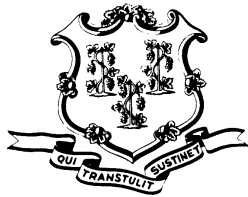


Office of the Public Records Administrator



Targeted Grants: Application and Guidelines

FY 2023

Historic Documents Preservation Grant Program

Connecticut State Library
Hartford, Connecticut
February 1, 2022

CONNECTICUT STATE LIBRARY

STATE LIBRARIAN

Deborah Schander

PUBLIC RECORDS ADMINISTRATOR

LeAnn Burbank, CRM

HISTORIC DOCUMENTS PRESERVATION PROGRAM

LeAnn Burbank, CRM

HISTORIC DOCUMENTS PRESERVATION PROGRAM ADVISORY COMMITTEE

Lisa Arpin, Town Clerk, Branford

LeAnn Burbank, Public Records Administrator, State Library

Vera Dinneen, Town Clerk, Cornwall

Doralis Hernaiz, Fiscal Administrative Officer, State Library

Heather George, Town Clerk, Sterling

Richard McQuaid, Town Clerk, Norwalk

Therese Pac, Town Clerk, Bristol

Lizette Pelletier, State Archivist, State Library

Anna Posniak, Town Clerk, Windsor

Patricia Riley, Town Clerk, Ledyard

Deborah Schander, State Librarian

Antoinette Spinelli, Town Clerk, Waterbury

Sharon Uricchio, Town Clerk, Clinton

Kate Wall, Town Clerk, Berlin

Elizabeth Waters, Town Clerk, Bolton

Sandi Wieleba, Town Clerk, Rocky Hill

STATE LIBRARY BOARD

Maureen Sullivan, Chair

Alison Clemens, Vice-Chair

Judge Henry S. Cohn

Jessica de Perio Wittman

Justice Steven Ecker

Mary Etter

Robert D. Harris, Jr.

Melissa Wlodarczyk Hickey

Allen Hoffman

Sandra Ruoff

Issued in accordance with Conn. Gen. Stat. § 11-8i through § 11-8n.

CONTENTS

I. Introduction.....	2
II. Program Scope	3
III. Timetable.....	4
IV. Eligibility Requirements.....	5
V. Funding Levels.....	5
VI. Funding Priorities.....	6
VII. Grant Categories and Projects	6
1. Inventory and Planning	6
2. Organization and Indexing	7
3. Program Development	7
4. Storage and Facilities.....	8
5. Preservation/Conservation	8
VIII. Specific Project Information	9
1. Microfilming Projects	9
2. Digital Imaging (Scanning) Projects.....	9
3. Vital Records Projects	9
4. HVAC Projects.....	10
IX. Allowable Expenses	11
1. Eligible Expenses.....	11
2. Ineligible Expenses.....	13
X. Application and Contract Procedures	14
1. Submit the Application	14
2. Submit the Grant Contract	15
3. Grant Start Date	15
4. Receipt of Grant Funds.....	15
XI. Grant Administration Requirements	16
1. General Requirements	16
2. Grant Amendments	16
3. Grant Completion Deadline.....	17
4. Return of Unexpended Funds	17
5. Final Report.....	17
XII. Contact Information.....	18
XIII. Application: Instructions and Form	19
XIV. Final Report: Instructions and Form.....	23

I. INTRODUCTION

As we enter the twenty-second year of the Historic Documents Preservation Program, the program's benefits are evident to Connecticut's citizens, historians, genealogists, title searchers and attorneys working with municipal government records throughout the state. The program continues to support municipalities in making significant improvements to the preservation and management of their most valuable records.

Grant award levels are set each year based on available funding. After evaluating the fund balance and revenue projections for the remainder of this fiscal year, the State Librarian and the agency's fiscal manager determined that funding should remain level for the upcoming fiscal year. In consultation with the Advisory Committee, the FY 2023 grant award levels have been set at \$5,500, \$7,500 and \$10,500 for small, medium and large towns, respectively.

Since its inception, the grant program has awarded over \$19 million in grants to municipalities. These grants have supported a wide range of projects, allowing municipalities to improve records preservation and management, increase efficiencies and reduce costs. Funding to support these services has proven even more critical during the COVID-19 pandemic. Many municipalities have reported that because of ongoing grants from this program, they were well-prepared to provide electronic access to the land records and maps when town halls were closed to the public. This ability to provide online access helped ensure that towns could continue to maintain one of their essential services, the legal recording of property transactions across the state.

Through scanning, microfilming, conservation, program development and other records projects, municipalities are improving public access to local records while ensuring that these records continue to remain available to future generations.

The grant staff and I look forward to working with you during FY 2023.



LeAnn R.P. Burbank, CRM
Public Records Administrator
February 1, 2022

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 State Library oversees this account and administers the grant program for Connecticut's municipalities.

As the program is funded through a fee on land recordings, the available funding for grants varies with the volume of land recordings and cannot be predicted with certainty. The grant award amounts are set each year based on the account balance and projected revenues. Targeted Grants receive priority funding from the program. Disaster Recovery Grants are offered subject to the availability of funds at the time of application.

Targeted Grants support records projects in one or more municipal departments. Every municipality in good standing that submits a properly completed application for an eligible project by the appropriate deadline is eligible to receive a Targeted Grant from the fund.

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. Additional information on Disaster Recovery Grants is available on request from the Office of the Public Records Administrator.

Targeted Grant project categories are based on pre-established areas of greatest need as determined by the Office of the Public Records Administrator. 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 on the State Library website at <https://ctstatelibrary.org/publicrecords/hdpp>.

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

III. TIMETABLE

February 1, 2022	Grant application materials are made available to town officials.
April 30, 2022	Postmark Deadline for submitting a Cycle 1 Application
July 31, 2022	Cycle 1 award notifications mailed to town officials by this date. After receiving award notification, the municipality must promptly return the signed Grant Contract for execution at the State Library.
September 30, 2022	Postmark Deadline for submitting a Cycle 2 Application.
December 31, 2022	Cycle 2 award notifications mailed to town officials by this date. After receiving notification, the municipality must promptly return the signed Grant Contract for execution at the State Library.
April 30, 2023	Postmark Deadline for submitting an Amendment Request Form. The municipality must obtain approval and an amended contract before proceeding.
June 30, 2023	Completion Deadline. Grant projects must be completed and funds expended by this date.
September 1, 2023	Receipt Deadline for the Project Evaluation/Expenditure Report. Grantees are encouraged to submit this report immediately upon completion of the grant , that is, June 30 or earlier. Reports should be postmarked no later than August 11 to ensure receipt and processing by the deadline.

Note: When a **Postmark Deadline** falls on a Sunday or State Holiday, the deadline is the **next** following business day. When a **Receipt Deadline** falls on a Saturday, Sunday or State Holiday, mail the form in time to be **received** at the State Library by the **prior** business day.

IV. ELIGIBILITY REQUIREMENTS

Every municipality in good standing that submits a properly completed application for an eligible project by the appropriate deadline is eligible to receive a Targeted Grant from the fund. There is no requirement for the municipality to provide matching funds.

A municipality is eligible to apply for one Targeted Grant each year and may choose either Cycle 1 or Cycle 2. 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:

- The municipality has submitted the required Monthly Document Recording Reports (GP-005 rev) with the appropriate payments to the State Library.
- The municipality has met all requirements for any past grant it has received from the program. Please Note: It is common and allowable for a municipality to apply for a grant for the upcoming fiscal year before completing its grant for the current fiscal year. For example, a town may still be in the process of completing its current year grant project by June 30th while applying by April 30th for the upcoming grant year. The upcoming grant will not begin until the following fiscal year and therefore there is no overlap between the grant projects.

Any municipality that is more than two consecutive months behind in its monthly filings or has outstanding obligations for any past grant is ineligible to apply for a grant until all requirements have been met. In addition, the State Library will not release grant funds to a municipality that fails to submit the required monthly filings after a grant has been awarded.

V. FUNDING LEVELS

The Targeted Grant award amount is determined by a town's population as of the latest published Decennial U.S. Census figures at the time that the *Application and Guidelines* are published on February 1, 2022. The reference figures for the FY 2023 grants are those in the **2020 Decennial U.S. Census**.

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

- | | | |
|-----------------------|--------------------------------------|-----------------|
| • Small Municipality | Population less than 20,000 | \$5,500 |
| • Medium Municipality | Population between 20,000 and 69,999 | \$7,500 |
| • Large Municipality | Population of 70,000 or over | \$10,500 |

VI. FUNDING PRIORITIES

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.
- Improved organization and access to municipal records through physical organization or indexing, scanning, updated records management software, or other information technology.
- Improved records management or preservation practices within municipal departments.
- Improved records storage, maintenance and security through the purchase of appropriate equipment.
- Preservation of historic documents (original, non-published public 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. If the selected grant project does not utilize the full grant funding, the municipality should include two or more projects in the application to utilize full funding. Additional expenses, if any, may be covered with local funds.

1. INVENTORY AND PLANNING

Inventory and planning projects allow towns to conduct a needs assessment to serve as a framework for a municipal records management or preservation program. Towns may also use a planning survey as a basis for planning and prioritizing future grant projects.

Planning surveys must be prepared by approved consultants. A list of approved consultants is available on request from the grants staff.

Eligible projects include:

- **Preservation survey** to identify permanent and archival records and provide recommendations for a plan for records care, preservation, and access.
- **Records management survey** to conduct a records inventory and provide recommendations for a plan for active records management.
- **Disaster preparedness survey** to develop recommendations for a disaster response 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 planning for renovation or construction of vaults/records storage facilities.

2. ORGANIZATION AND INDEXING

Organization and indexing projects improve records management and access by utilizing indexing, scanning, archival processing or records management software and 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, redaction or codification project.
- **Records processing project** to organize and create finding aids for a collection of historical or active public records; for example, a project to process a collection of archival records.
- **Purchase of computer software** to manage and improve access to a collection of historical or active public records; for example, the purchase of a records management software module.
- **Purchase of information technology hardware** to manage and improve access to a collection of historical or active public records; for example, the purchase of a scanner or a public access computer for land records or a large format scanner/printer for maps and plans.

3. PROGRAM DEVELOPMENT

Program development projects advance the records management or preservation practices within one or more departments. These may be projects recommended in an earlier planning survey (see *Inventory and Planning*, above) or standalone projects, sometimes carried out with the assistance of an approved consultant.

Eligible projects include:

- **Development of a records management, preservation or disaster recovery plan** for one or more municipal departments; for example, developing a municipal records management policy/procedures manual or a records disaster recovery plan.

- **Implementation of a records management, preservation or disaster recovery plan** for one or more municipal departments; for example, a project to establish/organize a records storage room or to rehouse archival records.

4. STORAGE AND FACILITIES

Storage and facilities projects improve the physical environment for public records by improving records storage, security or environmental conditions.

Note that furnishings that are not used for records storage, such as tables and chairs, are ineligible for grant funding (see *Ineligible Expenses*, below). Facility renovation or construction expenses are ineligible 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; for example, records shelving, map cabinets, or fire-resistive cabinets.
- **Purchase of environmental monitoring equipment** to manage or improve records storage conditions; for example, thermohygrometers or dataloggers.
- **Purchase of specialized cleaning equipment** to maintain or improve records storage conditions; for example, HEPA filter vacuums.
- **Purchase of security equipment** for the protection of permanently retained public records; for example, detection or surveillance systems for vaults.
- **Installation or upgrade of a vault HVAC system** to maintain or improve records storage conditions (see *HVAC Projects*, below).

5. PRESERVATION/CONSERVATION

Preservation/conservation projects improve records longevity by producing microfilm security copies; recreating original records; creating access copies to reduce handling of original records; conserving original records with intrinsic value that are showing signs of deterioration and damage; or purchasing archival supplies.

Eligible projects include:

- **Microfilming project** for permanently retained public records; for example, to create off-site security copies.
- **Reformatting project** for permanently retained public records; for example, to recreate volumes or to reduce handling by creating use copies.

- **Conservation project** for permanently retained original public records that have intrinsic value and are showing signs of deterioration or damage.
Note: These projects should include **microfilming** if the records have not **already** been microfilmed (and may also include digital scanning if helpful for access). Alternatively, if the project does not include microfilming because the town already has off-site microfilm for these records, this should be stated in the **Application Narrative Page** when responding to **Question 1**.
- **Purchase of archival supplies** for the preservation of public records, such as archival paper, records binders, records storage boxes, disaster recovery kits or other preservation materials.

VIII. SPECIFIC PROJECT INFORMATION

For microfilming, scanning, vital records or HVAC projects, refer to the appropriate sections below.

1. MICROFILMING PROJECTS

The municipality is responsible for ensuring that microfilming projects meet the requirements set by the Office of the Public Records Administrator in its microfilming policy; available online at <https://ctstatelibrary.org/publicrecords/municipal>

2. DIGITAL IMAGING (SCANNING) PROJECTS

The municipality is responsible for ensuring that digital imaging projects meet the requirements set by the Office of the Public Records Administrator in its digital imaging policy; available online at <https://ctstatelibrary.org/publicrecords/municipal>

3. VITAL RECORDS PROJECTS

The Department of Public Health requires that registrars of vital statistics notify the department prior to beginning any vital statistics records project (for example, microfilming, scanning or conservation). This requirement applies to any project involving vital statistics records, whether or not the project is funded through a grant.

The registrar must contact Elizabeth Frugale, State Registrar of Vital Records, at elizabeth.frugale@ct.gov or (860) 509-7895, and provide the following information: the record types and date range; the type of project; whether the work will be done by a vendor or performed in-house; and the measures that will be in place to protect the confidentiality and security of the vital statistics records.

4. 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:
 - 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.
 - Obtain an environmental monitoring survey, which includes daily readings as well as professional analysis and reporting. This option is recommended as it will provide more complete and accurate data for use in determining system requirements and improvements.
- 2) The town must hire a licensed engineer to assess the vault, review 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 to the Public Records Administrator. The plans must meet the vault regulations and must receive approval before the project is submitted 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 \$5,500. If the proposed HVAC project cost \$6,000, it would apply for \$3,000 in grant funds and pay \$3,000 from local funds (and would request the remaining \$2,500 in grant funds for another project). If the project cost \$15,000, it would apply for \$5,500 in grant funds and pay \$9,500 from local funds.

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 outlined below.

Note that in many cases, municipalities may procure products or services available on State Contract at discounted contract prices. The Department of Administrative Services maintains a State Contracting Portal online at <https://portal.ct.gov/DAS>

Municipalities are also encouraged to utilize Connecticut-based small, women, minority and disabled-owned businesses as certified through the State of Connecticut's Supplier Diversity Program. The Department of Administrative Services maintains a Small/Minority (SBE/MBE) Company Directory online at <https://biznet.ct.gov/SDSearch/SDSearch.aspx>

A. Consultants/Vendors

For consulting services or records conservation services, the municipality may only use vendors that have been approved for the grant program by the Public Records Administrator. A list of approved consulting and conservation vendors is available from the grants staff on request.

For all other vendor services, the municipality must select vendors that are appropriate and qualified to perform the proposed services. The application must include sufficient information regarding the vendor.

It is the responsibility of the municipality to oversee all vendor work and to ensure that any problems are rectified. When using an approved consulting or conservation vendor, also note that this initial review does not guarantee the professionalism of the vendors nor the quality of their products or services.

Vendors may not reference the *Historic Documents Preservation Program*, *Office of the Public Records Administrator*, and/or *Connecticut State Library* in any hardcopy, electronic, or web-based marketing materials, advertisements, or other solicitations that they publish or distribute nor include statements suggesting that the firm or its products or services have been endorsed by the *Historic Documents Preservation Program*, *Office of the Public Records Administrator*, and/or *Connecticut State Library*.

B. Equipment

Routine office equipment and furniture is the responsibility of the municipality (see *Ineligible Expenses*, below). Eligible equipment purchases include but are not limited to:

- Storage equipment such as shelving systems, 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.

- Regular or large format printers, copiers or scanners to be used exclusively for records purposes.
- Environmental monitoring equipment such as thermohygrometers or dataloggers.
- HEPA (high efficiency particulate air) filter vacuum for cleaning records storage areas.
- Microfilm reader to conduct quality control tests for preservation microfilm.

C. Supplies

Eligible supplies include but are not limited to: alkaline (acid-free) supplies; records storage boxes; archival-quality pigment ink pens; REACT•PAKs™ or other similar disaster recovery supplies; and appropriate reference books.

Refer to archival product catalogs/websites for additional examples of appropriate supplies, including University Products, Hollinger Metal Edge, Light Impressions and others.

D. Town Personnel Costs

For temporary staff or for town employees working added hours specifically on a grant project, base pay is an eligible expense. The municipality is responsible for any additional expenses for overtime, employee benefits, or applicable payroll taxes. Grant funds may not be used to supplant funding for regularly scheduled hours or job duties as indicated in the employee's job description.

The applicant must include the following information in the **Application Narrative Page** when responding to **Question 2**:

- *List each position to be paid with grant funds, as follows:* Specify the job title; specify if temporary or regular town personnel; and briefly describe the job duties for the grant project.
- *List the hours and pay for each position, as follows:* Specify the total number of hours to be worked, the hourly rate, and the total pay. If listing more than one position, also show the grand total for hours and pay.
- *Indicate the expected timeframe for the project, as follows:* Specify the number of weeks required to complete the grant project and the number of hours to be worked each week. Then multiply to show the total hours for the project.
- *For all personnel, include the following statement as confirmation:* Grant funds will be used for base pay only and any overtime, employee benefits or payroll taxes will be covered using local funds.
- *For town employees, also include the following statement as confirmation:* These hours and duties are outside the regularly scheduled hours and duties of the employee.

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, 2022, AND the municipality's receipt of its copy of the fully executed contract.
- Project expenses incurred after the end of the contract period; that is, June 30, 2023.
- 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 municipality'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 workstations, conference tables, chairs, or other items used for routine office activities.
- Office supplies, such as pens, pencils, printer toner, town seal stamps, or other items used for routine office activities.
- Personnel costs for non-grant work.
- Hospitality expenses.
- Prizes or awards.

X. APPLICATION AND CONTRACT PROCEDURES

1. SUBMIT THE APPLICATION

To apply for a grant, a municipality must submit the application form, a brief narrative page 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.

It must be **postmarked** by **April 30, 2022** for consideration under Cycle 1 or by **September 30, 2022** for consideration under Cycle 2.

The applicant is responsible for ensuring the town receives **confirmation of receipt** of the hard copy application. When submitting the application, **mark your calendar** for **2 weeks** after your **mailing date** as a reminder to check that you have received an email **confirming receipt** of your application. Follow up with the grants staff if you do not. These emails are sent out weekly as batch confirmations. Using a service such as certified mail is not required and **does not** confirm receipt at the grants office because mail is routed further after reaching the central mailroom.

Municipalities are strongly encouraged to apply under **Cycle 1** as this allows for a longer time period for the town and vendor to complete the grant. A town may apply for one grant each year, selecting either Cycle 1 or 2.

There is no requirement for a town to continue to apply under the same cycle each year. For example, a town completing a Cycle 2 grant for the current year may apply under Cycle 1 for the upcoming year.

Note that it is common and allowable for a municipality to apply for a grant for the upcoming fiscal year **before** completing its grant for the current fiscal year. For example, a town may still be in the process of completing its current year grant project by June 30th while applying by April 30th for the upcoming grant year. This upcoming grant project will not begin until the following fiscal year and therefore there is no overlap between grant projects.

Applications may include one or more projects. Applicants should request the **full grant amount** for which the municipality is eligible. If the selected project does not utilize the full grant funding, the applicant should include **additional projects** to reach the grant amount; for example, purchasing eligible supplies or equipment. If project expenses exceed the full grant amount, local funds may be added.

The municipality is responsible for submitting a complete application by the deadline and for ensuring that all eligibility requirements have been met (see *Eligibility Requirements*, above).

Applicants are encouraged to contact the grants staff for assistance with any questions prior to the application deadline.

The applicant must promptly submit any additional information or changes requested by the grants staff or the application may be deferred to the next grant cycle or grant year.

2. SUBMIT THE GRANT CONTRACT

The State Library will notify the applicant of its decision regarding the application on or before July 30, 2022 for Cycle 1 awards and on or before December 31, 2022 for Cycle 2 awards.

The notification mailing will include the municipality's Grant Contract, which must be signed by the Municipal CEO and then returned to the State Library for execution by the State Librarian.

The applicant must return the signed contract promptly to the State Library. If it is 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.

3. GRANT START DATE

The grant is not awarded to the municipality until the Grant Contract has been executed by the Municipal CEO and State Librarian.

After the municipality's Grant Contract is signed by the State Librarian, the applicant will be notified and will receive a copy of the fully executed contract.

The municipality may begin grant work and expenditures only after receiving its copy of the fully executed contract.

4. RECEIPT OF GRANT FUNDS

The State Library will make payment on grant awards according to the terms and conditions stated in the Grant Contract.

Payment to the municipality should be processed within **45 days** of approval of the contract. If the payment is not received within 45 days, contact the grants staff.

The municipality is **not** required to wait for receipt of the payment before beginning the grant project.

XI. GRANT ADMINISTRATION REQUIREMENTS

1. GENERAL REQUIREMENTS

Grantees must conduct projects in accordance with the work plan and budget specified in the approved application and the provisions of the grant guidelines and contract. Each project is expected to substantially meet the objectives stated in the application.

Grant projects and expenditures must be completed **within** the contract period. The contract period begins **after** the municipality receives its copy of the fully executed contract and the start of the contract period, July 1, 2022, whichever is later, and ends **June 30, 2023**.

2. GRANT AMENDMENTS

Changes to the project or budget may not be made without **prior approval**. Contact the grants staff immediately to discuss **any potential change** to the vendor, work plan, or budget line items.

Changes must be reviewed and approved in advance. Significant changes to the project's purpose, methodology or budget will require the submission of an Amendment Request Form by **April 30, 2023**. Contact the grants staff by mid-April.

Note that budget reallocations of up to **10%** of the grant award do not require prior approval and may be made through **June 30, 2023**. These 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. The grantee is encouraged to contact the grants staff to review the changes in advance.

For example, a municipality receiving a \$5,500 grant would not require formal approval to adjust up to \$550 in funds as described through June 30, 2023. Reallocation of more than \$550 would require the submission of an Amendment Request Form by April 30, 2023.

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 to discuss any difficulty that may affect the municipality's ability to complete grant work and expenditures by the June 30 deadline. Note that a request for an extension requires the submission of an Amendment Request Form by April 30, 2023.

If an Amendment Request Form is submitted and approved, the municipality will receive a Contract Amendment to be signed by the Municipal CEO and returned to the State Library no later than May 31, 2023. After it is executed by the State Librarian, the Town Clerk will receive a copy of the fully executed contract and may then begin the amended project.

To discuss any potential changes or obtain an Amendment Request Form, please 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, 2023**.

Note that “expended” means that the funds have been **spent** or have been **encumbered** by the submission of a valid **purchase order** by June 30, 2023.

Applicants must maintain good communication with their vendors and fiscal staff to ensure that the June 30 deadline will be met.

4. RETURN OF UNEXPENDED FUNDS

If a project comes in **under budget** or other issues arise that could result in unexpended grant funds, the applicant should **contact** the grants staff as soon as possible for assistance with reallocation of the funds (see *Grant Amendments*, above). Do not return unexpended funds prior to June 30 without first contacting the grants staff.

Funds remaining **unexpended** after **June 30, 2023**, must be **returned** with the Project Evaluation/Expenditure Report. Checks should be made payable to “Connecticut State Library” and may be rounded to the nearest dollar.

5. FINAL REPORT

The **Project Evaluation/Expenditure Report** must be submitted for **receipt** at the State Library by **September 1, 2023**. By statute this is a **receipt deadline** and **not** a postmark deadline.

The form should be postmarked by **August 11** at latest to ensure receipt and processing at the State Library by September 1. However, grantees are encouraged to submit the form immediately upon completion of their grant project and expenditures, that is, **June 30 or earlier**.

This final report documents the completion of the project and expenditure of the grant funds. It includes a brief narrative page and a Certification Statement signed by the MCEO or, if designated as the applicant (on the Application), the Town Clerk.

Financial and other supporting documentation must be maintained by the municipality as part of the grant file in accordance with the municipal records retention schedules.

New this grant year: Financial and other supporting documentation must be included with the submission of the Project Evaluation/Expenditure Report. This would include vendor invoices and/or payroll records for any expenses involving town personnel costs.

If a consultant’s report is produced as part of the project, such as a planning survey or a records policy and procedures 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 the 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 contact 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

For assistance, contact: LeAnn Burbank, Public Records Administrator
(860) 757-6540
LeAnn.Burbak@ct.gov

Mail grant forms to: LeAnn Burbank, Public Records Administrator
Connecticut State Library
231 Capitol Avenue
Hartford, CT 06106

XIII. APPLICATION: INSTRUCTIONS AND FORM

This form is available on the State Library website: <https://ctstatelibrary.org/publicrecords/hdpp>

Save a copy to your computer by using "Save As." Click on each highlighted field or use the Tab button to page through the fields. To check a box, click on the box. Print the form for signatures and submission.

Instructions:

- **Name of Municipality:** Use the format "Town of ____" or "City of ____." For example, "Town of Andover."
- **Designated Applicant Checkbox:** If the Municipal CEO chooses to appoint the Town Clerk as the applicant for the grant (as indicated on the second page of the application), check this box.
- **Grant Category:** If there is more than one project, more than one category may be selected. For a description of each category, see *Grant Categories and Projects* in the Guidelines booklet.
- **Budget Summary:** List the total costs under each line item, indicating grant funds and local funds (if any). Total the lines across and down.
- **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.
- **Signatures:** Signatures must be original; not stamped.
- **Mail the completed form, narrative page and supporting documents to:** LeAnn Burbank, Public Records Administrator, Connecticut State Library, 231 Capitol Avenue, Hartford, CT 06106

For questions or assistance: Contact LeAnn Burbank at (860) 757-6540 or LeAnn.Burbank@ct.gov.

[Blank Page]

APPLICATION
TARGETED GRANT FY 2023
 Historic Documents Preservation Program
 Connecticut Municipalities
 GP-001 (rev. 1/2022)



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 <https://ctstatelibrary.org/publicrecords/hdpp>

Name of Municipality:

*Use full municipality name, ie
 'Town of ' or 'City of '*

of

Name of Municipal CEO:

Title:

Phone with Area Code:

Email:

Name of Town Clerk:

Title:

Phone with Area Code:

Email:

Check if Designated Applicant: ☐

TC Mailing Address:

MCEO Address if Different:

Grant Application Deadline: ☐ Cycle 1: April 30, 2022

☐ Cycle 2: September 30, 2022

Grant Contract Period:

The contract period begins after July 1, 2022 AND receipt of the fully executed contract. Grant projects must be completed and funds expended by June 30, 2023.

Maximum Grant Allowed:

\$5,500	Small Municipality	Population less than 20,000
\$7,500	Medium Municipality	Population between 20,000 and 69,999
\$10,500	Large Municipality	Population of 70,000 or greater

Amount Requested:

\$ _____

Grant Category(ies):

<input type="checkbox"/> Inventory and Planning	<input type="checkbox"/> Organization and Indexing
<input type="checkbox"/> Program Development	<input type="checkbox"/> Storage and Facilities
<input type="checkbox"/> Preservation/Conservation	

See Page 6 of the Guidelines for Category descriptions.

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 specify on a separate sheet; rarely used)	\$	\$	\$
6. TOTAL	\$	\$	\$

¹ Base pay only for personnel hired directly by the municipality for the grant project. Consultant/vendor costs should be listed on Line 1.

² Personnel taxes, benefits and any overtime must be paid by the municipality.

Narrative Page & Supporting Documents

Answer on an attached page. **Number each question and answer.** If applying for more than one project, questions 1 through 3 must address each project **separately** and be numbered separately, i.e., 1a and 1b, 2a and 2b, 3a and 3b.

Answers should be provided in the applicant's own words, not by referencing the vendor's proposal.

- 1. Describe the project.** State **what** will be done and **why**. In addition, for **records projects**, identify the specific records, including date ranges. For **conservation projects**, also address microfilming – see Guidelines booklet for instructions under Preservation/Conservation on **Page 9**.
- 2. Provide vendor/personnel info & timeframe.** For **vendors**, identify the company and the timeframe for completing the work within the grant period. For **town personnel** – see Guidelines booklet for instructions under Town Personnel Costs on **Page 12**.
- 3. State what will be accomplished.** Explain how the project will impact the records, the office and/or the municipality.
- 4. Provide a detailed budget.** If applying for only **one** project with one vendor – **omit** this question. If applying for more than one project – show the **detail** for each line item listed on page 1 of the Application (Consultants/Vendors, Equipment, Supplies, and Town Personnel Costs) and the **split** between grant and local funds for each line item (if any).
- 5. Attach supporting documents.** For **vendors**: provide a copy of the proposal or quote. For **direct purchases** of equipment or supplies: provide a copy of the product information/pricing from the website or catalog.

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

Name and Title of MCEO

Certification of the Application

This section **must** be signed by the **applicant**.

If the Town Clerk is 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 2023 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*)

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

This form is available on the State Library website: <https://ctstatelibrary.org/publicrecords/hdpp>

Save a copy to your computer by using "Save As." Click on each highlighted field or use the Tab button to page through the fields. To check a box, click on the box. Print the form for signatures and submission.

If the individual who served as the applicant at the start of the grant has since left office, please note the change on the form and have the **individual currently holding the office** sign the report.

Instructions:

- **Name of Municipality:** Use the format "Town of ____" or "City of ____." For example, "Town of Andover."
- **Designated Applicant Checkbox:** If the Municipal CEO appointed the Town Clerk as the applicant for the grant (as indicated on your Application), check this box.
- **Grant Award Number; Grant Cycle:** These numbers can be found on your award notification letter or Grant Contract.
- **Expenditures:** Enter the total amounts spent for each budget line item. It is expected that these amounts will correspond closely with the amounts in the approved Application and Grant Contract.
- **Final Accounting:** Enter funds received, funds expended and any funds remaining unexpended. For example, if you received a \$5,500 grant and expended the full amount, you would enter "\$5,500," "\$5,500" and "0."
- **Unexpended Funds:** Grantees must return any funds not expended by June 30, 2023, to the Connecticut State Library with this report. The check should be payable to "Connecticut State Library" and may be rounded to the nearest dollar. **Prior to June 30th**, contact the grants staff **before** completing the report if there are unexpended funds.
- **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. Signatures must be original; not stamped.
- **New this grant year: Financial and other supporting documentation must be included with the submission of the Project Evaluation/Expenditure Report. This would include vendor invoices and/or payroll records for any expenses involving town personnel costs.**
- **Mail the completed form and narrative page to:** LeAnn Burbank, Public Records Administrator, Connecticut State Library, 231 Capitol Avenue, Hartford, CT 06106.

For questions or assistance: Please contact LeAnn Burbank at (860) 757-6540 or LeAnn.Burbank@ct.gov.

[Blank Page]

**PROJECT EVALUATION/
EXPENDITURE REPORT
TARGETED GRANT FY 2023**
Historic Documents Preservation Program
Connecticut Municipalities
GP-003 (rev. 1/2022)



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 <https://ctstatelibrary.org/publicrecords/hdpp>

Name of Municipality:

*Use full municipality name, i.e.
'Town of ___' or 'City of ___'*

of

Name of Municipal CEO:

Title:

Phone with Area Code:

Email:

Name of Town Clerk:

Title:

Phone with Area Code:

Email:

Check if Designated Applicant: ☐

TC Mailing Address:

MCEO Address if Different:

Grant Award Number: _____

Refer to the grant contract or award letter for this number.

Grant Cycle:

☐

Cycle 1

☐

Cycle 2

Grant Contract Period:

The contract period begins after July 1, 2022 AND receipt of the fully executed contract. Grant projects must be completed and funds expended by June 30, 2023.

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 (Please specify on a separate sheet; rarely used)	\$	\$	\$
6. TOTAL	\$	\$	\$

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

Narrative Page

Answer briefly on an attached page. **Number each question and answer.** If the grant funded more than one project, address each project **separately** and number separately, i.e., 1a and 1b, 2a and 2b.

1. **Completed Project:** Briefly describe the completed project and indicate that it achieved the goals outlined in the application.
2. **Impact:** Describe the impact of the project on the records, office or municipality.
3. **Summary:** Any additional comments such as an unexpected benefit or anything learned from the project.

Submission of Financial Documentation

New for FY2023: Financial and other supporting documentation must be included with the submission of the Project Evaluation/Expenditure Report. This would include vendor invoices and/or payroll records for any expenses involving town personnel costs.

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

Name and Title of Applicant

Name and Title of Preparer (only if different from Applicant above)

Date

Phone Number of Preparer

This final report should be **postmarked** by **August 11, 2023** at latest to ensure receipt and processing at the State Library by September 1, 2023, which is the receipt (not postmark) deadline pursuant to statute. However, grantees are encouraged to submit the form **immediately upon completion of their grants**, that is, June 30, 2023 or earlier.

If the municipality does not expend the full grant funds by June 30, 2023, a check for the **unexpended funds** must be submitted with the report. The check should be made payable to "Connecticut State Library" and may be rounded to the nearest dollar. **Prior to June 30: Contact the grants staff** regarding unexpended funds **before** completing this report.

Mail the signed form and narrative page to:
LeAnn Burbank, Public Records Administrator
Connecticut State Library
231 Capitol Avenue
Hartford, CT 06106