Targeted Grants:
Application and Guidelines

FY 2021

Historic Documents
Preservation Grant Program
CONTENTS

I. Introduction ........................................................................................................................................... 2
II. Program Scope ..................................................................................................................................... 3
III. Timetable ............................................................................................................................................. 4
IV. Eligibility Requirements ................................................................................................................... 5
V. Funding Levels ..................................................................................................................................... 5
VI. Funding Priorities ............................................................................................................................... 5
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 ..................................................................................................................................... 9
IX. Allowable Expenses ....................................................................................................................... 10
  1. Eligible Expenses ................................................................................................................................ 10
  2. Ineligible Expenses ............................................................................................................................ 12
X. Application and Contract Procedures ............................................................................................ 13
  1. Submit the Application ....................................................................................................................... 13
  2. Submit the Grant Contract ................................................................................................................ 14
  3. Grant Start Date .................................................................................................................................. 14
  4. Receipt of Grant Funds ....................................................................................................................... 15
XI. Grant Administration Requirements ............................................................................................ 15
  1. General Requirements ....................................................................................................................... 15
  2. Grant Amendments ............................................................................................................................. 15
  3. Grant Completion Deadline .............................................................................................................. 16
  4. Return of Unexpended Funds ........................................................................................................... 16
  5. Final Report .......................................................................................................................................... 16
XII. Contact Information ..................................................................................................................... 17
XIII. Application: Instructions and Form .......................................................................................... 18
XIV. Final Report: Instructions and Form .......................................................................................... 19
I. INTRODUCTION

As we enter the twentieth year of the Historic Documents Preservation Program, the program’s benefits are evident as Connecticut’s citizens, historians, genealogists, title searchers and attorneys visit municipalities 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 administrator determined that funding should remain level for the upcoming fiscal year. In consultation with the Advisory Committee, the FY 2021 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 $17 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. Through scanning, microfilming, conservation, program development and other records projects, municipalities are improving public access to local records while ensuring that these records will continue to remain available to future generations.

The grant staff and I look forward to working with you during FY 2021.

LeAnn R.P. Burbank, CRM
Public Records Administrator
January 31, 2020
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 Office of the Public Records Administrator 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 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 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](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

<table>
<thead>
<tr>
<th>Date</th>
<th>Event Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>February 1, 2020</strong></td>
<td>Grant application materials are made available to town officials.</td>
</tr>
<tr>
<td><strong>April 30, 2020</strong></td>
<td><strong>Postmark Deadline</strong> for submitting a <em>Targeted Grant Application</em> for a Cycle 1 grant.</td>
</tr>
<tr>
<td><strong>July 31, 2020</strong></td>
<td>Cycle 1 award notifications mailed to town officials by this date. After receiving award notification, the municipality must promptly return the signed <em>Grant Contract</em>.</td>
</tr>
<tr>
<td><strong>September 30, 2020</strong></td>
<td><strong>Postmark Deadline</strong> for submitting a <em>Targeted Grant Application</em> for a Cycle 2 grant.</td>
</tr>
<tr>
<td><strong>December 31, 2020</strong></td>
<td>Cycle 2 award notifications mailed to town officials by this date. After receiving notification, the municipality must promptly return the signed <em>Grant Contract</em>.</td>
</tr>
<tr>
<td><strong>April 30, 2021</strong></td>
<td><strong>Postmark Deadline</strong> for submitting an <em>Amendment Request Form</em> to request a change to the vendor, work plan, or budget line items, or a deadline extension. The municipality must submit the request by this date and obtain approval and an amended contract before proceeding.</td>
</tr>
<tr>
<td><strong>June 30, 2021</strong></td>
<td><strong>Completion Deadline.</strong> Grant projects must be completed and grant funds must be expended by this date.</td>
</tr>
<tr>
<td><strong>September 1, 2021</strong></td>
<td><strong>Receipt Deadline</strong> for the <em>Project Evaluation/Expenditure Report</em>. Grantees are encouraged to submit this report immediately upon completion of the grant, that is, June 30 or earlier. Note that reports should be postmarked no later than August 11th to ensure sufficient time for receipt and processing by the deadline.</td>
</tr>
</tbody>
</table>

**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 per year. 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. Note that a municipality may apply for a grant for the upcoming fiscal year before completing its grant for the current fiscal year, provided that it continues to meet its current obligations by the appropriate deadlines.

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 U.S. Census figures.

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 improved physical order or indexing, updated records management software, or other information technology.

• Improved records management and/or historic 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. These categories are designed to allow for many project options. If a single project will not require the full grant amount, the applicant should request funding for additional project(s) in any of the five categories.

1. INVENTORY AND PLANNING

Inventory and planning projects allow a town to conduct needs assessments that create a framework for developing stronger records management or records preservation programs. The State Library encourages towns to apply for one or more planning surveys as a basis for prioritizing and planning 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/historic records and provide recommendations for a plan for records care, preservation, and access.

• **Records management survey** to identify official records, conduct a records inventory and develop recommendations for a plan for active records management.

• **Disaster preparedness survey** to develop recommendations for a disaster preparedness 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 the planning for renovation or construction of vaults/records storage facilities.

2. ORGANIZATION AND INDEXING

Organization and indexing projects increase access to town records by improving physical order within a collection of records, providing high quality indexing or correcting previous indexing, scanning records, or providing records management software or 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 or codification project.

- **Records processing project** to organize and create finding aids for a collection of historical or active public records.

- **Purchase and use of computer software** to manage and improve access to a collection of historical or active public records.

- **Purchase and use of information technology hardware** to manage and improve access to a collection of historical or active public records; for example, scanning equipment for land records or large format printers for maps.

3. PROGRAM DEVELOPMENT

Program development projects advance the records management and/or historic preservation practices within one or more departments. These projects generally implement recommendations given to the town in prior planning surveys (see *Inventory and Planning*, above) and may be carried out with the assistance of an approved consultant.

Eligible projects include:

- **Development of a records management, preservation and/or disaster recovery plan** for one or more municipal departments; for example, developing a records management policy and procedures manual for the municipality, or developing a preservation plan for the municipality's permanent and historic records.

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

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

Office or vault furnishings that are not used for records storage 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, such as records shelving or cabinets.
- **Purchase of environmental monitoring equipment** to manage or improve records storage conditions, such as thermohygrometers or dataloggers.
- **Purchase of specialized cleaning equipment** to maintain or improve records storage conditions, such as HEPA (high efficiency particulate air) filter vacuums.
- **Purchase of security equipment** for the protection of permanently retained public records, such as 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 and security by creating backup copies for off-site storage; creating access copies to reduce the handling of originals; and addressing records deterioration and damage.

Note that if **conserving** a record that has not already been microfilmed, the project should include **microfilming** of that record.

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 reduce handling of historical records by providing use copies, or to recreate land record volumes.
- **Conservation project** for permanently retained original public records that are historically significant and currently at risk of loss due to deterioration or damage.
• **Purchase of archival supplies** for the preservation of public records, such as archival paper, records binders, disaster recovery kits or other preservation materials for municipal offices.

### VIII. SPECIFIC PROJECT INFORMATION

Specific requirements for microfilming, imaging, vital records, and HVAC projects are described 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.

   This policy is available online at [https://ctstatelibrary.org/publicrecords/municipal](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.

   This policy is available online at [https://ctstatelibrary.org/publicrecords/municipal](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, imaging 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 an approved 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 described below for each of the four budget categories.

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.
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 and conservation services, the municipality may only use vendors that have been approved 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 use 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, note that this initial review and approval 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 Historic Documents Preservation Program, Office of the Public Records Administrator, and/or Connecticut State Library has endorsed the firm or its products or services.

B. Equipment

Eligible equipment purchases include but are not limited to:

- Storage equipment such as shelving systems, map 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.
- HVAC systems (see HVAC Projects, above)

Routine office equipment and furniture is the responsibility of the municipality (see Ineligible Expenses, below).
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, such as those from Gaylord, University Products, Hollinger Corporation or Light Impressions, for additional examples of appropriate supplies.

D. Town Personnel Costs

Base pay is an eligible expense, either for temporary staff or for town employees working added hours specifically on a grant project. 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.

When including personnel costs in the grant application, provide the following information on the narrative page in answer to Question 2:

- **List each position to be paid with grant funds:** 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:** 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:** Specify the number of weeks required to complete the grant project and the number of hours to be worked each week; multiply to show the total hours.
- **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, 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, 2020, 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, 2021.
• 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 a Targeted Grant Application with 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, 2020 for consideration under Cycle 1 or by September 30, 2020 for consideration under Cycle 2.

Municipalities are strongly encouraged to apply under Cycle 1 as this allows for a longer time period in which to complete the grant. A municipality may apply for a grant for the upcoming fiscal year before completing its grant for the current fiscal year.

Applicants should request the maximum grant amount for which the municipality is eligible. If total project expenses are less than the full grant amount, the applicant should include another project, for example, a purchase of eligible supplies or equipment, to reach
the maximum grant amount. If the project expenses exceed the full grant amount, local funds may be applied.

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.

**NOTE:** After submitting the application, to confirm receipt by the grants office, mark your calendar for 2 weeks after your mailing date as a reminder to check that you have received an email confirmation. These emails are sent out weekly as batch confirmations. Using services such as certified mail does not confirm receipt at the grants office because mail is routed further after reaching the central mailroom.

2. **SUBMIT THE GRANT CONTRACT**

The State Library will notify the applicant of its decision regarding the application on or before July 31, 2020 for Cycle 1 awards and on or before December 31, 2020 for Cycle 2 awards.

The notification mailing will include the municipality’s Grant Contract, which must be signed by the MCEO.

The applicant must return the signed Grant Contract promptly to the State Library. If the Grant Contract 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.

Please note that a Certified Resolution is no longer required, as originally announced in 2015.

When the municipality returns its Grant Contract to the State Library, it will be forwarded to the State Librarian for signature.

The grant is not awarded to the municipality until the Grant Contract has been fully executed.

3. **GRANT START DATE**

After the municipality’s Grant Contract is signed by the State Librarian, a copy of the fully executed contract will be mailed to the MCEO and the Town Clerk will be notified by email.

**The municipality may begin grant work and expenditures only after the start of the contract period, July 1, 2020, AND 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 check 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

The State Library expects each project to substantially meet the objectives stated in the application.

Grantees must conduct projects in accordance with the work plan and budget outlined in the approved application and must adhere to the provisions of the grant guidelines and contract.

Grant projects and expenditures must be completed within the contract period. The contract period begins July 1, 2020, or the date the municipality receives its copy of the fully executed contract, whichever is later, and ends June 30, 2021.

2. GRANT AMENDMENTS

Changes to the project or budget may not be made without prior approval. Contact the grants staff immediately regarding 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, 2021.

However, note that budget reallocations of up to 10% of the grant award do not require prior approval and may be made through June 30, 2021. The grantee is nevertheless encouraged to contact the grants staff to review the change in advance. 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. 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, 2021. Reallocation of more than $550 would require the submission of an Amendment Request Form by April 30, 2021.

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 if
there is any difficulty that may affect the municipality’s ability to complete grant work and 
expenditures by the June 30 deadline. A request for an extension requires the submission of 
an Amendment Request Form by **April 30, 2021**.

If an Amendment Request Form is submitted and approved, the municipality will then 
receive a *Contract Amendment*. The grantee must return the signed Contract Amendment to 
the State Library no later than **May 31, 2021**. The municipality will receive a copy of the 
Contract Amendment after it has been fully executed.

**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, 2021.** 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, 2021.

It is imperative that applicants design a realistic work plan and have good communication 
with their vendors to ensure that the project is completed and the funds are expended by 
the deadline.

### 4. RETURN OF UNEXPENDED FUNDS

If issues arise that may prevent the full expenditure of the grant funds, such as a project 
coming in under budget, the applicant should **contact the grants staff** before June 30 for 
assistance with *reallocation of the funds* (see *Grant Amendments*, above).

**Funds remaining unexpended after June 30, 2021, 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, 2021.** By statute this is a *receipt* deadline, not a postmark 
deadline.

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

This final report documents the completion of the project and expenditure of the grant 
funds. It includes a Narrative page and 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. It is not required for submission with the Project Evaluation/Expenditure Report.

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 a completed 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 notify the Office of the Public Records Administrator immediately if difficulties arise that could affect the timely submission of the Project Evaluation/Expenditure Report. There is no statutory provision for extension of the filing deadline.

**XII. CONTACT INFORMATION**

**For assistance, contact:** Kathy Makover, Field Archivist
(860) 566-1100 ext. 303
kathy.makover@ct.gov

**Mail grant materials to:** Kathy Makover, Field Archivist
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 and type your information, 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 Chief Executive Officer 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 on page 6 of the Guidelines booklet.

- **Budget Summary**: List the total costs under each category (Consultants/Vendors, Equipment, Supplies, Town Personnel Costs), 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, in blue or black ink.

- **Mail the completed form, narrative page and supporting documentation to**: Kathy Makover, Field Archivist, Connecticut State Library, 231 Capitol Avenue, Hartford, CT 06106

*For questions or assistance*: Please contact Kathy Makover at (860) 566-1100 ext. 303 or kathy.makover@ct.gov.
APPLICATION
TARGETED GRANT FY 2021
Historic Documents Preservation Program
Connecticut Municipalities
GP-001 (rev. 1/2020)

This form may be completed and printed for submission at https://ctstatelibrary.org/publicrecords/hdpp

Name of Municipality: ____________ of ____________
Name of Municipal CEO: ________ Title: ________
Phone with Area Code: ________ Email: ________

Name of Town Clerk: ________ Title: ________
Phone with Area Code: ________ Email: ________

TC Mailing Address: ____________
MCEO Address if Different: ____________

Grant Application Deadline: □ Cycle 1: April 30, 2020 □ Cycle 2: September 30, 2020

Grant Contract Period: The contract period begins after July 1, 2020 AND receipt of the fully executed contract. Grant projects must be completed and funds expended by June 30, 2021.

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): □ Inventory and Planning □ Organization and Indexing
□ Program Development □ Storage and Facilities
□ Preservation/Conservation

See Page 6 of the Guidelines for Category descriptions.

<table>
<thead>
<tr>
<th>Budget Summary</th>
<th>Grant Funds (A)</th>
<th>Local Funds (B)</th>
<th>Total Funds (A+B)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Consultants/Vendors</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(Total cost for all consultants and vendors)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Equipment</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(Total cost for eligible items, i.e. shelving)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Supplies</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(Total cost for eligible items, i.e. archival supplies)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Town Personnel Costs</td>
<td>$1$</td>
<td>$2$</td>
<td>$</td>
</tr>
<tr>
<td>(Total cost for all town personnel)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Other</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(Please specify on a separate sheet)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. TOTAL</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

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 Documentation

- Answer on an attached page, numbering the answers for questions 1 through 3; and question 4 if required.
- If applying for more than one project, questions 1 through 3 must address each project separately; for example, number the answers 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. Where applicable, identify the specific records involved, including volume numbers and date ranges.

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: Refer to the detailed instructions provided on Page 12 of the Guidelines under Section D, Town Personnel Costs.

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 more than one project – show the breakdown for each project under each line item (Consultants/Vendors, Equipment, Supplies, and Town Personnel Costs) and the split between grant and local funds where applicable. If applying for only one project with one vendor, omit this question.

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.

---

**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 2021 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
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 and type your information, 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 ___.”
- **Designated Applicant Checkbox:** If the Municipal Chief Executive Officer 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 and Grant Contract.
- **Expenditures:** Enter the total amounts spent for each budget line item. Note that amounts expended should 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, 2021, 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 regarding possible reallocation of funds before submitting the report.
- **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, in blue or black ink.
- **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. It is not required for submission with the Project Evaluation/Expenditure Report.
- **Mail the completed form and narrative page to:** Kathy Makover, Field Archivist, Connecticut State Library, 231 Capitol Avenue, Hartford, CT 06106.

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

**For questions or assistance:** Please contact Kathy Makover at (860) 566-1100 ext. 303 or kathy.makover@ct.gov.
This form may be completed and printed for submission at https://ctstatelibrary.org/publicrecords/hdpp

Name of Municipality: ____________

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, 2020 AND receipt of the fully executed contract. Grant projects must be completed and funds expended by June 30, 2021.

<table>
<thead>
<tr>
<th>Expenditures</th>
<th>Grant Funds Expended (A)</th>
<th>Local Funds Expended (B)</th>
<th>Total Funds Expended (A+B)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Consultants/Vendors</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>2. Equipment</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>3. Supplies</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>4. Town Personnel Costs</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>5. Other (Please specify on a separate sheet)</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>6. TOTAL</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

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, numbering the answers for questions 1 through 3.
- If the grant funded more than one project, address each project separately; for example, number the answers 1a and 1b, 2a and 2b, 3a and 3b.

1. **Completed Project:** Briefly describe the completed project and indicate whether it achieved the goals outlined in the application.

2. **Impact:** Describe the impact of the project on the records, office or municipality.

3. **Summary:** Describe anything you learned from the project or might have done differently.

**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, 2021** at latest to ensure receipt and processing at the State Library by September 1, 2021, which by statute is a receipt (not postmark) deadline. However, grantees are encouraged to submit the form **immediately upon completion of their grants**, that is, June 30, 2021 or earlier.

If the municipality does not expend the full grant funds by June 30, 2021, 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. If prior to June 30th, contact the grants staff regarding unexpended funds **before** completing this report.

**Mail the signed form and narrative page to:**

Kathy Makover, Field Archivist
Connecticut State Library
231 Capitol Avenue
Hartford, CT 06106