising efforts
- general operating expenses
- hospitality expenses including alcoholic beverages, food, meals and entertainment
- indirect costs
- interest payments
- interpretative expenses
- lobbying activities
- nonconformance with applicable Secretary of the Interior's Standards
- projects already underway
- political contributions
- regranting

Application Materials

Applications will be accepted on a rolling basis and will be considered for funding as long as state funds are available. Applications can be mailed or sent by email. The application must include all materials shown below.

1. Application Cover Sheet
2. Project Abstract (200 words)
3. Narrative Questions: Using a bullet point or table format, please respond to questions A through F.
 - A. What are the specific goals that your organization hopes to accomplish in the next two years?
 - B. List the actions your organization will take to achieve each goal.
 - C. How will you measure the success of your action steps towards achieving your goal? You may use both qualitative and quantitative measures.
 - D. What is your timeline for achieving these action steps? (be as specific as possible)
 - E. What area/s of your institutional capacity will be addressed by these goals and objectives, and how are they aligned to your strategic plan? (please site strategic plan reference number and use table in appendix A)
 - F. How do your goals and action steps align with the goals of the 2018-2023 SHPO Statewide Plan (https://portal.ct.gov/DECD/Content/Historic-Preservation/06_About_SHPO/About-SHPO-new)?
4. In a narrative format, please discuss how you identified your organization's goals and actions, and how they interface with your organization's regular activities?
 - About your organization. Please answer the following questions about your organization so that we get to know you better.
 - What is your mission?
 - What is your vision?
 - Who is your audience (who do you serve?).
 - How do you measure your impact?
 - Are you a membership organization? If so, how many members did you have in the following years: 2016, 2017, 2018
 - List the names and titles of your staff, indicate whether part-time, full-time or other

- Explain the ways in which your organization fulfills its mission. Be specific. (Example may include preservation planning, protection of buildings, number of surveyed buildings, nominations to the National Register of Historic Places, public education activities or other issues deemed relevant by the applicant.)

5. Budget to include:

- Itemized program budget that includes eligible grant costs. 25% of the budget can include volunteer hours at a rate of \$25/hour and in-kind donations such as donated rent or other operation expenses.
- A signed statement committing matching funds if awarded a state grant.
- A statement identifying the sources of the matching share and the amounts.

Organizational readiness and attachments

- Attach a copy of the organization's Strategic Plan with date of origin and revisions if applicable.
- Attach an audit report for the most recently completed year.
- Attach a copy of the organization's Affirmative Action Plan
- Attach a copy of the Affirmative Action and ADA form.
- IRS Tax Exempt Letter (Determination Letter) for non-profit organizations
- W-9 Form
- Attach copies of other required state forms as found with the Application Cover Sheet
- Staff and board demographics by age, gender and ethnicity. How is your board reflective of the community (audience) you serve? SHPO requires that ISC recipient staff and board membership are reflective of the organization's service area.

All complete applications will be reviewed by SHPO staff and considered for funding. Once an application is reviewed, SHPO will contact the applicant with any questions or to request points of clarification.

The following criteria are the basis for the review of BOS applications:

1. Quality of Initiative:

- Capacity building initiative is consistent with strategic goals.
- Initiatives goals and actions are clearly tied to SHPO Statewide Plan and internal strategic plan

2. Impact:

- Ability of the initiatives to have a clear and positive impact on organizational capacity and local historic preservation efforts as demonstrated by qualitative and quantitative data
- Ability of the initiatives to move an organization towards the fulfillment of goals articulated in its strategic plan

3. Ability to carry out the program:

- Thoroughness and appropriateness of budgets
- Feasibility of the work plan's success, based on thorough planning as reflected in the narrative

Please Send completed applications with all support materials to:

Mary Dunne
DECD-State Historic Preservation Office
450 Columbus Blvd.
Suite 5
Hartford, Ct, 06103

OR email:

Mary.dunne@ct.gov

Grant Award, State Contract and Request for Reimbursement

A grant award letter and contract will be sent to the grantee following award by the Historic Preservation Council. Grant contracts must be signed and returned within 30 Days. SHPO will not disburse funds without receipt of signed original contracts. Grant recipients are required to use funds for the purpose indicated on the contract and must seek and receive SHPO written approval for any changes or modifications to the contract. Grantees are required to credit the "Connecticut Department of Economic and Community Development, State Historic Preservation Office" in all print, audio, video and internet materials, and all publicity materials.

Grantees are allowed to request payment of the grant on a quarterly basis following the execution of a grant contract with DECD. BOS grant payments are made as a reimbursement to the grantee. Grantees are required to submit a Request for Reimbursement for each quarter with fiscal documentation.

Funded organizations are required to submit quarterly and year-end reports and a Final Report within 30 days of the completion of the program. Forms and instructions will be provided. Failure to submit a final report will void eligibility for future funding from the SHPO.

The Final Report will indicate the impact according to measurements proposed in the application.

Grant Cancellations

- The SHPO has the right to withhold, reduce or cancel grants if a non-profit organization:
- Owes final reports from previously received SHPO grants which are overdue
- Fails to comply with the terms of the grant contract
- Demonstrates inadequate financial management or oversight
- Does not properly credit SHPO support
- Experiences significant changes in programs or services, or cancels or suspends a funded project

Institutional Support for Capacity Building Grant Application Cover Sheet

APPLICANT INFORMATION

Applicant Organization:

Chief Elected Official/Executive Director:

Federal Employer ID Number:

Street Address:

Municipality:

State:

ZIP Code:

Contact Name:

Daytime Phone:

Email Address:

Website:

Mailing address:

Municipality:

State:

ZIP Code:

Grant Amount Request: \$

List any previous grants received from SHPO (include grant type, date awarded, and award amount):

LEGISLATIVE INFORMATION

U.S Representative's Name:

District #

State Senator's Name:

District #

State Representatives Name:

District #

AUHTORIZATION

Name of Authorized Official:

Title

Signature:

Date:

Institutional Support for Capacity Building Grant Application Checklist

Required Items	Included	N/A	Comments
Application Cover Sheet	<input type="checkbox"/>	<input type="checkbox"/>	
Detailed Annual Work Plan per guidelines	<input type="checkbox"/>	<input type="checkbox"/>	
501(c)3 or 501(c)13 IRS tax status determination letter	<input type="checkbox"/>	<input type="checkbox"/>	
2 Copies of Certified Resolution	<input type="checkbox"/>	<input type="checkbox"/>	
Budget per guidelines	<input type="checkbox"/>	<input type="checkbox"/>	
Strategic Plan	<input type="checkbox"/>	<input type="checkbox"/>	
Audit from most recently completed year	<input type="checkbox"/>	<input type="checkbox"/>	
Affirmative Action Plan	<input type="checkbox"/>	<input type="checkbox"/>	
Photographs	<input type="checkbox"/>	<input type="checkbox"/>	
W-9	<input type="checkbox"/>	<input type="checkbox"/>	
Vendor Profile Form	<input type="checkbox"/>	<input type="checkbox"/>	

Applicant Name: _____

Project Name: _____

Amount Requested: \$ _____

Signature: _____

Date _____

**If you have questions regarding the ISCB Grant Application please
contact**

Mary Dunne at Mary.Dunne@ct.gov or 860-500-2356