

# DESPP- Municipal Grant Program



**State of Connecticut**

Department of Emergency Services and Public Protection

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## I. Program Overview

The Office of Policy and Management (OPM) has designated the Department of Emergency Services and Public Protection (DESPP) as the administrative agency for bond awards related to public safety projects. At times, DESPP is given administrative oversight of projects under the following funding sources:

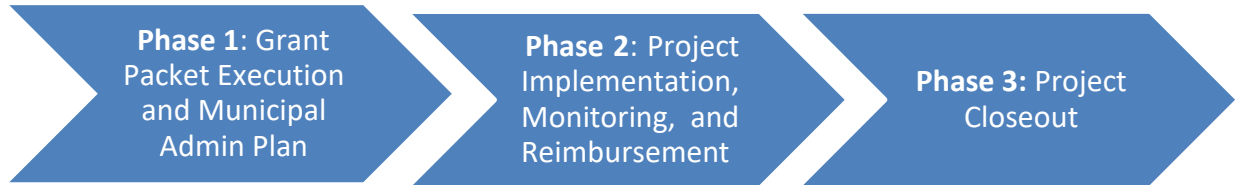
- **Urban Act Grants Program**
  - Urban Act grants-in-aid provide funding for urban development projects including economic and community development, transportation, environmental protection, public safety, and children and families and social services projects and programs. (CT General Statutes § 4-66c)
  - Awards are initially granted to OPM during the Bond Commission meeting and are designated to DESPP as the administrative agency.
  - Awards are specifically designated by the Bond Commission and listed in the bond meeting agenda.
  - Funds may be distributed one of two ways:
    1. Maximum of 3 reimbursement requests with the third reimbursement being the final payment of the project
    2. One cash advance up to 25% of the award amount and two reimbursement requests. (The second reimbursement request will be the final payment of the project.)
  - Award period of performance is 5 years with an option for an extension in some circumstances.
  
- **Small Town Economic Assistance Program (STEAP)**
  - The STEAP program provides grants-in-aid to towns that: (a) do not meet the Urban Act Grants Program criteria for being economically distressed, having an urban center, or being a public investment community and (b) have a population under 30,000. (CT General Statutes § 4-66g)
  - The Bond Commission gives OPM a large STEAP grant. OPM then accepts applications from municipalities, chooses the recipients, and designates which agency will administer the award.
  - STEAP grants are not specifically designated by the Bond Commission. OPM chooses the recipients.
  - The STEAP program is a **reimbursement only** program.
  - The award period of performance is 4 years with an option for a 1-year extension.
  
- **Municipal Grant-In Aid Program**
  - This program permits towns that do not qualify for either the Urban Act Grant Program or the Small-Town Economic Assistance Program (STEAP) to apply for grants-in-aid under the provisions of the Urban Act Grants 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 Office of Policy of Management notifies the grantee of an award, the grantee shall contact DESPP to begin the grant process.

## II. MGP Grant Lifecycle at DESPP and Contact Information

### A. Grant Lifecycle

The MGP program consists of three phases: (1) Memorandum of Understanding (MOU) Execution and the Grantee's Administrative Plan phase; (2) the Project Implementation Period, Monitoring and Reimbursement Phase; and (3) the Closeout Phase. The sections below outline the requirements at each phase.



### B. Contact Us

The following is the contact information for the Department of Emergency Services and Public Protection unit involved in the administration of the Municipal Grants Programs:

- Department of Emergency Services and Public Protection  
1111 Country Club Road, 3<sup>rd</sup> Floor Center  
Middletown, CT 06457
- Email  
[Kimberly.Zigich@ct.gov](mailto:Kimberly.Zigich@ct.gov)  
[Ian.Alexander@ct.gov](mailto:Ian.Alexander@ct.gov)

### III. Phase 1: Notice of Grant Award and Grant Package Execution and Administrative Plan

Once the Office of Policy and Management assigns the grant to DESPP as the administering agency, the Grantee’s Chief Executive Officer will receive a package via email containing the necessary documents required to execute Phase 1 which includes the steps/forms to obligate funding, clarify funding sources and the project budget, identify the project points of contact, outline the project timeline and ensure the Grantee is aware of all program guidance.

What’s included in the Phase 1 package?		
A. Guidance Documents	B. Administrative Plan/Project Budget Forms/To Be Completed by Grantee	C. Legal Documents
<ol style="list-style-type: none"> <li>DESPP Municipal Grant Program Guidance (this document)</li> <li>Bidding and Contract Guidance</li> <li>Personal Services Information under \$50,000</li> <li>Personal Service Information over \$50,000</li> </ol>	<ol style="list-style-type: none"> <li>Administrative Plan Template</li> <li>Statement of Work Template</li> <li>Grantee Point of Contact and Administrative Plan Approval Form (DPS 204- C)</li> <li>Project Budget Forms (DPS 203- C)</li> <li>Either Municipal Resolution (for municipal recipient) or the DPS 201-C (for non-profit recipients)</li> </ol>	<ol style="list-style-type: none"> <li>Notice of Grant Award (needs to be signed)</li> <li>Special Grant Conditions (needs to be initialed)</li> <li>CT General Terms and Conditions (needs to be initialed)</li> </ol>

#### A. Guidance Documents

- DESPP Municipal Grant Program Guidance** (this document): This guidance lays out the process utilized to successfully complete and execute your grant with the Department of Emergency Services and Public Protection.
- Bidding and Contract Guidance:** The Department of Emergency Service and Public Protection does not review or approve Grantee bidding documents or contracts related to the Municipal Grant Program. It is the responsibility of the Grantee, in collaboration with its legal counsel, to ensure your project complies with all relevant local, state, and federal laws and/or program requirements. Please refer to the Personal Services Information documents included in this grant package to assist with your bidding process. For additional information, please refer to the CT CHRO office.  
<https://portal.ct.gov/CHRO/Contract-Compliance/Contract-Compliance/Contract-Compliance-Forms-and-Reports>

## B. Administrative Plan and Project Budget

1. **Administrative Plan:** Grantees are required to prepare a project Administrative Plan that describes how it will manage, document, and monitor and oversee the financial and programmatic elements of the grant project. The purpose of the plan is to:
  - 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 contracts.
  - Detail the process that the Grantee will use to review and approve project construction change orders and payment requisitions.

The Administrative Plan must be consistent with the original OPM Approval. No scope changes are allowed.

2. **Statement of Work (SOW):** The Attorney General's office, OPM, and DAS are now requiring that all grants have a statement of work attached to their project agreements. Although we know that your administrative plan will have this information, please complete the SOW as well to expedite the agreement through review.
3. **Project Budget:** A finalized Project Budget must be submitted with the Administrative Plan. The budget/overall project scope must be consistent with the original OPM Grant Application. DESPP has the discretion to adjust/shift budget category amounts, so long as the physical project scope remains consistent with the original intent of the award. The Grantee will need to request a change in the scope of their award and notify DESPP before making any changes. OPM must approve the change in scope before the Grantee can move forward with the project. If the Grantee moves forward without OPM approval, the work may not be reimbursable.

### Required Documents to Be Completed by Grant Recipient

**Administrative Plan Template:** The Administrative Plan Template was developed as a template, so you know what information to include in your Administrative Plan. This template should be submitted, filled out, on the Grantee's letterhead with the Notice of Grant award and the forms listed below.

**Statement of Work Template:** The Statement of Work (SOW) Template is from OPM and is to be used as a template. It's a general overview of the project. It does not need to be as detailed as the Administrative Plan, but there will be overlap. You can use the same information from the Administrative Plan in the SOW.

**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 project. This form can be used to also designate a change in Grantee Point of Contact.

**Source of Project Funds and Project Budget Itemization Form (DPS-203-C):** The Grantee must identify *all* project funding sources. If the only source of funding is the award, please indicate so on the form. Under this section, list the specific funding sources, descriptions, limitations, and amounts of all monies being used for this project. Be specific. If using several federal grants, list each individually. The total amount must match the total of the itemized budget. The totals should match the original approved OPM budget.

**Municipal Resolution or Certification from Grantee Official Authorized to Execute Agreement (201-C):** If a municipality is receiving the award and is the point of contact for DEMHS, the municipality resolution must be signed and/or notarized. If a non-profit is the award recipient, or a different municipal official (ex: grant manager, fire chief) will be overseeing the project, the 201-C must be signed by the CEO of the non-profit or municipality. The form must also be notarized.

**The budget totals on all forms must match the OPM budget allocation.**

### C. Legal Documents

The Department of Emergency Services and Public Protection will enter into a formal Grant Agreement with the Grantee. The Notice of the Grant Award and its attachments and exhibits will serve as the contract between the Grantee and the Grantor (DESPP) and explains all off the contractual requirements and obligations of each party. **The Grantee cannot begin work on the project until the agreement is fully executed or approved.** The effective date is the later date of both parties' signatures on the agreement.

1. **Notice of Grant Award:** Provides information on the Grantee, amount of award, description of the award project, and is the official signature page for the entire Grant Package. All parties are required to sign the signatory page. The effective date is the later date of the executed signatures.
2. **Special Grant Conditions:** Includes the Statutory Authority and specific terms of the project and agreement. Specific terms include the project, amount of award, reporting requirements, Grantee Certifications, and Payment Schedule.
3. **Connecticut General Conditions:** Contains all of the required contractual terms and conditions required by the Attorney General's office for the State of CT. This includes but is not limited to: insurance, record keeping and retention, audits, nondiscrimination and affirmative action requirements under CT statutes, ethics guidelines, indemnification clause, Federal Compliance and assurances, required reporting to additional state agencies, and termination.



4. **Certified Resolution - Guidance and Sample:** The Grantee is required to submit a certified resolution authorizing the designated official to execute and deliver contract/agreement/Grant Package. The Resolution must comply with the following requirements:
- The Resolution must authorize the Grantee’s CEO to sign the Notice of Grant Award between the Grantee and DESPP.
  - Signatures must match the printed names, letter-for-letter.
  - 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 Notice of Grant Award.
  - If the Grantee’s CEO leaves or is removed from office during the period of performance of the grant, a new Certified Resolution is required to be filed with DESPP.
  - **The Resolution must be notarized.**
  - Electronic signatures are not allowed on the Certified Resolution.
  - All signatures must have the name typed or printed underneath the signature.

### Required Legal Sections/Forms

**Notice of Grant Award:** Provides information on the Grantee, amount of award, description of the award project, and is the official signature page for the MOU. All parties are required to sign the signatory page. The effective date is the later date of the executed signatures on the agreement. Grantee will receive a copy of the fully executed agreement once it is signed.

**Special Grant Conditions:** Includes the Statutory Authority and specific terms of the project and agreement. Specific terms include the project, amount of award, reporting requirements, Grantee Certifications, and Payment Schedule.

**Municipal Resolution or Certification by Grantee Official Authorized to Execute Agreement (201-C):** 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”.

#### IV. Phase 2: Project Implementation, Monitoring and Reimbursement

Phase II begins once the Grant Agreement Package has been executed. Once all elements of Phase I have been completed the grant recipient is authorized to start work on the project.

**Any expenses or work performed before the effective date is not authorized and cannot be reimbursed.** All Phase 2 forms can be found at the DEMHS website or by emailing [Kimberly.zigich@ct.gov](mailto:Kimberly.zigich@ct.gov) or [Ian.Alexander@ct.gov](mailto:Ian.Alexander@ct.gov).

What's included in the Phase 2 package?		
A. Quarterly Progress Reporting	B. Cash Advance (if applicable) and/or Reimbursement Request Documents	C. Other Certifications
1. Progress Report (DPS-205-C) 2. Financial Report - DPS-203-C-3	1. Cash Advance Request Form 2. Reimbursement Data Sheet 3. Reimbursement Certification 4. Reimbursement Verification Form	1. Certification by Grantee Official Authorized to Execute Contracts (DPS-201-C) 2. Design Compliance Certification (DPS-202-C) 3. Construction Completion Certification (DPS-202-C-1)

##### A. Quarterly Progress Reports

Grantees are required to provide quarterly progress reports. This includes status reports on the programmatic and financial progress of the project. Grantee may not be able to get reimbursed if quarterly reports are not completed.

## Required Quarterly Progress Report Forms

**Progress Reports (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 these problems. This information will be based on the Administrative Plan submitted and approved with the application package. The Municipal Building Inspectors reports, received to date, must be attached to the Progress Reports.

**Financial Report - DPS-203-C-3:** This form is used 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 use 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.

## B. Requesting Funds

State funds distributed through the Municipal Grant Program (MGP) are disbursed depending on the type of grant you receive.

- **STEAP grants** are issued on a reimbursement basis only.
- **Urban Grants and Grants-in-Aid** can be issued in two ways:
  - One cash advance up to 25% of the award amount followed by two (2) reimbursement requests, with the second reimbursement request being the final payment of the project.
  - Maximum of three (3) reimbursement requests with the third reimbursement for the final payment of the project.

All funds are only for allowable expenditures incurred between the effective date (later date of the executing signatures) and end date of the grant agreement. Payment increments are specified in the Special Grant Conditions.

The Final reimbursement will be made after documentation of the total project costs, which includes documentation of the municipal share (if any) of the project, is submitted. The Grantee must provide proof that all the municipal share has been met/paid. If the grantee match is larger than the state share of the grant, only one request will be accepted.

### Required Reimbursement Request Forms

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

**Reimbursement Data Sheet:** This document is the cover sheet for your reimbursement request and summarizes the amounts requested in your request.

**Reimbursement Certification:** DPS-200-C: The Certifications are included in the Original MOU Attachment B. The Grantee's CEO certifies the conditions for reimbursement have been met and supporting documentation is accurate and complete. When the project is 100% complete, the Grantee must submit the Certificate of Occupancy before final reimbursement.

**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 detailed vendor invoices and Grantee payment documents.

Documentation Requirements	
A. Proof of Service	B. Proof of Payment
May consist of one of the following: <ul style="list-style-type: none"> <li>• Invoice showing services rendered</li> <li>• Store receipt showing in-store purchase</li> </ul>	May consist of one of the following: <ul style="list-style-type: none"> <li>• Cancelled check</li> <li>• Municipal Financial System Report showing vendor name, amount paid, date paid, and check number</li> <li>• Credit Card Statement and payment</li> </ul>

**C. Cash Advances**

If the Grantee has received an Urban Grant or a Municipal-in-Aid grant, they are eligible for a cash advance of up to 25% of their total award. To request the cash advance, the Grantee must submit a Cash Advance Request Form to [Kimberly.zigich@ct.gov](mailto:Kimberly.zigich@ct.gov) or [Ian.Alexander@ct.gov](mailto:Ian.Alexander@ct.gov). In addition to the Cash Advance Form the Grantee must provide documentation as to what the Cash Advance will be used toward (usually a quote from a vendor or construction manager). Once the cash advance is expended, the Grantee will need to submit proof of service and proof of payment as they would a reimbursement request to indicate the cash advance has been spent. As a reminder, recipients of STEAP awards are not eligible for cash advances.

**D. Additional Project Certifications**

Depending on the status of your project certifications are required to be submitted depending on the type of project.

Required Additional Certifications
<p><b>Certification by Grantee Official Authorized to Execute Contracts (DPS-201-C):</b>            This form certifies the following:</p> <ul style="list-style-type: none"> <li>• Grantee’s CEO is authorized to execute the contracts with their vendors.</li> <li>• 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.</li> <li>• All bidding and award requirements as outlined in MGP Bidding and Contracting Guidance and Consulting Guidance has been complied with in this project.</li> </ul> <p><b>Design Compliance Certification (DPS-202-C):</b> The Design Compliance Certification 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 before the bid phase.</p>

**Construction Completion Certification (DPS-202-C-1):** The Construction Completion Certification 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 before Agency Occupancy and/or with the Certificate of Occupancy.

**E. Extension/Revision Process**

The Grantee’s Chief Executive Officer should submit a written request for an extension, if needed, not less than **ninety days** before the expiration date of the current Grant Agreement. No more than one extension for the maximum of one year may be granted. Physical scope changes from the initial OPM project application are not eligible; changes between physical line items are allowable. Once the request is reviewed for eligibility by DESPP, the Grantee will submit the following documents as part of the extension process:

Document	Doc #	Required
1. Memorandum of Understanding Amendment (1 Page Amendment)	N/A	Required
2. Certified Resolution	N/A	Required
3. Administrative Documents	N/A	Update if Needed
a. Administrative Plan Update	N/A	Required
b. Grantee Point of Contact and Administrative Plan Approval	DPS-204-C	Update if Needed
4. Source of Project Funds and Project Budget Itemization Form	DPS-203-C REV 2/21	Update if Needed

## V. Phase 3: Project Closeout and Record Retention

Upon completion of your project and payment of your final reimbursement has been made by DESPP, you will receive a Notice of Grant Closeout from DESPP. Once executed your project with DESPP has been completed. After grant closeout, grantees must retain all records for a period not less than what is required pursuant to the regulations prescribed by the CT State Library (<https://ctstatelibrary.org/publicrecords/general-schedules-municipal/>).

- General Admin Records – Grant Program Records, retention is required for 6 years after renewal, termination or final report or audited, whichever is later.
- General Admin Records – Contracts, retention is: construction – 6 years after completion of project; services and supplies – 3 years after expiration
- Grant Fiscal Records - retention is 6 years after renewal, termination or final report or audit, whichever is later.

### Required Closeout Forms

**Notice of Grant Closeout:** This final grant document formally closes out your grant with DESPP and lays out the total actual project cost and any unspent funds. This form must be executed by both the Grantee Agency and the Grantor Agency. This document is used to formally close out the program and authorize the de-obligation of any remaining funds on the PO DESPP/OPM.

## Attachment A: Glossary of Forms

Form	Form #	Description	When to Submit
Administrative Plan template	N/A	This template of the sections that should be included in the Administrative Plan.	Phase 1: Admin Plan/Notice of Grant Award Phase 2: Extension
Certification by Grantee Official Authorized to Execute Contracts	DPS-201-C	Certifies the project contracts were executed as specified on the form.	Submission dependent on status of project
Certified Resolution	N/A	Certifies the designated official is Authorized to Execute the MOU.	Phase 1: Admin Plan/Notice of Grant Award Phase 2: Extension/Revision (Only If new CEO is in place)
Construction Completion Certification	DPS-202-C-1	Certifies the project is in substantial compliance with the requirements as detailed on the form.	Submission dependent on status of project
Design Compliance Certification	DPS-202-C	Certifies the completed project has been designed in substantial compliance as detailed on the form.	Submission dependent on status of project
Financial Report	DPS-203-C-3	This form is used to report project outlays or expenditures and unpaid obligations.	Phase 2: Monitoring
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.	Phase 1: Admin Plan/Notice of Grant Award Phase 2: Extension Submitted when changes are made to the Grantee Points of Contact.
Notice of Grant Closeout	N/A	Formally closes out the grant and de-obligates any remaining funds.	



Form	Form #	Description	Pp.	When to Submit
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.	P. 8	Phase 2: Monitoring
Source of Project Funds and Project Budget Itemization Form	DPS-203-C REV 2/2021	This form is used to report to DESPP the project budget and the sources of funding for the project.	Pp. 5, 11	Phase 1: Admin Plan/MOU Phase 2: Extension/Revision
Reimbursement Certification	DPS-200-C	This form certifies the Grantee complies with all requirements necessary for reimbursement.	P. 9	Phase 2: Reimbursement
Reimbursement Data Sheet	N/A	This form is the cover page for the Reimbursement Request Package.	P. 9	Phase 2: Reimbursement
Reimbursement Verification	DPS-203-C-4	This form is used by the Grantee for vendor identification and organization of Reimbursement Package documentation	P. 9	Phase 2: Reimbursement