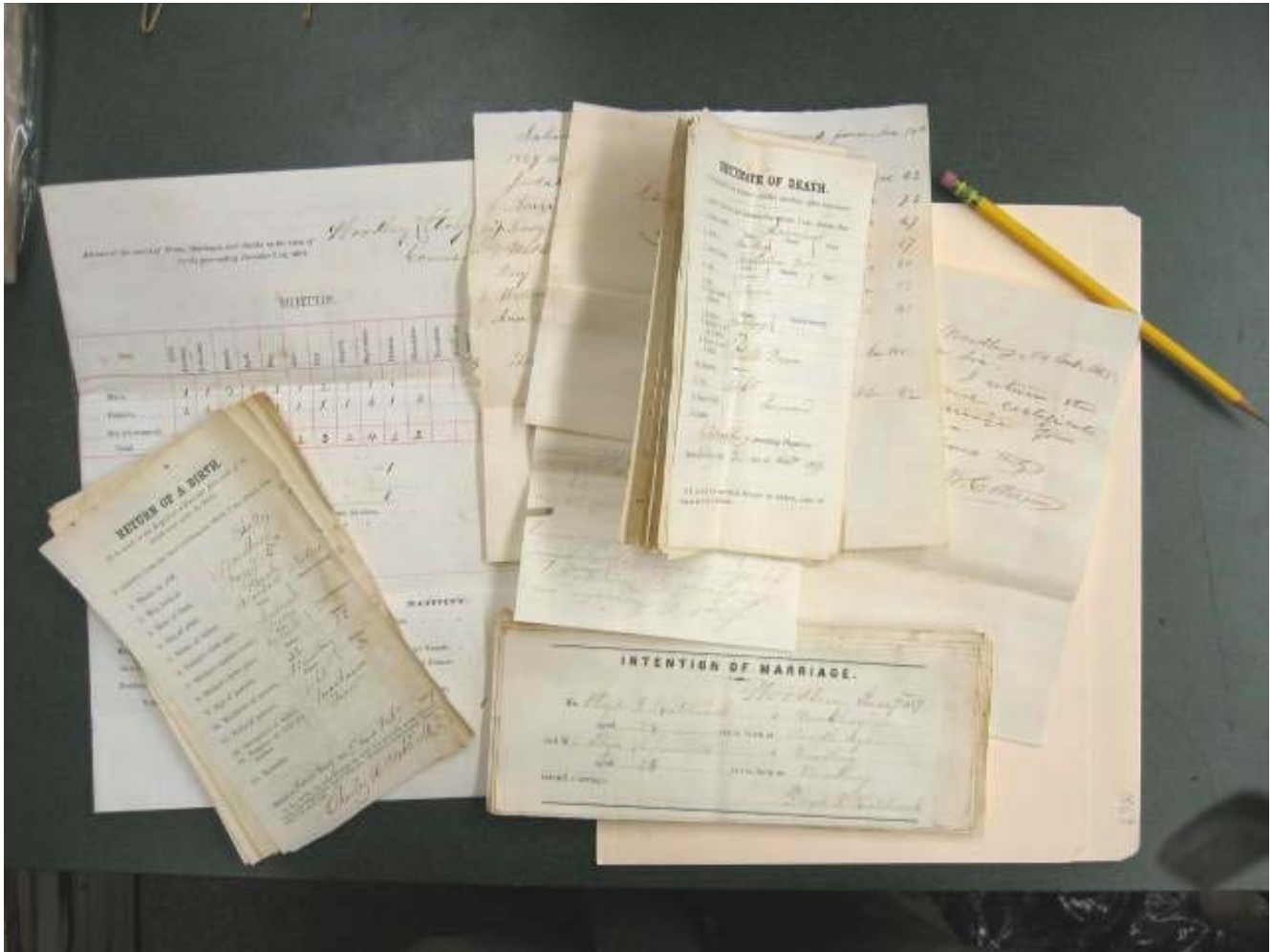


Preserving the Past, Protecting the Future



HISTORIC DOCUMENTS PRESERVATION GRANT PROGRAM

2012 ANNUAL REPORT

CONNECTICUT STATE LIBRARY

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Issued in accordance with Conn. Gen. Stat. § 11-8m(b)

Front Cover

A selection of 19th century marriage, birth and death records. *Vital Records*. Office of the Town Clerk. Woodbury, CT.
Image courtesy of Peter Bartucca, *Document Management Systems*

Historic Documents Preservation Grant Program FY2012 Legislative Report

I. Description of Grants

a) Goals and Objectives

The primary objective of the Historic Documents Preservation Grant Program is to provide financial assistance to Connecticut’s 169 towns and cities for the preservation and management of municipal public records. The program provides funding for eligible projects each year through a targeted grant to every town that submits an application. It also makes available disaster recovery grants, these are dependent upon the availability of funds at the time of the application. In the past, the program also funded competitive grants that allowed a small number of towns to pursue larger projects than is possible with the targeted grants. However, as the program relies on revenue generated by filing fees from real estate recording, the stagnant real estate market has resulted lower revenue sufficient only to cover the targeted grants.

The targeted grant program funds a wide variety of eligible projects. The Office of the Public Records Administrator continues to indentify needs and expand the types of projects eligible for funding beyond the initial emphasis on preservation and conservation of land records. Consequently, many more types of public records throughout town halls have been preserved and made more accessible to citizens across the state.

b) Grant Awards

The Office of the Public Records Administrator awarded targeted grants to 148 towns for a total of \$635,500 during FY2012. Grants were awarded in the amounts of \$3,500 for small towns (less than 25,000 in population), \$6,000 for medium towns (population of between 25,000 and 99,000) and \$9,000 for large towns with populations (population of 100,000 or more). These grants supported 3 *Inventory and Planning* projects totaling \$10,000; 77 *Preservation/Conservation* projects totaling \$187,385; 101 *Organization and Indexing* projects totaling \$313,045; 34 *Storage and Facilities* projects totaling \$109,770; and 3 *Program Development* projects totaling \$15,300.

July 2011 Awards - Cycle 1

a. Targeted Grants

Municipality	Category	Amount
Andover	Organization and Indexing	\$3,500
Ashford	Preservation/Conservation	\$3,500
Avon	Organization and Indexing	\$3,500
Barkhamsted	Organization and Indexing; Storage and Facilities	\$3,500

Municipality	Category	Amount
Berlin	Preservation/Conservation	\$3,500
Bethany	Organization and Indexing; Storage and Facilities	\$3,500
Bethel	Organization and Indexing; Preservation/Conservation	\$3,500
Bethlehem	Organization and Indexing	\$3,500
Bloomfield	Organization and Indexing	\$3,500
Bolton	Storage and Facilities	\$3,500
Branford	Organization and Indexing	\$6,000
Bridgewater	Storage and Facilities	\$3,500
Bristol	Organization and Indexing	\$6,000
Brookfield	Preservation/Conservation	\$3,500
Canaan	Organization and Indexing; Preservation/Conservation	\$3,500
Canton	Organization and Indexing; Storage and Facilities	\$3,500
Chaplin	Organization and Indexing	\$3,500
Cheshire	Storage and Facilities	\$6,000
Chester	Organization and Indexing; Preservation/Conservation	\$3,500
Clinton	Storage and Facilities	\$3,500
Colchester	Inventory and Planning	\$3,500
Colebrook	Organization and Indexing	\$3,500
Columbia	Organization and Indexing; Preservation/Conservation	\$3,500
Cornwall	Organization and Indexing	\$3,500
Coventry	Preservation/Conservation	\$3,500
Cromwell	Organization and Indexing	\$3,500
Darien	Preservation/Conservation	\$3,500
Deep River	Organization and Indexing: Preservation/Conservation	\$3,500
Durham	Organization and Indexing	\$3,500
East Granby	Organization and Indexing; Storage and Facilities	\$3,500
East Haddam	Organization and Indexing	\$3,500
East Hampton	Preservation/Conservation	\$3,500
East Hartford	Storage and Facilities	\$6,000
East Haven	Preservation/Conservation	\$6,000
East Lyme	Organization and Indexing: Preservation/Conservation	\$3,500
East Windsor	Storage and Facilities	\$3,500
Easton	Organization and Indexing	\$3,500
Ellington	Preservation/Conservation	\$3,500
Enfield	Preservation/Conservation	\$6,000
Fairfield	Preservation/Conservation	\$6,000
Farmington	Organization and Indexing; Preservation/Conservation; Storage and Facilities	\$6,000
Franklin	Organization and Indexing: Preservation/Conservation	\$3,500

Municipality	Category	Amount
Glastonbury	Organization and Indexing	\$6,000
Granby	Organization and Indexing; Preservation/Conservation	\$3,500
Greenwich	Organization and Indexing	\$6,000
Griswold	Organization and Indexing	\$3,500
Hamden	Organization and Indexing	\$6,000
Hampton	Preservation/Conservation	\$3,500
Hartford	Organization and Indexing	\$9,000
Hartland	Organization and Indexing	\$3,500
Harwinton	Organization and Indexing; Storage and Facilities	\$3,500
Hebron	Organization and Indexing	\$3,500
Killingly	Storage and Facilities	\$3,500
Killingworth	Storage and Facilities	\$3,500
Lebanon	Organization and Indexing; Preservation/Conservation	\$3,500
Lisbon	Organization and Indexing	\$3,500
Litchfield	Preservation/Conservation	\$3,500
Lyme	Organization and Indexing	\$3,500
Madison	Organization and Indexing	\$3,500
Manchester	Storage and Facilities	\$6,000
Mansfield	Preservation/Conservation; Program Development	\$6,000
Marlborough	Program Development	\$3,500
Meriden	Preservation/Conservation	\$6,000
Middlebury	Organization and Indexing	\$3,500
Middlefield	Organization and Indexing	\$3,500
Middletown	Organization and Indexing	\$6,000
Milford	Organization and Indexing; Preservation/Conservation	\$6,000
Monroe	Organization and Indexing	\$3,500
Montville	Storage and Facilities	\$3,500
New Fairfield	Organization and Indexing; Preservation/Conservation	\$3,500
New Hartford	Organization and Indexing; Storage and Facilities	\$3,500
New Haven	Organization and Indexing	\$9,000
New Milford	Organization and Indexing	\$6,000
Newington	Organization and Indexing	\$6,000
Newtown	Storage and Facilities	\$6,000
Norfolk	Organization and Indexing	\$3,500
North Branford	Organization and Indexing	\$3,500
North Canaan	Organization and Indexing; Preservation/Conservation	\$3,500
North Haven	Organization and Indexing; Preservation/Conservation	\$3,500
Norwich	Preservation/Conservation	\$6,000

Municipality	Category	Amount
Old Lyme	Organization and Indexing	\$3,500
Orange	Organization and Indexing	\$3,500
Plainfield	Storage and Facilities	\$3,500
Plainville	Organization and Indexing	\$3,500
Plymouth	Storage and Facilities	\$3,500
Portland	Preservation/Conservation; Storage and Facilities	\$3,500
Putnam	Organization and Indexing	\$3,500
Redding	Preservation/Conservation	\$3,500
Ridgefield	Preservation/Conservation	\$3,500
Rocky Hill	Preservation/Conservation	\$3,500
Salem	Storage and Facilities	\$3,500
Salisbury	Preservation/Conservation	\$3,500
Scotland	Organization and Indexing	\$3,500
Seymour	Organization and Indexing	\$3,500
Sharon	Organization and Indexing	\$3,500
Shelton	Preservation/Conservation	\$6,000
Sherman	Organization and Indexing	\$3,500
Somers	Preservation/Conservation	\$3,500
Southbury	Inventory and Planning	\$3,500
Southington	Preservation/Conservation; Storage and Facilities	\$6,000
Sprague	Organization and Indexing	\$3,500
Stafford	Preservation/Conservation; Storage and Facilities	\$3,500
Stamford	Preservation/Conservation	\$9,000
Stonington	Preservation/Conservation; Storage and Facilities	\$3,500
Thomaston	Organization and Indexing	\$3,500
Tolland	Organization and Indexing	\$3,500
Vernon	Organization and Indexing	\$6,000
Voluntown	Preservation/Conservation	\$3,500
Wallingford	Preservation/Conservation	\$6,000
Warren	Organization and Indexing; Preservation/Conservation; Storage and Facilities	\$3,500
Washington	Organization and Indexing; Preservation/Conservation	\$3,500
Waterbury	Preservation/Conservation	\$9,000
Waterford	Preservation/Conservation	\$3,500
Watertown	Preservation/Conservation	\$3,500
West Hartford	Organization and Indexing	\$6,000
West Haven	Organization and Indexing	\$6,000
Westbrook	Organization and Indexing	\$3,500
Weston	Preservation/Conservation	\$3,500

Municipality	Category	Amount
Wethersfield	Program Development	\$6,000
Willington	Preservation/Conservation	\$3,500
Wilton	Preservation/Conservation	\$3,500
Winchester	Organization and Indexing	\$3,500
Windham	Organization and Indexing; Preservation/Conservation	\$6,000
Windsor	Organization and Indexing	\$6,000
Wolcott	Preservation/Conservation	\$3,500
Woodbridge	Organization and Indexing	\$3,500
Total		\$535,500

b. Competitive Grants

These grants were not offered due to insufficient funds.

December 2011 Awards – Cycle 2

a. Targeted Grants

Municipality	Category	Amount
Beacon Falls	Organization and Indexing	\$3,500
Bridgeport	Preservation/Conservation; Storage and Facilities	\$9,000
Burlington	Organization and Indexing; Storage and Facilities	\$3,500
Derby	Preservation/Conservation	\$3,500
Eastford	Storage and Facilities	\$3,500
Groton	Organization and Indexing; Preservation/Conservation	\$6,000
Kent	Preservation/Conservation	\$3,500
Morris	Preservation/Conservation	\$3,500
Naugatuck	Organization and Indexing	\$6,000
New Britain	Organization and Indexing	\$6,000
New Canaan	Storage and Facilities	\$3,500
North Stonington	Organization and Indexing	\$3,500
Oxford	Organization and Indexing	\$3,500
Simsbury	Inventory and Planning; Preservation/Conservation	\$3,500
South Windsor	Organization and Indexing	\$6,000
Stratford	Organization and Indexing	\$6,000
Suffield	Organization and Indexing; Preservation/Conservation	\$3,500
Thompson	Organization and Indexing	\$3,500
Trumbull	Storage and Facilities	\$6,000

Municipality	Category	Amount
Westport	Organization and Indexing	\$6,000
Woodbury	Organization and Indexing	\$3,500
Woodstock	Organization and Indexing	\$3,500
Total		\$100,000

b. Disaster Recovery Grants

There were no requests for disaster recovery grants in FY2012.

II. Administrative Activities

a) Program Development

Given the stagnant revenue in FY2011, the staff proposed no changes to the program scope or funding areas for FY2012. However, there was a sufficient amount in the fund that the staff and Advisory Board members agreed to a \$500 increase in the targeted grant amounts for the small towns. The targeted grant amounts for FY2012 were \$3,500 for small towns (less than 25,000 in population), \$6,000 for medium towns (population of between 25,000 and 99,000) and \$9,000 for large towns with populations (100,000 or more in population).

Disaster recovery grants remained at \$10,000. Competitive grants were not offered for FY2012 due to insufficient funding. In order for the program to offer competitive grants again, it will need to build up the fund’s balance to an amount capable of supporting the competitive grants, in addition to restoring the targeted grants to a more suitable level.

b) Town Clerk Training

Due to the lack of available funding as well as Public Records staff involvement in a number of high priority projects, the Historic Documents Preservation Program was unable to present its annual workshop for town clerks this fiscal year. In lieu of the annual workshop, town clerks were able to attend two courses on disaster planning and preparedness offered through the nationwide Intergovernmental Preparedness for Essential Records [IPER] project funded by FEMA through the Council of State Archives. State Library staff in partnership with the Department of Administrative Services’ Learning Center staff presented the courses, which are designed to identify and protect critical operating records necessary for emergency response and disaster recovery. The training, intended for both state and municipal employees, also focused on the preservation of culturally and historically significant records in the event of a disaster. The State Library plans to continue to make this training available annually to state and municipal officials.

c) Advisory Committee Membership

The following individuals served as members of the Historic Documents Preservation Program Advisory Committee during FY2012:

Nancy Bray, Colchester Town Clerk
Jane Cullinane, Preservation Librarian
Dr. Mark H. Jones, State Archivist
Joyce P. Mascena, Glastonbury Town Clerk
Debra L. McKeon, Colebrook Town Clerk
Therese Pac, Bristol Town Clerk
Carla Pomprowicz, Hebron Town Clerk
LeAnn Power, Public Records Administrator
Virginia Salisbury, Southbury Town Clerk
Mark Smith, Fiscal Administrator
Antoinette Spinelli, Waterbury Town Clerk
Patricia H. Strauss, Westport Town Clerk
Louisa Trakas, Plainfield Town Clerk
Lisa A. Valenti, North Branford Town Clerk
Sandi Wieleba, East Hampton Town Clerk
Kendall F. Wiggin, State Librarian

III. Financial Statement

Historic Documents Preservation Fund

FY2012 receipts	\$1,165,881
FY2012 interest accrued	<u>\$1,106</u>
	\$1,166,987
FY2011 balance carried forward	<u>\$1,084,569</u>
	\$2,251,556
Unexpended grant funds returned	<u>\$9,248</u>
Total	\$2,260,804
Grants awarded	
<i>Targeted</i>	\$635,500
<i>Competitive</i>	N/A
<i>Disaster Recovery</i>	<u>\$0</u>
Total Grants Awarded	\$635,500
FY2012 operating expenses	<u>\$314,491</u>
Total	\$949,991
Year End Balance	\$1,310,813

IV. Local Projects

CGS §7-34a(d) states that one third of the amount paid for fees shall be retained by the town clerk and used for the preservation and management of historic records. Many town clerks utilize the funds for projects such as reformatting records from paper to electronic media with a microfilm backup; purchasing equipment and supplies to improve records management; and improving intellectual access to the town's vital records, minutes, land records, maps, town code and charter through indexing projects. Town clerks also may use the funds to support staff training and continuing education.

The revenue from this fee is to be kept in a separate account. The original intent for the local historic documents preservation fund was to provide some relief to the town clerks from the municipal budgetary process. The fund was to allow towns to make records management improvements to benefit future records as well as to preserve older records without being tied to budgets and political climates. Even the smallest towns now have the means to improve records services to their citizens.

On occasion, town clerks have had difficulties accessing these local funds, especially in tight economic times when fiscal officers or finance boards may attempt to take them to supplement the general fund. In these circumstances, the Office of the Public Records

Administrator works with the town clerk to educate finance officials and return access to the funds.

V. Findings and Recommendations

Since its inception, the grant program has returned nearly \$12 million back to Connecticut's local municipalities. From FY2002 through FY2012, 1,607 grants have been awarded for a total of \$11,815,401. This includes 1,575 targeted grants (\$10,650,052), 4 disaster recovery grants (\$18,675) and 28 competitive grants (\$1,146,674). As a result of improved records management functions in the towns, the Office of the Public Records Administrator has seen a dramatic increase in the number of disposal requests for records past their retention period. As towns eliminate unnecessary records, they become more efficient and provide better services to their citizens.

Fund revenues appear to have reached bottom level. Total revenues for FY2012 rose a slight 1.9% from the previous year after having dropped 4% the year before. After close examination of the fund balance, the State Librarian and the Public Records Administrator decided to maintain the funding levels at \$3,500, \$6,000 and \$9,000 for FY2013. Given the low fund balance, competitive grants were suspended once again for the coming fiscal year.

Public Act 11-150, Section 28, required that the State Librarian establish standards and guidelines for the preservation and authentication of electronic documents by January 1, 2012. The State Librarian convened a task force within the State Library to explore the issues and make recommendations. The act also directed the Secretary of the Office of Policy and Management; the Commissioner of the Department of Administrative Services; the Chief Information Officer of the Bureau of Enterprise Systems and Technology; the Executive Director of the Office of Legislative Management; and the Chief Court Administrator of the Judicial Branch, as called for in the legislation, to provide input on the recommendations. Those recommendations were incorporated into the final report which is available at <http://www.ctstatelibrary.org/node/8638>.

To support the preservation and authentication of electronic documents, the State Librarian, with the backing of the Town Clerks Association, proposes to introduce legislation to create an additional filing fee of seven dollars for land records. The program would be separate from the Historic Documents Preservation Program. The town clerks would collect the fee in the same manner as the Historic Documents Preservation fee. However, the town clerks would retain five dollars of the fee in a separate non-lapsing account for the preservation and management of electronic records at the local level. They would send the remaining two dollars of the proposed fee to the State Library for the preservation and management of electronic records collections maintained by the State Library and for development and implementation of a statewide electronic records management initiative for records created and maintained by state agencies, municipalities and quasi-public agencies.

The Historic Documents Preservation Grant Program is a beneficial program for the citizens of the State of Connecticut. Even in difficult economic times, the program continues to

assist municipalities in making significant progress in preserving, maintaining, and accessing their most valuable records.

Respectfully submitted,

A handwritten signature in cursive script that reads "LeAnn B. Power". The signature is written in black ink and is positioned above the typed name.

LeAnn Power, CRM
Public Records Administrator