



Municipal Grant Program

**State of Connecticut
Department of Public Safety
Program Guidance**





STATE OF CONNECTICUT
DEPARTMENT OF PUBLIC SAFETY
MUNICIPAL GRANT PROGRAMS
PROGRAM GUIDANCE



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STATE OF CONNECTICUT
DEPARTMENT OF PUBLIC SAFETY
MUNICIPAL GRANT PROGRAM



PROGRAM GUIDELINES

I. PROGRAM OVERVIEW

The Office of Policy and Management has designated the Department of Public Safety (DPS) as the administrating Agency for bond awards related to public safety projects. Currently, DPS has administrative oversight of the following Municipal Grant Program (MGP) awards:

1. Urban Act Grants

Urban Act grants-in-aid provide funding to severely distressed municipalities and urban communities to alleviate excessively deteriorated neighborhoods and community revitalization areas with population out-migration.

2. Small Town Economic Assistance Program

The program provides grants-in-aid to towns that: (a) do not meet the Urban Act Program criteria for being economically distressed, having an urban center or being a public investment community, and (b) have a population under 30,000.

3. Municipal Grant-In-Aid

This program permits towns that do not qualify for either the Urban Act Program or the Small Town Economic Assistance Program (STEAP) to apply for grants-in-aid under the provisions of the Urban Act Program.

Issued by the State Bond Commission, MGP awards **can only be used for capital projects**. Programmatic expenditures or recurring budget expenditures are not eligible for any state bond program.

Once the State Bond Commission awards the funding, DPS will contact the grantee in writing to begin the application process.

All projects shall begin no later than six months after the date the Memorandum of Understanding is fully executed by the Attorney General's Office.

II. APPLICATION PROCESS

The Grantee's Chief Executive Officer will receive a package containing the following documents:

1. Memorandum of Understanding
2. Executive Orders – Attachment A
3. Certifications – Attachment B
 - a. Certification by Grantee Official Authorized to Execute Contracts- DPS-201-C
 - b. Design Compliance Certification – DPS-202-C
 - c. Construction Completion Certification – DPS-202-C-1
 - d. Reimbursement Certification – DPS-200-C
4. Certified Resolution Guidance and Sample
5. Project Tax Information Questionnaire
6. Tax Exempt Proceeds Fund
 - a. Master Account Application
 - b. Deposit and Withdrawal Provisions
 - c. Sub Account Authorization & Application
7. Administrative Documents
 - a. Administrative Plan Outline
 - b. Grantee Point of Contact and Administrative Plan Approval – DPS-204-C
8. Budget Documents
 - a. Source of Project Funds Form – DPS-203-C
 - b. Project Budget Itemization – DPS-203-C-2
 - c. Project Narrative – DPS-203-C-1
9. MOU Document Verification Form

1. Memorandum of Understanding

The Department of Public Safety will enter into a Memorandum of Understanding with the Grantee which will have the following provisions:

a. Grantee

The Grantee is designated by the bond language. The Grantee will be responsible for all administrative oversight: procurement, fiscal, grant reporting and audit requirements. The Grantee shall not pass through any funds to another entity.

Although he/she may designate an additional point of contact, the Grantee's Chief Executive Officer will be required to sign this agreement as well as all certifications and budget information.

b. Effective Date

The MOU shall be effective when executed by both parties and approved by the Office of the Attorney General. The Grantee will certify all costs submitted for reimbursement will be for work begun **on or after** the effective date of the MOU.

c. Term

The term of the MOU will be two years from the effective date. Extension requests should be submitted as soon as it is apparent that it is needed, but no less than ninety days prior to the expiration date of the existing MOU. Requests will be considered on a case by case basis.

d. Payment Schedule

State funds distributed through the Municipal Grant Program (MGP) are disbursed on a reimbursement basis in increments specified in the Memorandum of Understanding (MOU). The standard number of increments is four and is based at 25%, 50%, 75% and 100% of the project completion.

The dollar amounts stated in the MOU are the *maximum* amount paid for the completion of the project to that point. The Grantee must submit documentation detailing all allowable, budgeted expenditures prior to reimbursement.

2. Executive Orders – Attachment A

This Agreement is subject to the provisions of all applicable Executive Orders as contained in Attachment A of the MOU.

3. Certifications – Attachment B

During the term of the Project, the Grantee will be required to sign certifications. These certifications are a statement of facts which is sworn to (or affirmed) before an officer who has authority to administer an oath (e.g. a notary public). The person making the signed statement takes an oath that the contents are, to the best of their knowledge, true. It is also signed by a notary or some other officer that can administer oaths, affirming that the person signing the certification was under oath when doing so.

Each certification contains the following language “Notice: Any false statement made by you under oath that you do not believe to be true and which is intended to mislead a public servant in the performance of his or her official function may be punishable by a fine or imprisonment pursuant to Connecticut General Statutes Section 53a -157b.”

The required Certifications are contained in Attachment B:

a. Certification by Grantee’s Official Authorized to Execute Contracts-DPS-201-C

This form certifies the following:

- i. Grantee’s CEO is authorized execute the contracts.
- ii. The selection of the contractor was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.
- iii. All bidding and award requirements as outlined in MGP Bidding and Contracting Guidance and Consulting Guidance has been complied with in this project.

b. Design Compliance Certification – DPS-202-C

Certifies the project has been designed in substantial compliance with requirements of the State of Connecticut Building Code and all other applicable codes as required by Chapter 541, General Statutes of Connecticut and all applicable Connecticut Fire Safety Codes. This certification must be completed after the design phase and *prior* to the bid phase.

c. Construction Completion Certification – DPS-202-C-1

Certifies the completed project is in substantial compliance with the approved plans and specifications and the requirements of the State of Connecticut Building Code and all other applicable codes as required by Chapter 541, General Statutes of Connecticut and all applicable Connecticut Fire Safety Codes. This certification must be completed *prior* to Agency Occupancy and/or in conjunction with the Certificate of Occupancy.

d. Reimbursement Certification – DPS-200-C

A certification must be submitted with each reimbursement package. This form certifies the following:

- i. The project has reached the benchmark stipulated in the MOU.
- ii. The information contained in the Reimbursement Package:
 - Is based on official accounting records.
 - All project outlays shown have been made in accordance with applicable grant terms and conditions.
 - That documentation to support these project outlays is available upon request.

All certifications must be signed by the Grantee's CEO. A Notary Public must witness the CEO signing the Certification. Therefore, the date that the CEO signs will be the same date as the Notary Public or Commissioner of the Superior Court signs the Certification. The Notary Public must ensure his/her seal and commission expiration date is on the Certification.

4. Certified Resolutions

The Grantee is required to submit a certified resolution authorizing the designated official to execute and deliver contracts with the Memorandum of Understanding.

The resolution must comply with the following requirements:

- a. The resolution must authorize the Grantee's CEO to sign the Memorandum of Understanding between the Grantee and the Department of Public Safety.
- b. Signatures must match the printed names, letter-for-letter.
- c. The resolution's effective date (usually the date of the board meeting when the resolution is passed) must be the same or before the date the signatory signs the contract.
- d. The date on which the resolution is signed must be on or after the date the signatory signs the contract.
- e. The resolution must be sealed. If the grantee's seal is not available, the letters "L.S." must be printed after the secretary's signature, and the words "*No seal available*" must be printed at the bottom of the resolution.
- f. All signatures must have the name typed underneath the signature.
- g. The text must be neatly printed—no erasures, strike outs, or white out.

(SAMPLE)
STATE OF CONNECTICUT
DEPARTMENT OF PUBLIC SAFETY
CERTIFIED RESOLUTION OF THE LEGISLATIVE BODY
OF A CONNECTICUT MUNICIPALITY

WHEREAS, Pursuant to (State Statutory Reference) the Connecticut Department of Public Safety is authorized to extend financial assistance for Public Safety projects; and

WHEREAS, it is desirable and in the public interest that the (Applicant) make an application to the State for (\$) in order to undertake (Name and Phase of Project) and to execute an Assistance Agreement.

NOW, therefore, be it resolved by the (legislative body of the applicant)

1. That it is cognizant of the conditions and prerequisites for State Assistance imposed by (State Statutory Reference).
2. That the filing of an application by the (Applicant) in an amount not to exceed (\$) is hereby approved and that the (Name and Title of Authorized Official) is hereby authorized and directed to execute and file such application with the Connecticut Department of Public Safety, to provide such additional information to execute other documents as may be required; to execute an Assistance Agreement with the State of Connecticut for State Financial Assistance if such an agreement is offered, to execute any amendments, rescissions, and revisions thereto; and to act as the authorized representative of (Name of Applicant).

I, (Name of Town Clerk), Town Clerk for the Town of (Town Name), duly elected and qualified according to law and having custody of the seal of the Town of (Town Name) hereby certify that the above is a true and correct copy of a resolution duly adopted at a (Regular) (Special) meeting of the (Legislative Body) of the Town of (Town Name) on (Month-Day-Year), and, that said resolution has not been amended, rescinded or revoked and remains in full force and effect.

In Witness Whereof, I have hereunto set my hand and affixed the seal of the Town of (Town Name) this (Date) day of (Month), A.D. 2000.

(Name), Town Clerk

AFFIX TOWN SEAL HERE

5. Project Tax Information Questionnaire

This form is required by the Office of Policy and Management. It must be submitted as part of the application package and updated as necessary.

6. Tax Exempt Proceeds Fund (TEPF)

Public Act 88-258 authorizes the Office of the Treasurer to establish a tax-exempt mutual fund for the investment of state bond proceeds. This legislation was enacted to meet provisions of the Tax Reform Act of 1986. The Tax-Exempt Proceeds Fund is the sole legal depository for pass-through funds raised by issuance of State tax-exempt bonds. Grantees must fill out the following forms to set up the account:

a. Master Account Application

One Master Account must be established for each Grantee. Financial statements and confirmations of activity for all sub-accounts will be addressed to the individual named on the Master Account Application. Reich & Tang will assign the Master account numbers to ensure account security.

b. Deposit And Withdrawal Provisions

This form is a contract between the Grantee and the State stipulating the procedures that must be observed in order to assure IRS code compliance. The provisions in this agreement dictate how funds can be used and must be read and adhered to carefully.

c. Sub-Account Authorization & Application

A sub-account must be established for the individual project or grant. The above project number should be transferred to line 2 of the Sub-Account Authorization Form. *There must be either a municipal or corporate seal affixed to this document.* Also, a resolution by your governing body may be required to execute the Sub-Account Authorization Form. If so, include this in the package to be submitted to the investment company, Reich & Tang, which manages the TEPF Account.

Contact Reich and Tang directly with any questions or for additional guidance on any of the forms. Send original documents to:

Reich and Tang, L.P.
Attention: Shareholder Servicing Department
600 Fifth Avenue, 9th Floor
New York, New York 10020
Tel: 1-800-221-3079

Grantees will include copies of each form with the Memorandum of Understanding Package. The Grantee will receive a checkbook to access funds once the account is established.



State of Connecticut

OFFICE OF THE TREASURER

THE TAX-EXEMPT PROCEEDS FUND, INC. (TEPF)

The enclosed package contains the forms required to establish accounts within the Tax- Exempt Proceeds Fund, Inc. These forms include a master account application, several sub-account applications and a deposit and withdrawal authorization which is required by the State.

Completion and return of these forms is the first step in implementing the provisions of Public Act 88-258. Under this Act, all recipients of grant or loan monies which are funded from the proceeds of tax-exempt bond issues must receive and expend such funds only from the Tax-Exempt Proceeds Fund, Inc.

Your prompt completion and return of these forms will facilitate the uninterrupted flow of these funds from the State.

Questions concerning the Tax-Exempt Proceeds Fund, Inc. should be directed to the State Treasurer's Office (860-702-3132). Questions regarding all other required information should be directed to Reich & Tang, the Fund Manager, at 1-800-221-3079.

Failure of recipients to adhere to the provisions of Public Act 88-258 may result in noncompliance with the Tax Reform Act of 1986 and an interruption in the flow of state funds to grantees. The penalties for non-compliance could lead to a retroactive loss of tax-exemption on state bond issues.

Preservation of the State's tax-exempt status while funding grant programs is an important responsibility of the Treasurer's Office. Your cooperation in this endeavor is greatly appreciated.

7. Administrative Plan

Grantees will prepare a project administrative plan that describes how it will manage, document and monitor the financial and construction oversight of the state funds. The purpose of the plan is:

- Ensure that the Grantee has the staffing and organizational resources available to manage the proposed project.
- Assure the completion of the project within the approved Financing Plan and Budget with the appropriate use of state funds.
- Describe the process that the Grantee will use to monitor the expenditure of state funds in accordance with the contract agreements.
- Detail the process that the Grantee will use to review and approve project construction change orders and payment requisitions.

The administrative plan will be submitted on the Grantee's letterhead with the Memorandum of Understanding Package and will include the following information:

a. Organization and Reporting

- i. Name of Grantee
- ii. Governing body for the Grantee
- iii. Legal Organization (local government agency, Non-Profit 501(c)(3), Corp., etc.)
- iv. Composition
- v. Authority and Responsibilities
- vi. Office address and contact information

b. Project Management

- i. Personnel
- ii. Job Titles
- iii. Credentials and Experience
- iv. Percentage of time devoted to project activities
- v. Reporting and Authority
- vi. Organization Chart
- vii. Roles and responsibilities
- viii. Consultants

c. Project Overview

Provide a brief description of the project

d. Project Goals and Objectives

List goals and objectives in outline format (A,B,C, etc. for goals; 1,2,3, etc. for objectives under each goal).

Define the project's goals: statements of desirable future conditions that answer the question "***what is this project trying to accomplish?***" ***Goals should be directly related to the project statement.*** The goals should be clearly stated, realistic and achievable. The accomplishment of goals should result in the successful completion of the project described in the overview.

State the project's objectives: more specific statements about how each of the goals will be achieved. ***Objectives are measurable and focus on methods that will be used to complete the project described in the overview.*** The objectives should be clearly stated, realistic and measurable.

Examples: The Grantee will clearly identify the project goals and objectives using tangible measures, e.g., renovate approximately 40,000 square feet of existing industrial building space to accommodate modern commercial enterprise; or preparation and adoption of a master plan document, in accord with chapter 132 of the Connecticut General Statutes, to revitalize the commercial district.

e. Project Schedule

A project schedule will be prepared to plan and track major project activities and milestones. This will be tied in directly with the project overview as well as the goals and objectives.

f. Grantee Point of Contact and Administrative Plan Approval Form DPS-204-C

This form is attached to the Administrative Plan. It designates a Point of Contact for the Project and Fiscal components of the funding. The Grantee CEO's signature indicates approval of both the Points of Contact and Administrative Plan. The Fiscal Point of Contact must be the Grantee's Chief Fiscal Officer.

g. Designation/Change Of the Grantee Point Of Contact – DPS-206-C

This form designates a change to the original Grantee Point of Contact for either the Project or Fiscal components of the funding. The Grantee's CEO will submit this form when a change occurs.

The Administrative Plan must be consistent with the original OPM Grant Application. If the scope is changed, the Grantee will need to request a change in the scope of their award from OPM. ***No further action may be taken until OPM approves this change.***

8. Project Budget Process

The Project Budget Forms must be submitted and approved prior to committing MGP funds. The budget must be consistent with the original OPM Grant Application. If the scope is changed, the Grantee will need to request a change in the scope of their award from OPM. No further action may be taken until OPM approves this change.

The forms required include the following:

a Source of Project Funds – DPS-203-C

The Grantee must identify *all* project funding and submit a project budget itemization for DPS review and approval *prior* to the release of any MGP funds. List the specific funding sources, descriptions, limitations and amounts of all monies being utilized for this project. Be specific. Example – If using several federal grants, list each individually. The total amount must match the total of the itemized budget. If the total amount is different from the original OPM budget, supply the reason for the difference. Attach all commitment documents. If some funding sources are pending, list the anticipated date the funding will be available.

b Project Narrative – DPS-203-C-1

This form provides the detail to the line items listed in the Project Budget Itemization. The cost estimates for each item in the proposed budget must be explained in the narrative.

c Project Budget Itemization – DPS-203-C-2

MGP funds will be budgeted for construction/renovation, and with limitations, professional services and contingency. All other project expenditures will be charged against other Grantee funding sources.

Be specific. List all the allowable budget items within each category and the estimated cost.

Enter the name of the applicant agency, the project title and the grant number at the top of the page. All figures should be rounded to the nearest dollar. Items should add correctly, with subtotals in each category. All differences exceeding the guidelines above require a narrative detailing the reasons for the change. The revised budget itemization grant total should correspond to the Grant Award.

Allowable categories and line items are as follows

A. Professional Services - Architectural and Engineering

A MAXIMUM OF 10% OF THE MGP ALLOCATION MAY BE USED FOR ARCHITECTURAL/DESIGN FEES.

1. Design Consultant/Architect

Fees paid to the architect in accordance with their contract. It shall include a licensed professional hired to provide design documents for construction of or modifications to a building. An architect could be a landscape architect also, but in most cases not one in the same.

2. Design Consultant/Engineer

Fees paid to the engineer in accordance with their contract. It shall include a licensed professional hired to provide design documents for structural, electrical, mechanical, and/or plumbing. The Architect hired for building design usually hires these engineers. An Engineer also provides services for the design of roads, utilities, drainage, septic systems, etc.

3. Borings & Test Pits/Environmental Testing

Costs incurred for boring or tests in connection with the selection of sites, or the development of property.

4. Surveys & Maps

Costs of all surveys and maps which the Grantee is required to pay in accordance with the architect's agreement. This also includes the cost of any maps required for recording or other purposes.

5. Construction Administrator/Manager

Construction oversight of a project usually performed by the Architect or Engineer of record. In some cases, a Construction Manager is hired by the owner to oversee the project in addition to the Architect or Engineer.

6. Materials Testing

This account shall be charged with testing materials such as concrete, soils, water, and lumber to verify conformance to specifications or state and local requirements.

7. Supplemental Services

Additional services above and beyond what is normally provided for under contract with an Architect or Engineer.

8. Environmental Survey/Investigation

Inspection services provided by a licensed Environmental Engineer to inspect property for environmental contamination such as asbestos, oil, heavy metals, chemicals, etc.

9. Other – List line item(s)

B. ACQUISITION

ONLY LOCAL FUNDS MAY BE USED FOR ACQUISITION UNLESS PREVIOUSLY APPROVED BY OPM

1. Land Cost/Site Acquisition

Purchase price of the property.

2. Appraisal Fees

Charges to this account shall include only those fees for appraisals which have been made on the land selected for the project.

3. Site Improvements

Improvement to an existing site such as buildings, landscaping, walks, etc.

4. Water/Utility Hookups

Costs of water and other utility hookups, such as water line installation, used during development, purchased from either private or municipal water plants.

5. Other – List line item(s)

C. CONSTRUCTION

1. General Construction

Total general construction/rehabilitation contract including approved change orders. It is the process of building, altering, repairing, improving, or demolishing any public infrastructure facility, including any public structure, public building, or other public improvements of any kind to real property. It does not include the routine operation, routine repair, or routine maintenance of any existing public infrastructure facility, including structures, buildings, or real property. If there is more than one contract, list each separately.

2. Permits

Cost of building permits whenever these charges are not included in the General Contractors bid.

3. Demolition

Cost of demolition and cartage of the demolition material that is not contained within the General Contractors bid price or a related change order.

4. Environmental Remediation

Costs for the removal of contaminated material from property.

5. Other – List line item(s)

D. OTHER

ONLY LOCAL FUNDS MAY BE USED FOR THIS CATEGORY.

1. Other project costs not listed in previous categories.

E. CONTINGENCY

A MAXIMUM OF 8% OF THE MGP ALLOCATION MAY BE USED FOR THIS BUDGET CATEGORY

1. This is reserved for unanticipated expenses, ie lead paint, asbestos, etc. All expenditures from this category must be pre-approved prior to expenditure.

The budget itemization total must match the funding source total and the original OPM approved budget. The MGP itemization total must match the MGP award total.

The form must be signed and dated by the Grantee's Chief Financial Officer and Chief Executive Officer.

III. PROJECT BUDGET REVISIONS

A budget revision is necessary for any proposed change:

1. which will alter a budget category by more than 10% of the budget category, or
2. which places resources in a budget category not previously funded, or
3. that changes the scope of the use of the funds within a budget category, or
4. that uses funds budgeted in the Contingency Category.

The revision forms must be approved *prior* to any expenses being incurred.

1. Source of Project Funds – DPS-203-C

This form only needs to be revised if the sources change in any way.

2. Revised Budget Narrative – DPS-203-C-1

Enter the name of the applicant agency, the project title, the grant number and number of the revision at the top of the page. This section should explain in detail where and why budget changes are taking place (e.g., a shift in money from Contingency to Construction because of cost to remove contaminated material from property), and especially how the requested changes differ from the previous budget. Only changes to the previously approved budget require a narrative (i.e., the entire previous budget justification does not have to be reiterated).

3. Revised Project Budget Itemization – DPS-203-C-2

Enter the name of the applicant agency, the project title, the grant number and the revision number at the top of the page. All figures should be rounded to the nearest dollar. Items should add correctly, with subtotals in each category. All differences exceeding the guidelines above require a narrative detailing the reasons for the change. The revised budget itemization grant total should correspond to the Grant Award.

IV. EXTENSION PROCESS

The Grantee's Chief Executive Officer should submit a written request for an extension as soon as it is apparent that it is needed, but not less than ninety days prior to the expiration date of the current MOU. Requests will be considered on a case by case basis.

The Grantee will submit the following documents as part of the extension process based on the date of the original grant award:

Document	Doc #	Original Grant Award Date	
		Before January 2007	After January 2007
1. Memorandum of Understanding Amendment		Required	Required
2. Certified Resolution		Required	Required
3. Certifications			
a. Certification by Grantee's Official Authorized to Execute Contracts	DPS-201-C	Contingent on the status of the project – See page 6 of manual to determine if needed.	
b. Design Compliance Certification	DPS-202-C		
4. Administrative Documents			
a. Administrative Plan		Required	Update if needed
b. Grantee Point of Contact and Administrative Plan Approval	DPS-204-C	Required	Update if needed
5. Budget Forms			
a. Source of Funds Form	DPS-203-C	Required	Update if needed
b. Project Narrative	DPS-203-C-1	Required	Update if needed
c. Project Budget Itemization	DPS-203-C-2	Required	Update if needed
6. Financial Report	DPS-203-C-3	Required	Required
7. Progress Report	DPS-205-C	Required	Required

Detailed guidance for the above documents # 1 – 5 will be found in Section II – Application Process in pages 2 – 13 of this manual. Detailed guidance for documents # 6 and 7 is found on page 22.

Upon review and approval of the package, an extension will be granted in two year increments.

V. BIDDING & CONTRACTS

Every contract for construction, reconstruction, alteration, remodeling, repair or demolition by a recipient using State Bond funds shall be awarded to the lowest responsible and qualified bidder based on competitive bids. The lowest responsible and qualified bidder is the bidder whose bid is the lowest received and who possesses the skill, ability and integrity necessary to perform the work based on past performance and financial responsibility.

Competitive bids should be sought as detailed in the bidding and contracting guidelines. If, following advertisement in the newspaper, a change is made to the specifications, the amended specifications should be re-advertised to allow all potential bidders an opportunity to bid.

Detailed bidding and contracting guidelines are contained in the following MGP documents:

1. Bidding and Contracting Requirements
2. Professional Services Selection Process - Under \$ 50,000
3. Professional Services Selection Process – Over \$ 50,000
4. Project Sign Guidance

The Department of Public Safety does not review or approve grantee bidding documents or contracts related to the Municipal Grant Program. It is the responsibility of the Grantee, in conjunction with its legal counsel, to ensure these documents are in compliance with all relevant local, state, and federal laws and/or program requirements.

VI. PROJECT STATUS REPORTS

Grantees will include status reports on the programmatic and financial progress of the project with all extension and reimbursement requests.

1. Progress Report – DPS-205-C

This form provides the status of the project by detailing project activities, staffing, timelines and any problems related to them along with solutions to those problems. This information will be based on the Administrative Plan submitted and approved with the application package.

The Progress Report will provide an update to the following information:

- a. Project activities during the reporting period.
- b. Time line and scheduling challenges.
- c. Changes or adjustments needed to complete the project. Any substantial changes to the original administrative plan must be forwarded for review and approval prior to implementation.
- d. Developments that have positively or negatively affected the project.
- e. Any additional information relevant to the report.

The Municipal Building Inspectors reports to date must be attached to the Progress Reports.

2. Financial Report – DPS – 203-C-3

This form is utilized to report project outlays or expenditures and unpaid obligations. The Grantee's Chief Financial Officer must sign this form certifying the information contained on the form is based on official accounting records, and that project outlays shown have been made in accordance with applicable grant terms and conditions, and that documentation to support these project outlays is available upon request.

Grantees will utilize financial reporting as the means to document the results of financial operations and the financial status of the project. The following principles and standards shall apply in the preparation of financial reports.

- a. Reports shall reflect accurately the results of financial transactions, disclose all essential financial data for the period covered, and contain such other information as bears directly on the financial operations and conditions pertinent to management.

- b. Reports and statements comparing results obtained in one period with those of another period may be desired whenever such information is considered significant and useful.
- c. Financial Reports must be submitted as part of the Memorandum of Understanding Extension and Reimbursement Packages. The report will accurately portray the status of the project of both the state and local share.
- d. Financial data shall be taken directly from accounting records and must have adequate supporting documentation.
- e. An integral part of supporting documentation is the accountant's worksheets. These worksheets should be retained for future review and reference by DPS and/or Independent Public Accountants.
- f. Reports must be submitted on forms provided or prescribed by DPS.

VII. REIMBURSEMENT PROCESS

State funds distributed through the Municipal Grant Program (MGP) are disbursed on a reimbursement basis in increments specified in the Memorandum of Understanding (MOU). The dollar amounts stated in the MOU are the *maximum* amount paid for the completion of the project to that point.

Once a project benchmark has been reached, the grantee will request reimbursement by submitting the following documentation to support the request:

1. Reimbursement Certification – DPS-200-C

The Certifications are included in the original MOU in Attachment B. The Grantee's CEO certifies the conditions for reimbursement have been met and supporting documentation is accurate and complete.

2. Financial Report – DPS – 203-C-3

This form is utilized to report project outlays or expenditures and unpaid obligations. The amount listed in the Total Line of Column 2b must not exceed the corresponding benchmark in the MOU and must match the documentation attached to the Reimbursement Verification Form. The Grantee's Chief Financial Officer must sign this form certifying the information contained on the form is based on official accounting records, and that project outlays shown have been made in accordance with applicable grant terms and conditions, and documentation supporting these project outlays is available upon request.

3. Reimbursement Verification Form – DPS-203-C-4

This form provides the details for the total amount listed on Column 2b of the Financial Report. Copies of all supporting documentation must be attached to this form. Documentation includes commitment documents, detailed vendor invoices and grantee payments documents.

4. Progress Report – DPS-205-C

This form provides the status of the project by detailing project activities, staffing, timelines and any problems related to them. The Municipal Building Inspectors reports, to date, must be attached to the Progress Reports.

All four documents are required for reimbursement. No payments will be processed if any of these forms, reports or supporting documentation is missing, incomplete or incorrect.

In addition to the four required documents, the following will be included based on the status of the project:

1. Certification by Grantee's Official Authorized to Execute Contracts – DPS-201-C

This form certifies the following:

- a. Grantee's CEO is authorized execute the contracts
- b. The selection of the contractor was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.
- c. All bidding and award requirements as outlined in MGP Bidding and Contracting Guidance and Consulting Guidance have been complied with in this project.

A copy of the contract must be attached to this form.

2. Certification of Compliance – Design Completion – DPS -202-C

Certifies the project has been designed in substantial compliance with requirements of the State of Connecticut Building Code and all other applicable codes as required by Chapter 541, General Statutes of Connecticut and all applicable Connecticut Fire Safety Codes. This certification must be completed after the design phase and *prior* to the bid phase.

3. Certification of Compliance - Construction Completion – DPS-202-C-1

Certifies the completed project is in substantial compliance with the approved plans and specifications and the requirements of the State of Connecticut Building Code and all other applicable codes as required by Chapter 541, General Statutes of Connecticut and all applicable Connecticut Fire Safety Codes. This certification must be completed *prior* to Agency Occupancy and/or Certification of Occupancy Application.

These certifications must be submitted at the appropriate stage of the project completion.

All required documents must be submitted, reviewed and approved prior to the final payment being issued.

VIII. GLOSSARY OF FORMS

Form	Form #	Description	Program Guidance	When to Submit
Certification by Grantee Official Authorized to Execute Contracts	DPS-201-C	Certifies the project contracts were executed as specified on the form.	Page 2,4,19, 24	Submission dependent on status of project
Certified Resolution		Certifies the designated official is authorized to execute the MOU.	Page 2, 6, 7, 19	Application Package Extension Package
Construction Completion Certification	DPS-202-C-1	Certifies the completed project is in substantial compliance as detailed on the form.	Page 2, 5, 19, 24	Submission dependent on status of project
Design Compliance Certification	DPS-202-C	Certifies the project has been designed in substantial compliance with requirements detailed on the form.	Page 2,5, 19, 24	Submission dependent on status of project
Designation/Change Of Grantee Point Of Contact	DPS-206-C	Designates a change to the original Grantee Point of Contact for either the Project or Fiscal components of the funding.	Page 12	As needed
Financial Report	DPS-203-C-3	This form is utilized to report project outlays or expenditures and unpaid obligations.	Page 19, 21, 24	<ul style="list-style-type: none"> • Extension Package • Reimbursement Package
Grantee Point of Contact and Administrative Plan Approval Form	DPS-204-C	Designates a Project and Fiscal Point of Contact and approval of the Administrative Plan.	Page 2, 12, 19	<ul style="list-style-type: none"> • Application Package • Extension Package*
Progress Report	DPS-205-C	Provides the status of the project by detailing project activities, staffing, timelines and any problems related to them along with solutions to those problems.	Page 19, 21, 23	<ul style="list-style-type: none"> • Extension Package • Reimbursement Package

Form	Form #	Description	Program Guidance	When to Submit
Project Budget Itemization	DPS-203-C-2	Provides detailed explanation for project costs.	Page 2, 14, 18,19	<ul style="list-style-type: none"> • Application Package • Extension Package* • Revision
Project Narrative	DPS-203-C-1	This form provides the detail to the line items listed in the Project Budget Itemization.	Page 2, 14, 18,19	<ul style="list-style-type: none"> • Application Package • Extension Package* • Revision
Project Tax Information Questionnaire		Provides project information for the Office of Policy and Management.	Page 2, 7	Application Package
Reimbursement Certification	DPS-200-C	This form certifies the Grantee is in compliance with all the requirements necessary for reimbursement payment.	Page 2, 5, 23	Reimbursement Package
Source of Project Funds	DPS-203-C	Identifies all funding sources, descriptions, limitations and amounts being utilized for this project.	Page 2, 14, 18,19	<ul style="list-style-type: none"> • Application Package • Extension Package*
TEPF Deposit And Withdrawal Provisions Agreement		A contract between the Grantee and the State stipulating the procedures that must be observed in order to assure IRS code compliance.	Page 2, 8	Originals are sent to Reich & Tang. Copies are included in Application Package
TEPF Master Account Application		Establishes a Master Account for each Grantee with Reich and Tang.	Page 2, 8	Originals are sent to Reich & Tang. Copies are included in Application Package
TEBPF Sub Account Authorization & Application Form		Establishes the individual project or grant.	Page 2, 8	Originals are sent to Reich & Tang. Copies are included in Application Package

* Extension Package – See MGP Program Guidance, page 20 to determine if required

XII. CONTACT INFORMATION

The following is the contact information for the various Department of Public Safety units involved in the administration of the Municipal Grant Program:

1. Department of Public Safety
1111 Country Club Road
Middletown, CT 06457
 - a. Grants Administration
Tel: (860)685-8670
Fax: (860)685-8690
 - b. Fiscal Services
Tel: (860)685-8110
Fax: (860)685-8357
2. Department of Public Safety
294 Colony Street
Meriden, CT 06450
 - a. Facilities Management
Tel: (203)630-5635
Fax: (203)630-5636

Copies of all Municipal Grant Program guidance and documents may be found on the Department of Public Safety's website:

<http://www.ct.gov/dps>