

CONNECTICUT
STATE HISTORIC PRESERVATION OFFICE
INVESTING IN PRESERVATION SINCE 1955

Historic Restoration Fund Grant

Application Guidelines

2018

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Grant Overview

The State Historic Preservation Office (SHPO) offers matching, reimbursement Historic Restoration Fund (HRF) grants of up to \$100,000 to Connecticut municipalities and 501(c)3 and 501(c)13 nonprofits for capital projects or archaeological site preservation, protection, and stabilization at historic properties listed on the State or National Registers of Historic Places.

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

Eligible Applicants and Properties

Eligible Applicants:

- Municipalities
- 501(c)(3) or 501(c)13 nonprofit organizations that have had tax-exempt status for at least two years

** No agency or organization can act as a fiscal agent to receive or disburse HRF grant funding.*

Eligible Properties:

- Buildings, structures, objects, and sites listed on the State or National Registers of Historic Places
 - If the property is located in Fairfield, New Haven, Middlesex, or New London County eligibility can be determined by visiting the State Register Database:
<http://www.cultureandtourism.org/cct/cwp/view.asp?a=3933&q=293858>.
- Properties must be owned by the eligible applicant
 - Properties that are owned by a municipality but leased to a 501(c)(3) or 501(c)13 nonprofit organization are eligible but the nonprofit organization must have a long-term lease of at least 20 years at the time of the application

Eligible Activities and Costs

Eligible Activities and Costs:

- Historic Structures
 - Hard costs associated with restoration or rehabilitation that meet the Secretary of the Interior's Standards for the Treatment of Historic Properties.
 - Mechanical, electrical, and/or plumbing upgrades as well as ADA accessibility are eligible.
 - Applications must be composed of single or multiple discrete capital projects. Work that is a subset of a larger construction project where historic preservation is not the primary focus is not eligible.
 - Examples of eligible projects include, but are not limited to, roof replacement, window restoration, and exterior siding repair and painting.
- Archaeological Sites
 - Archaeological investigation
 - Activities that preserve, protect, and/or stabilize an archeological site against natural, human, or other causes.
 - Examples include, but are not limited to, game cameras, site capping, and erosion control.

Ineligible Activities and Costs:

- Soft costs
- Pre-development costs
- Costs associated with a project already underway
- Costs incurred prior to the contract start date or after the contract expiration date

Restoration is the act or process of accurately depicting the form, features, and character of a property as it appeared at a particular period of time by means of the removal of features from other periods in its history and reconstruction of missing features from the restoration period. The limited and sensitive upgrading of mechanical, electrical, and plumbing systems and other code-required work to make properties functional is appropriate within a restoration project.

Rehabilitation is the act or process of making possible a compatible use for a property through repair, alterations, and additions while preserving those portions or features which convey its historical, cultural, or architectural values.

Archaeological Investigation is an investigation to assist with identifying appropriate treatment and protection measures.

Secretary of the Interior's Standards for the Treatment of Historic Properties promote historic preservation best practices and are available at www.nps.gov/tps/standards.htm

Funding Details

- Grants range from \$5,000 to \$100,000
- Grants must be matched on a one-to-one basis with cash
 - Federal funds and other non-state funds can be used as a match
 - State of Connecticut funds cannot be used as a match
 - In-kind services cannot be used as a match
- Grant funds are paid to grantees on a single-payment reimbursement basis following the completion of the project and approval of all work by SHPO staff

Grant Specifications

Historic Architect, Engineer, or Consultant:

- At the discretion of the SHPO, applicants may be required to hire an historic architect, engineer, or other qualified preservation consultant to define the scope of work and/or create design development level plans that meet the Secretary of the Interior's Standards for the Treatment of Historic Properties.

State Procurement:

- The use of state funds requires an open bidding process. Contractors cannot be pre-selected and potential contractors cannot play a role in the design of the project or application. *Bidding, Contracting, and Construction Guidelines* can be found here: <http://www.cultureandtourism.org/cct/cwp/view.asp?a=3933&q=317350>

Preservation Restriction:

- Grantees are required to provide SHPO with a preservation restriction on the property that benefited from HRF grant funding
- The restriction is placed on the entire legal parcel
- The duration of the restriction is determined by the amount of grant funding received:
 - \$0 to \$20,000, five-year restriction
 - \$20,001 to \$50,000, ten-year restriction
 - \$50,001 to \$100,000, fifteen-year restriction*If the property has an active preservation restriction, the applicant will complete an amendment to the existing restriction that extends it according to the schedule above.*
- Under the terms of the restriction, the property owner agrees:
 - Not to perform work other than routine maintenance without SHPO permission
 - To ensure reasonable opportunities for the public to view the property
 - Not to change the use of the property without prior consent from SHPO

Reapplication:

- Grantees can apply for HRF grant funding multiple times
- Grantees may only have one active HRF grant at a time; existing grants must be closed before a new application is submitted

Publicity:

- Grantees are required to credit SHPO and the Historic Restoration Fund grant program in all print, audio, video, internet, and publicity materials

Insurance

- Grantees are required to hold insurance starting with construction through the expiration of the preservation restriction.
- State of Connecticut Department of Economic and Community Development must be listed as additionally insured.
- *Non-profits*
 - Insurance requirements are outlined in the Assistance Agreement executed upon grant award, a template of which can be found on the program website: <http://www.cultureandtourism.org/cct/cwp/view.asp?a=3933&q=317350>.
- *Municipalities*
 - Current insurance held by municipality is sufficient.

Grant Cancellations:

- SHPO has the right to withhold, reduce, or cancel a grant if an organization:
 - Owes final reports from previous non-construction grants that are overdue
 - Fails to comply with the terms of the grant contract
 - Does not go out to bid within 120 days of the grant contract execution
 - Demonstrates inadequate financial management or oversight
 - Does not properly credit SHPO financial support
 - Experience significant changes in the scope of work
 - Completes work without prior approval of SHPO
 - Experiences significant delays in the grant project
 - Does not adhere to the Secretary of the Interior's Standards for the Treatment of Historic Properties

Grant Administration

1. Application

- Applications are accepted on a rolling basis
- Applications are first reviewed by SHPO staff and then awarded by the Historic Preservation Council (HPC)
- The HPC meets the first Wednesday of every month
- To be considered for the next available HPC meeting, applications must be submitted by the 10th of the previous month

2. Assistance Agreement

- Once the grant is awarded, an assistance agreement is executed between the grantee and SHPO/Department of Economic and Community Development
- This contract must be signed and returned to SHPO within 30 days of receipt
- It can take 2-3 months before the contract is fully executed

3. Procurement

- Once the contract is fully executed, the project can be put out to bid
- Invitation to bid package must be submitted to SHPO for review and approval at least two weeks before advertisement
- After the grantee advertises the project, bid results must be submitted to SHPO for review and approval before a contractor is chosen
- Contract between the grantee and contractor must be submitted to SHPO for review and approval before executed
- More details regarding the procurement process can be found in the Bidding, Contracting, and Construction Guidelines:

<http://www.cultureandtourism.org/cct/cwp/view.asp?a=3933&q=317350>

4. Change Order(s)

- Any changes to the proposed scope of work must be submitted to SHPO for review prior to being carried out

5. Closeout

- Once the project is complete, a site visit must be scheduled and a closeout package submitted to SHPO for review and approval. Closeout guidelines can be found here: <http://www.cultureandtourism.org/cct/cwp/view.asp?a=3933&q=317350>

6. Reimbursement

- Upon approval of the closeout package, and once the preservation restriction is filed on the local land records, SHPO will submit a grant reimbursement request to the Office of Financial Administration. Reimbursement usually takes 4-6 weeks

Application Requirements

The application can be found at:

<http://www.cultureandtourism.org/cct/cwp/view.asp?a=3933&q=317350>

**all material listed below is required unless otherwise noted*

A. Project narrative (1-5 pages)

- Brief description of the organization (*non-profits only*)
- Brief description of the project site
- Overview of the proposed project
- Description of the project need and why it is a priority for the property and applicant
 - Ideally, this should be based on a previously-conducted preservation plan, capital needs assessment, or conditions assessment. If so, the applicable document(s) should be included.

B. Scope of work:

- Detailed scope of work that meets the Secretary of the Interior's Standards for the Treatment of Historic Properties.
- SHPO may require that this is created by a historic architect, engineer, or other qualified preservation consultant.
- Scope of work can include narrative description, material and/or product specifications, and/or design-development architectural drawings.
- If drawings are included, they should be no larger than 11x17".

C. Consultant's Resume (*contingent*):

- If a consultant has been engaged to prepare the scope of work, their resume should be included.

D. Photographs:

- Color photographs no smaller than 4x6"
- Photographs should be labeled for identification
- For buildings or structures – photographs of each elevation and detailed photographs of the project area(s)
- For landscapes or archaeological sites – photographs of the entire property and detailed photographs of the project area(s)

E. Construction/project schedule:

- Detailed schedule of project timeline, including estimated start and completion dates

F. Budget:

- Please provide a detailed budget for the proposed project. The budget should account for the total project cost and delineate between grant and non-grant shares. An optional budget template is included here as Appendix A.

G. Long-term preservation plan:

- Include the preservation plan that guides the organization's/municipality's stewardship of the subject property.
- In lieu of a formal preservation plan, describe major preservation projects undertaken in the last 3-5 years and any projects in the pipeline. If applicable, also describe the maintenance/preservation staff and/or committees responsible for caring for the building.

H. Attorney letter:

- Provide a legal opinion for an attorney licensed to practice in the State of Connecticut that 1) identifies the property's legal owner of record (including name and contact information), 2) identifies names of other parties holding interest (including name and contact information), and 3) confirms that a preservation restriction can be placed on the property.

I. Schedule of public visitation:

- Facilities must be open to the public or work must be visible to the public at least twelve days a year on an equitably spaced basis and available by appointment.

J. Proof of insurance:

- Provide declaration page of insurance policy to confirm the property is insured.

K. Certificate of title or long-term lease agreement:

- Certificate of title that 1) identifies the property owner and 2) includes a detailed land description.
- If the property is leased, the applicant must show evidence of a long-term lease agreement of at least 20 years and notarized statements from the owner(s) of the property that permit the submission of the HRF application and execution of the proposed work.

L. 501(c)3 or 501(c)13 IRS tax status determination letter (contingent):

- Confirmation from the Internal Revenue Service that your organization is a 501(c)3 or 501(c)13. If you are unsure of your organization's IRS status, you can look it up here: <https://apps.irs.gov/app/eos/>.

M. Certified resolution:

- Certified resolution authorizing the grant and contract signatory. The resolution must predate the application and the subsequent contract, but not by more than 6 months. A template is included here as Appendix B.

N. FEMA FIRM Map:

- A FEMA FIRM map should be provided that demonstrates whether or not your property is located in a floodplain. The property should be clearly delineated on the map provided. FEMA FIRM maps can be created here: <https://msc.fema.gov/portal>.

O. Review letter from Staff Archaeologist (contingent):

- If the proposed project involves ground disturbance, please contact Cathy Labadia, Staff Archaeologist, at catherine.labadia@ct.gov before submitting a grant application as your project may require archaeological monitoring or a survey.

P. Certificate of Appropriateness from municipal historical commission (contingent):

- If your property is located in a local historic district, you may need to obtain a Certificate of Appropriateness for the proposed work from the municipal historical commission. To find out if your property is located in a local historic district, visit: <http://lhdct.org/maps/overview>.

Q. Letters of support (optional):

- Letters from community members, legislators, or others voicing support for the project.

Contact SHPO

For questions, contact:

Alyssa Lozupone
Architectural Preservationist
alyssa.lozupone@ct.gov
(860) 500-2426

Mail applications to:

State Historic Preservation Office
Attn: Alyssa Lozupone
450 Columbus Boulevard, Suite 5

Hartford, CT 06103

Appendix A: Budget

Project Budget

	Applicant Share	Grant Share	Sub-Total
<i>General Contracting</i>			
<i>Material (please itemize)</i>			
<i>Labor (please itemize)</i>			
<i>Contingency</i>			
<i>Sign Creation (required)</i>		<i>(grant share, max. \$200)</i>	
<i>Other (if applicable, please specify)</i>			
Total			

Grant Amount Requested: \$ _____

Appendix B: Certified Resolution

Instructions for Certified Resolutions

The certified resolution should name an individual (or individuals) authorized to sign contracts with the State of Connecticut on behalf of the grantee. A new resolution (with original signature) must accompany every grant contract. Grantees may use the template provided or reproduce the template on organization letterhead. Please follow these instructions closely.

If the secretary is not available, or the secretary is the “authorized official,” then another officer of the board may sign the certification.

The meeting date must be BEFORE the contract is signed. There is no need to hold another board meeting or to pass another resolution if the individual named continues to be authorized. If that is true there is no time limit on this date.

Affix corporate seal if the organization has one. If not, write “L.S.” inside a circle signifying “in lieu of seal.”

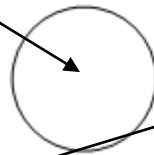
This date must be current. It can be the same date the accompanying contract is signed or within a few weeks BEFORE the contract signature date.

CERTIFIED RESOLUTION (to accompany contract)

I, **NAME OF SECRETARY (OR OTHER BOARD OFFICER)**, Secretary of **NAME OF ORGANIZATION AS INCORPORATED**, a Connecticut corporation, do hereby certify that the following is a true and correct copy of a resolution duly adopted at a meeting of the Board of Directors of this corporation, duly held on **DATE** of board meeting (*held BEFORE contract is signed*), at which meeting a duly constituted quorum of the Board of Directors was present and acting throughout and that such resolution has not been modified, rescinded or revoked and is at present in full force and effect:

RESOLVED, that **NAME OF OFFICIAL**, who is the **TITLE** of this corporation, is empowered to execute and deliver in the name and on behalf of this corporation a certain contract with the State of Connecticut, Department of Economic and Community Development, and to affix the corporate seal, if any.

In Witness whereof, the undersigned has affixed his/her signature and the corporate seal of this corporation, if any, this the ____ day of ____, 20__.



(Signature)

NAME OF SECRETARY

DATE (BEFORE contract is signed)

A person cannot certify him or herself as the authorized official of an organization, i.e. the signature on the resolution and contract must be two different people. If the organization wishes the board secretary to sign the contracts, then another officer of the board should sign the resolution.

Template for Certified Resolutions

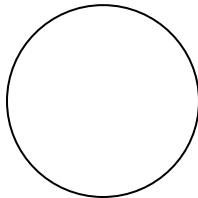
**the following should be printed on organizational letterhead*

Certified Resolution

I, **NAME OF SECRETARY (OR OTHER BOARD OFFICER)**, Secretary of **NAME OF ORGANIZATION AS INCORPORATED**, a Connecticut corporation, do hereby certify that the following is a true and correct copy of a resolution duly adopted at a meeting of the Board of Directors of this corporation, duly held on **DATE** of board meeting (***held BEFORE contract is signed***), at which meeting a duly constituted quorum of the Board of Directors was present and acting throughout and that such resolution has not been modified, rescinded or revoked and is at present in full force and effect:

RESOLVED, that **NAME OF OFFICIAL**, who is the **TITLE** of this corporation, is empowered to execute and deliver in the name and on behalf of this corporation a certain contract with the State of Connecticut, Department of Economic and Community Development, and to affix the corporate seal, if any.

In Witness whereof, the undersigned has affixed his/her signature and the corporate seal of this corporation, if any, this the _____ day of _____, 20____.



(Signature)

NAME OF SECRETARY

DATE (*BEFORE contract is signed*)