

# FY2014 – HISTORIC PRESERVATION & ARTS CATALYZE PLACEMAKING Grant Program

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**Important Note:** These guidelines include embedded links which provide further program information and resources. Be sure to access the electronic version at [www.ct.gov/cct](http://www.ct.gov/cct).

## PROGRAM OVERVIEW

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### HISTORIC PRESERVATION & ARTS CATALYZE PLACEMAKING (HPACP)

The **Connecticut Office of the Arts (COA)** along with the **State Historic Preservation Office (SHPO)** offer the Arts Catalyze Placemaking (ACP) grant program to invest in arts-based cultural projects, activities and infrastructure in ways that will advance the attractiveness and competitiveness of Connecticut cities, towns, and villages as meaningful communities in which to live, work, learn and play.

The ACP program was developed by the Connecticut Office of the Arts as a pilot in FY2013. COA has restructured the program following a review of program successes, challenges and the opportunity to enhance the program through a partnership with the State Historic Preservation Office which will offer HPACP as a pilot program for FY2014.

The FY2014 Arts Catalyze Placemaking program retains the underlying creative placemaking core elements but makes structural changes which aim to better serve the needs of our constituents. The FY14 ACP program includes three (3) distinct categories for which applicants may select only one (1) category to pursue in a single grant cycle. The categories are as follows:

- **Arts Leadership**
- **Historic Preservation**
- **Sustaining Relevance**

Note: Education-based proposals are eligible in FY2014 through the in the Arts Leadership category. COA intends to offer education-specific grants in FY2015 (July 1, 2014 – June 30, 2015).

[FY2014 ACP ~ At a Glance](#) provides a snap-shot of the three (3) Arts Catalyze Placemaking grant categories. Applicants familiar with COA's FY2013 ACP pilot program may find it helpful to review an [overview of changes](#).

**NOTE:** In order to return to the state's fiscal year grant cycle, FY2014 ACP ~ Historic Preservation grants will only be offered for a six (6) month time period. It's COA's intention that all ACP grants will be readjusted in FY2015 to offer a one-year grant period, aligned with the state's fiscal year.

### HPACP CATEGORY

The State Historic Preservation Office, in partnership with the Connecticut Office of the Arts offers matching, progress-based payment grants to Connecticut municipalities, 501(c)3 and 501(c)13 non-profits who engage the arts community in creative ways that promote the preservation of historic places.

HPACP Grants are funded by the Community Investment Act. "The Community Investment Act" (also known as Public Act 05-228) was signed into law on July 11th, 2005 to address the social and environmental impacts of suburban sprawl in the Connecticut landscape by protecting and preserving the quality, character, and desirability of life in Connecticut. Connecticut General statute has a broad definition of Historic Preservation, which is defined as "research, protection, restoration, stabilization and adaptive re-use of historic buildings, structures, objects, districts, areas and sites significant in the history, architecture, archeology or culture of this state, its municipalities, or the nation". This also includes "promoting and publicizing the historical heritage of Connecticut".

## ELIGIBILITY & GRANT AMOUNTS

HPACP - Eligible Applicant	Grant Amounts
<ul style="list-style-type: none"> <li>• 501(c)(3) or 501(c)(13) nonprofit organizations that have had tax-exempt status for at least two years</li> <li>• 501(c)(3) or 501(c)(13) nonprofit organizations that have had tax-exempt status for <i>less than two years</i> but can demonstrate at least a 5 year-history of sustainable historic preservation program activity                             <ul style="list-style-type: none"> <li>○ Must be individually approved as eligible for funding by the Historic Preservation Council.</li> </ul> </li> <li>• <a href="#">Municipal Department (All Levels)</a></li> <li>• <a href="#">Statutory Partners of the SHPO</a></li> </ul>	<p><b>\$2,500 - \$25,000</b> For six (6) month requests</p>

See [Glossary of Application Terms](#) for definitions

### Ineligible applicants:

- [COA/DECD Line Items](#)
  - Note: under the HPACP program guidelines, the Statutory Partners of the SHPO are eligible. All other COA/DECD Line Items are ineligible.
- [COA Designated Regional Cultural Service Organizations](#)
- FY13 ACP 2 & 3 grant recipients who were awarded 2-year funding
- FY2013 ACP-4 Sustaining Relevance grantees who selected 2-year funding are ineligible to submit an FY2014 ACP application. COA will honor 2-year commitments following the submittal and approval of an interim report. Two-year recipients will receive formal communication from COA regarding their funding options and have an opportunity to transition to the revised ACP program and funding period.
- Federal and State agencies
- “Friends” groups
- For-profit businesses or organizations
- Individuals
- Service organizations or clubs

### Historic site requirements:

- The lead organization of the application must have site control of the historic resource, if applicable.
- The historic site must be listed on the State and/or National Registers of Historic Places, if applicable.

### PROGRAM TIMELINE

*Dates are subject to change*

Intent to Apply Letter:	on or before <b>12:00pm (noon), September 20, 2013</b>
Notification to Proceed:	September 25, 2013
Submission Deadline:	on or before <b>11:59pm, October 18, 2013</b>
SHPO Staff Review:	October 23 – November 15, 2013
Arts Council Review:	November 15 – December 4, 2013
HPC Review:	December 4, 2013
Award Notification:	mid- December, 2013

### FUNDING PERIOD

Projects must occur during the specified 6-month funding period and may be completed prior to the end of a grantee’s funding period.

Funding Period:	January 15, 2014 – June 30, 2014
Final Report:	August 30, 2014 <i>or 60 days following completion of project if sooner</i>

## GETTING STARTED

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### HOW TO APPLY

Applicants who select Historic Preservation will be reviewed by both the Connecticut Office of the Arts and the State Historic Preservation Office (SHPO). HPACP applications must be submitted by an eligible applicant and adhere to the eligible activities presented below.

The HPACP grant program is administered using an e-granting system; therefore, all applications must be submitted through the online portal at <https://coa.fluidreview.com/>. E-mail and paper submissions will not be accepted. Contact Tech Support at [support@fluidreview.com](mailto:support@fluidreview.com) for technical related questions.

### INTENT TO APPLY

To assist SHPO & COA with planning for review and confirmation of eligibility, applicants are strongly encouraged to submit an *Intent to Apply* prior to submitting a full application. Submit your Intent to Apply by logging on at <https://coa.fluidreview.com/>. New users must “sign up” and create an account while returning users may simply “sign in.” Select **FY2014 Intent to Apply** from the drop down menu.

- *Intent to Apply* submittals must be received on or before **12:00pm (noon) on September 20, 2013**.
- SHPO & COA will review applicants for eligibility.
- A notification to proceed will be emailed on or before **September 25, 2013**.

### COA/HPACP’s GOALS & PRIORITY OUTCOMES

The HPACP program was developed with research-based goals and priority outcomes at its core. COA’s creative placemaking goals are:

- Community Relevance & Civic Engagement – *The Arts are essential in the development of great places*
- Arts Engagement, Artistic Excellence & Creativity – *High quality art and arts experiences stir creativity and critical thinking and advance cognitive, emotional and social health.*
- Market Development – *The Arts are an essential component of Connecticut’s environment and should be accessible to the greater community.*

SHPO’s goal is:

- Historic Preservation - Historic preservation is the process of identifying, protecting, and enhancing buildings, places, and objects of historical and cultural significance to our communities.

Review the [Goals and Priority Outcomes Table](#) to familiarize yourself with COA’s goals and priority outcomes before you begin your application. The purpose of the Goals and Priority Outcomes Table is to provide applicants with a clear understanding of COA’s goals and priority outcomes so applicants may identify ways in which their project and COA’s goals are aligned. **The Goals and Priority Outcomes Table is the foundation of the Arts Catalyze Placemaking application and review process. Any HPACP grant program MUST have a Historic Preservation focus.**

## YOUR PROPOSAL

Applicants will be asked to supply the following:

### 1) General Information

- a. Title of project (*up to 10 words*)
- b. Is this request for an ongoing or new project?
- c. Grant Request (*\$.00*)
- d. Does this request include funds for planning? If so, provide a break-out of:
  - i. The amount (*\$.00*) of the grant request allocated toward planning.
  - ii. The approximate number (#) of calendar days associated with planning.
- e. Total project budget (*\$.00*) (*includes your grant request*)
- f. Provide the project Start Date.
- g. Provide the project End Date.
- h. Provide applicant's Mission Statement or historic preservation statement (*up to 150 words*).
- i. Will the project be made accessible to persons with disabilities? Consider physical and programmatic access, sign language interpretation, assistive listening devices and transportation services.  
[Accessibility Resources](#) are available on COA's website. (*up to 250 words*)

### 2) Making the Case (*Narrative Responses*)

Creative Placemaking proposals challenge applicants to identify community need(s) and opportunity(ies) which can promote historic preservation through intentional arts and cultural projects. Define and analyze this situation as you plan your proposal.

- a. Describe the need(s) and opportunity(ies) the project partners identified and briefly explain how and why you came to this conclusion. (*up to 675 words*) Be sure to include:
  - How the proposal partners come to be aware of this situation
  - The major factors that informed the design of the proposal
  - The particular need or opportunity that the proposal will address
  - Specifically what will the proposed activities endeavor to leverage, advance, develop, improve, solve, etc.?
  - How the preservation of historic resources are addressed
- b. Define the community that will be served by the proposed activities. (*up to 500 words*) Be sure to describe the people, organizations, or groups that were:
  - engaged in the planning process
  - the development of the proposal
  - as well as those who the project is designed to serve

*Use demographic data, descriptive information, history, number of persons served, locale, etc.*
- c. Provide a summary of your proposed project. **What** do you plan to do, **where** and **when** will it take place? (*up to 350 words*)
- d. Indicate how the arts-based project will promote the preservation of historic resources. (*up to 500 words*)

### 3) Carrying Out the Plan

- a. **Historic Preservation Professional(s):** All projects MUST include a historic preservation consultant who meets the Secretary of the Interior's Professional Qualifications Standards as published in the Code of Federal Regulations, 36 CFR Part 61. Applicants must provide the following:
  - Describe the historic preservation professional's role(s) and responsibilities. If the historic preservation professional is not selected at the time of application, include a description of the selection process (*up to 150 words*).
  - Explain why the historic preservation professional selected is appropriate for the project. If not selected at the time of application, then describe anticipated role of the historic preservation professional (*up to 150 words*).
  - Upload the historic preservation professional's resume or bio.
- b. **Connecticut Artist(s):** All projects MUST engage at least one Connecticut artist. Additional artists, including non-CT artists may also be engaged. Applicants must provide the following:
  - Describe the artist's role(s) and responsibilities. If the artist is not selected at the time of application, include a description of the selection process (*up to 150 words*).
  - Explain why the artist selected is appropriate for the project. If not selected at the time of application, then describe the type of artist anticipated and why (*up to 150 words*).
  - Upload the artist's resume or bio. (*no more than 2 pages*)
  - Upload no more than four (4) samples of the artist's related work (*see e-granting system for file size restrictions*)
- c. **Project / Program Manager:** All applicants MUST identify a Project / Program Manager.
  - Provide the job description, including key roles and responsibilities (*up to 100 words*).
- d. **Budget:**
  - Complete the [FY2014 Project Income & Expenses Budget Worksheet](#) provided
  - Provide a brief narrative to explain any uncertain elements of your budget (*up to 300 words*).
  - If applicable, complete the [FY2014 In-Kind Budget Worksheet](#).
- e. **Additional Supporting Documentation:**
  - Applicants may upload up to three (3) files that will help the reviewer to better understand the project and provide a brief description. Document files may not exceed two (8.5 x 11") pages in length. Video / audio files may not exceed 5 minutes in length.
- f. **Marketing and Publicity - Telling Your Creative Placemaking Story:**
  - Describe your plans to promote the project (*up to 150 words*).
- g. **Partnerships:** Applicants MUST engage one or more partners (no partner restrictions).
  - Include contact information for each partner, identify their role and responsibilities, and indicate funding they may contribute or receive as part of the project.

### 4) Measuring Outcomes

Applicants will be required to have a well-thought plan with steps in place to measure the project's relevance to the community it is intended to serve and for capturing and reporting results. Applicants will use the [Goals and Priority Outcomes Table](#) as a reference when completing the Measuring Outcomes section of the application.

- **Activities:** List each major project activity. Applicants should enter activities reasonable to accomplish within the grant period.
- **Goal and Priority Outcome Alignment:** For each activity you enter, reference the Table and identify one (1) GOAL and one (1) PRIORITY OUTCOME associated with your selected GOAL which aligns with your activity.
- Reference the Table for suggested POTENTIAL INDICATORS OF SUCCESS and SOURCES OF EVIDENCE. Develop and identify your own Indicators and Sources of Evidence appropriate for your project. List as many or as few as needed to document the success of the project.

- **Indicators of Success:** Observable signs of progress toward the intended goals and outcomes. (Things you can see, hear, experience, etc.)
- **Sources of Evidence:** Information, facts, stories and data collected and documented to gauge the project's success and effectiveness
- Applicants should enter activities reasonable to accomplish within the grant period. List as many or as few as needed to document the success of the project.
- Remember to tie your measurable outcomes to historic preservation.

## REVIEW CRITERIA

Independent reviewers will evaluate and discuss applications based on the following criteria:

### A. **Clarity of the Case** ~ (20 points maximum)

*Aligns with Making the Case. This score reflects the applicant's knowledge of the community and its need(s) and opportunities, the level of collaborative planning and the overall clarity of the proposal.*

- Is the proposal relevant to the intended community or communities described?
- Will the identified need or opportunity be successfully addressed by the activities proposed?
- Was the planning and design process appropriately collaborative?

### B. **Quality of the Plan** ~ (20 points maximum)

*Aligns with Carrying Out the Plan. This score reflects the likelihood for success given the plans outlined in the proposal.*

- Is the plan realistic and feasible?
- Does the applicant (and its partners) demonstrate the ability to carry out the intention and scope of the proposal?
- Is the artistic merit fitting for the context and the community served as outlined in the proposal?
- Does the proposal include a suitable plan to market and promote the project?

### C. **Potential to Catalyze Placemaking and Measure Outcomes** ~ (20 points maximum)

*Aligns with Measuring Outcomes. This score reflects the alignment of the applicant's proposal with COA's goals and priority outcomes.*

- Is the proposal aligned with COA's goals and priority outcomes?
- Are the goals and outcomes outlined in the application realistic?
- How feasible is the applicant's plan to measure and report outcomes?

### D. **Historic Preservation** ~ (40 points maximum)

*This score reflects how the project promotes and publicizes the research, protection, restoration, stabilization and adaptive re-use of historic buildings, structures, objects, districts, areas and sites significant in the history, architecture, archeology or culture of Connecticut.*

- Is the historic resource endangered?
- How does this project protect the endangered resource?
- What long term preservation goals will be accomplished by this project?

Applications for HPACP grants are reviewed by the SHPO staff to verify the eligibility of the proposed scope of effort as an appropriate historic preservation project. SHPO intends broad geographic reach through its grants programs and may consider such in its funding decisions. Following internal staff review, applications will be assessed by the COA Arts Council to ensure that the proposals align with COA's Placemaking initiatives. SHPO staff will then provide funding recommendations the Historic Preservation Council (HPC) for approval.

## FISCAL INFORMATION

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### ADMINISTRATIVE EXPENSES

Up to 20% of your HPACP request can be used for administrative expenses. The applicant and its partner(s) may share funds from an ACP grant to cover these costs. COA defines administrative expenses as costs which are not directly associated with a specific program or department but which are necessary to support the funded ACP project. Administrative expenses include staff salaries, general products or services (such as accounting), office rental, supplies, telephone, electric service, general insurance, postage, etc. *NOTE: A project or program manager may be a current staff member or a contracted individual. In either case, their time that is directly associated with the project may be regarded as an administrative expense.*

### MATCHING REQUIREMENT

Grant awards require a match (a minimum financial contribution) to the project. The minimum match required is a 1:1 ratio. While matching funds do not need to be confirmed at time of application, proposals that can verify funding sources at the time of application are favorably reviewed. **HPACP funding CANNOT be matched with other Connecticut state funds.**

Grant Request	Required Minimum Match must be no less than:
\$2,500 - \$ 25,000	100%

### IN-KIND CONTRIBUTIONS

In-Kind contributions of goods, services or facilities are allowed and are capped at 25% of your required match. In-Kind Contributions are goods or services that are donated and not paid for with cash (*see Glossary of Application Terms for an expanded definition*). All applicants claiming in-kind contribution(s) toward match **MUST** complete the [In-Kind Budget Worksheet](#).

### ELIGIBLE EXPENSES

The following eligible expenses must be DIRECTLY related to the project:

- Historic Preservation consultant fees
- Materials
- Facility rental
- Contracted services
- Supplemental project insurance
- Project-specific permits and fees
- Artist fees
- Legal Fees directly associated with the project
- Event expenses (including hospitality) which are directly related to the project
- Evaluation services and documentation (photo, video, audio, collection of statistical information, etc.)
- Marketing, promotional and printing costs
- Limited brick and mortar expenses associated ONLY with direct needs of the proposed project, activity or program and which will be implemented during the funding period (general construction costs are NOT an eligible expense).
- Travel and conference registration expenses for staff and/or volunteers to attend local, regional or national relevant industry conferences, workshops, retreats, clinics, etc. that support the planning and/or implementation of the project

**INELIGIBLE expenses include:**

- Interest paid on loans or payments to reduce or eliminate deficits
- Activities to eliminate or reduce existing deficits
- Scholarship assistance for academic or non-academic programs
- Fundraising
- Political contributions
- Lobbying activities & fees
- Legal fees not associated with the project
- Religious programming, activities or paraphernalia
- General construction costs (Brick and mortar and capital improvements)
- Activities that have already been completed
- Activities already funded by another COA program during the same fiscal year
- Expenses not related to the project

**REQUEST FOR PAYMENT**

As stated above, all HPACP Grants are progress payment grants. SHPO Staff and the applicant will work out the terms of the payments. Once the project is complete, a close-out package must be submitted to SHPO for review and approval. Upon approval, SHPO will submit a grant reimbursement request to the DECD Office of Financial Administration for any remaining funds.

**GENERAL FISCAL INFORMATION**

- HPACP funds must be used toward Connecticut historic preservation placemaking projects, activities and programs which impact Connecticut towns and communities and benefit Connecticut citizens as indicated in your application.
- SHPO intends to fully fund those requests that are awarded.
- SHPO may issue multiple grant payments. A payment schedule will be defined by SHPO in the grant contract. The first installment will be issued following the processing of a fully executed contract.
- The amount of HPACP grant funds is dependent on state and federal annual appropriation as allocated by the Governor and the CT General Assembly and the Community Investment Act. This amount varies from year to year; therefore, SHPO's funding varies.
- Grantees will not receive funding for a newly approved FY2014 ACP grant until: 1) any prior COA funded project is complete, and 2) the mandatory final report has been received.
- SHPO may utilize Guide Star or other such services to access financial records of non-profits. COA and SHPO reserve the right to request additional financial documents from applicants.
- At the end of the funding period, grantees must complete a final report. As part of the final report, grantees will be required to provide:
  - accounting of actual expenses including the actual allocation of all HPACP grant funds
  - confirmation of the match by providing the sources of both dollars and in-kind contributions
  - required evaluation and assessment data

## CONTACTS, QUESTIONS & WRAP UP

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### GENERAL QUESTIONS & RESOURCES

Review responses to HPACP questions on the [Frequently Asked Questions \(FAQ\)](#) webpage along with general placemaking information. If you have questions regarding the HPACP grant program, contact Todd Levine at [todd.levine@ct.gov](mailto:todd.levine@ct.gov) or 860-256-2759. SHPO program staff will review and post responses on an ongoing basis.

Contact Tech Support at [support@fluidreview.com](mailto:support@fluidreview.com) for technical related questions.

The [COA Directory of Performing and Teaching Artists](#) and the [COA Artist Registry](#) are two databases maintained by the Connecticut Office of the Arts and serve as a resource in seeking Connecticut artists. Applicants may also engage the services of [local and regional arts agencies](#) when seeking local artists. The SHPO retains a list of [Historic Preservation Professionals](#) available upon request. All Historic Preservation Professions must meet the Code of Federal Regulations, 36 CFR Part 61 qualifications.

The Office of the Arts partners with [Designated Regional Cultural Service Organizations](#) that serve as local field offices to constituents and citizens. Towns served by the service organizations are provided on the DRSO webpage.

### RESPONSIBILITIES / ADDITIONAL INFORMATION

All grantees must comply with:

- [The Department of Economic and Community Development Ethics Statement](#)
- Applicable state single audit requirements
- When planning a project in a specific community be sure to research municipal, state, and federal ordinances and laws (if applicable) prior to submitting an application.
- Applicants should note that all information collected is considered public record.

**For the HPACP Grant program  
Contact: Todd Levine  
[todd.levine@ct.gov](mailto:todd.levine@ct.gov) or 860-256-2759**