

**ECONOMIC AND COMMUNITY DEVELOPMENT
OF THE COMMON COUNCIL
125 East Avenue
P.O. Box 5125
Norwalk, CT 06856**

TO: MEMBERS, ECONOMIC AND COMMUNITY DEVELOPMENT COMMITTEE OF THE
COMMON COUNCIL

FROM: JOSH GOLDSTEIN, CHAIRMAN

DATE: JUNE 4, 2024

RE: MEETING NOTICE

The Meeting of the Economic & Community Development Committee is scheduled for Thursday, June 6, 2024, at 7:00pm. To allow public access, anyone may access a meeting by telephone, Zoom, and/or the City of Norwalk YouTube channel. Specific instructions and links can be found at www.norwalkct.org/meetings.



Members of the public may call in to participate. Callers will not be able to see the meeting participants. All participants will be muted upon entering the meeting. To speak, dial *9 on the phone and you will be called on by the host of the meeting during the public comment section. All speakers must state their name and address. Comments must be on a topic on the agenda and are limited to three minutes. Anyone disrupting the orderly conduct of the meeting, including by using threatening, hateful, or sexually explicit language, will be removed. Please find the information using the link above.



Members of the public who wish to provide "live comments" may also use the Zoom meeting platform. All participants will be muted upon entering the meeting. To speak, click the "raise your hand indicator" and you will be called by the host of the meeting during the public comment section. All speakers must state their name and address. Comments must be on a topic on the agenda and are limited to three minutes. Anyone disrupting the orderly conduct of the meeting, including by using threatening, hateful, or sexually explicit language, will be removed. Please find the information using the link above.



Members of the public who wish to view the meeting, but are not participating, can view a live stream on the City of Norwalk YouTube channel. This stream is delayed by approximately 20 seconds. Please find the information using the link above. The meeting recording and minutes will be posted on the City of Norwalk website within seven (7) days after the meeting.



Members of the public who wish to provide public comment are encouraged to submit those via email in advance of the meeting. For these comments to be included into the record, they must be submitted by 12:00 p.m. the day of the meeting. Please email Sabrina Godeski at sgodeski@norwalkct.gov with the subject line "Public Comment" to provide written public comment prior to the meeting.

**ECONOMIC AND COMMUNITY DEVELOPMENT COMMITTEE OF THE COMMON COUNCIL
REGULAR MEETING
JUNE 6, 2024 @ 7:00PM
AGENDA**

CALL TO ORDER

ROLL CALL

PUBLIC HEARING ON THE 2024 NEIGHBORHOOD ASSISTANCE ACT PROGRAM

<https://www.norwalkct.gov/DocumentCenter/View/33398/Norwalk-Applications-For-Neighborhood-Assistance-Act-2024>

PUBLIC PARTICIPATION

I. ADMINISTRATION

- A. Approval of the Minutes of May 2, 2024 regular meeting.

II. NEW BUSINESS

A. REDEVELOPMENT AGENCY

- 1. Advance the applications submitted to the 2024 Connecticut Neighborhood Assistance Act program to the Common Council for their approval at the June 11, 2024 Common Council meeting for inclusion in the 2024 Connecticut Neighborhood Assistance Act program. – Katie O’Leary
- 2. Advance the PY50 Annual Action Plan (AAP) to the Common Council for its approval and to authorize the Mayor to execute any and all documents associated with the submission of the PY50 AAP to HUD and all documents consistent with the approved PY50 AAP. – Stephen Ivan

B. PLANNING AND ZONING

- 1. Authorize the Mayor, Harry W. Rilling, to execute separate Master Services Agreements with AKRF for on-call professional consulting services to be performed on an as-needed basis related to peer traffic review. The Scope of Work will be performed pursuant to individual Letters of Agreement detailing the scope of the work for each Project. Services will be paid for by individual applicants with the Department. – Steve Kleppin
- 2. Authorize the Mayor, Harry W. Rilling, to execute separate Master Services Agreements with DeCarlo & Doll and BFJ Planning for on call professional consulting services to be performed on an as-needed basis related to peer architectural/planning review. The Scope of Work will be performed pursuant to individual Letters of Agreement detailing the scope of the work for each Project. Services will be paid for by individual applicants with the Department. – Steve Kleppin
- 3. Authorize the Director of Planning and Zoning to execute the Letters of Agreement for

both traffic peer review services and architectural/planning peer review services. – Steve Kleppin

C. TRANSPORTATION, MOBILITY, AND PARKING

1. Authorize the Mayor, Harry W. Rilling to execute an amendment to increase the Fuss and O'Neill contract by \$798,000 for Additional Transportation Engineering and Related Design Services for Wall Street Corridor Improvements – Garrett Bolella & Jim Travers

Account(s): 133710 5796 AEC01
0924 3750 5777 C0800
0924 3750 5777 C0800 0925 3750 5777 C0800

2. Authorize the Mayor, Harry W. Rilling to execute an Agreement between the City of Norwalk and Stantec for Preliminary Design and Grant Support Services for the Norwalk River Valley Trail Wil-Walk Spur, planned to run underneath Grist Mill Road to Glover Avenue, in an amount not to exceed \$22,000. - Benjamin Yeung

Account: 0924 3750 5777 C0777

D. ECONOMIC AND COMMUNITY DEVELOPMENT

1. Authorize the Mayor, Harry W. Rilling, to execute an agreement with Berry, Dunn, McNeil & Parker, LLC for software project management consulting services in an amount not to exceed \$150,000. – Jessica Vonashek

Account: 13-700-013-13500-0000-5796-AEC15

III. OLD BUSINESS

ADJOURNMENT

**CITY OF NORWALK
ECONOMIC AND COMMUNITY DEVELOPMENT COMMITTEE OF THE COMMON
COUNCIL
REGULAR MEETING
MAY 2, 2024
VIA TELECONFERENCE**

ATTENDANCE: Joshua Goldstein; Chair, Jalin Sead, James Frayer, Barbara Smyth,
Heather Dunn, Melissa Murray

STAFF: Sabrina Godeski; Director of Business Development & Tourism; Anna
Breault; Special Events Coordinator, Garrett Bolella; Asst. Director of
Transportation, Mobility and Parking, Darin Callahan; Asst. Corporation
Council, Jessica Vonashek; Chief of Community and Economic
Development

OTHER: Johan Lopez

CALL TO ORDER

Mr. Goldstein called the meeting to order at 7:00 p.m.

ROLL CALL

Mr. Goldstein listed the members in attendance as reflected above.

PUBLIC PARTICIPATION

a. Diane Lauricella

Ms. Lauricella discussed the 55 MLK/Webster Street Lot. She noted at one point it was once under the authority of the Brownfield task force. She stated the lot had been turned over to the Redevelopment Agency. Ms. Lauricella described the current green infrastructure and expressed concerns about its status.

Ms. Lauricella thanked Ms. Godeski, Ms. Breault, and all the members who helped with Earth Day on the Green. She stated that for the 2025 events, they should look at things through the eyes of the taxpayer and include corporate and business sponsors.

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b. Tanner Thompson

Mr. Thompson discussed the need for a resilient transportation system that doesn't rely wholly on driving. He said he envisioned a more diverse and high-quality transportation network that would provide options in the event of a crisis.

ADMINISTRATION

A. Approval of the Minutes of April 4, 2024 special meeting.

**** MS. SMYTH MOVED TO APPROVE THE MINUTES.
** THE MOTION PASSED UNANIMOUSLY.**

NEW BUSINESS

A. TRANSPORTATION, MOBILITY, AND PARKING

1. Presentation on the Norwalk Route 1 Corridor Master Plan Study.

Mr. Bolella gave a slide presentation explaining the master plan study for the Route 1 Corridor. He noted that the study was funded by the FHWA. He discussed the various groups and partners who are participating in the funding process. Mr. Bolella stated this study would get both the state and Norwalk parties in the same room to discuss the situation.

Mr. Bolella presented a map showing the area in question. He also mentioned the areas the study would cover. He put up several images showing how the corridor has changed over the years. He discussed how the area has grown in a very auto-centric way citing the capacity increase for vehicles. He pointed out Norwalk lacks, sidewalks, true transit facilities, and connections.

Mr. Bolella presented a slide showing the Route 1 Planning Context featuring the following:
Safety Concerns

- Congestion Concerns
- Bike and Pedestrian Needs
- Transit Priority Measures
- Zoning Supporting Multimodal Transportation

He then presented a series of slides showing daily traffic, the prevalence of congestion, and major crash locations. Mr. Bolella then showed and explained a graphic of the new zoning. He added they were looking to do their first public engagement to introduce the project to the community on May 20, 2024. Mr. Bolella stated they would be using the Summer to collect all the necessary data for analysis. He said the analysis could then be presented in September.

**CITY OF NORWALK
ECONOMIC AND COMMUNITY DEVELOPMENT COMMITTEE OF THE COMMON
COUNCIL REGULAR MEETING
MAY 2, 2024**

Mr. Sead said he felt that emergency services should be part of the discussion. Mr. Bolella said they would make sure emergency services are included. He also talked about the benefits of the corridor plan to the area.

2. Complete Streets Update

Mr. Bolella presented his update on Complete Streets. He stated they were working on wrapping up the process by the end of the year. He also noted they would be making a presentation on Complete Streets to the Ordinance Committee in May. Mr. Bolella discussed a demonstration project they were bringing before the Traffic Authority in June.

Ms. Murray highlighted the mobility aspect of the project and how it would benefit her district. She also had concerns that the lights at the crossing were quick, and seniors may not be able to get across in time. Mr. Bolella noted they have a draft of a flyer they were hoping to get out. He stated they would provide direct notification to any groups Ms. Murray suggested. Mr. Bolella explained how the various adjustments made would reflect both specific locations and a baseline across the city.

Mr. Goldstein discussed several municipalities that have already adopted Complete Streets. He clarified they would be doing a presentation to the Ordinance Committee in May. He also stated the implementation of the ordinance, and the design guide are two separate documents.

B. REDEVELOPMENT AGENCY

1. RESOLUTION AUTHORIZING THE MAYOR TO PARTICIPATE IN THE BROWNFIELD MUNICIPAL GRANT PROGRAM TO SUPPORT THE ENVIRONMENTAL REMEDIATION AND REDEVELOPMENT OF 55 MLK DRIVE (WEBSTER STREET LOT)

WHEREAS, pursuant to C.G.S Section 32-763 the Connecticut Department of Economic and Community Development is authorized to extend financial assistance for economic development projects; and

WHEREAS, it is desirable and in the public interest that the City of Norwalk & Norwalk Redevelopment Agency make an application to the State for \$3,000,000 in order to undertake the 55 MLK (Webster Street Lot) Brownfield Cleanup Project and to execute an Assistance Agreement.

NOW, THEREFORE, BE IT RESOLVED BY THE COMMON COUNCIL OF NORWALK

1. That it is cognizant of the conditions and prerequisites for the state financial assistance imposed by C.G.S Section 32-763

**CITY OF NORWALK
ECONOMIC AND COMMUNITY DEVELOPMENT COMMITTEE OF THE COMMON
COUNCIL REGULAR MEETING
MAY 2, 2024**

2. That the filling of an application for State financial assistance by the City of Norwalk & Norwalk Redevelopment Agency in an amount not to exceed \$3,000,000 is hereby approved and that Mayor Harry Rilling is directed to execute and file such application with the Connecticut Department of Economic and Community Development, to provide such additional information, to execute such 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, decisions, and revisions thereto, and to act as the authorized representative of the City of Norwalk

**** MS. SMYTH MOVED THE RESOLUTION FORWARD.
** THE MOTION PASSED UNANIMOUSLY.**

2. RESOLUTION AUTHORIZING THE MAYOR TO PARTICIPATE IN THE COMMUNITY INVESTMENT FUND 2030 PROGRAM TO SUPPORT THE REDEVELOPMENT OF 55 MLK DRIVE (WEBSTER STREET LOT)

WHEREAS, pursuant to C.G.S Section 32-285a the Connecticut Department of Economic and Community Development is authorized to extend financial assistance for economic development projects; and

WHEREAS, it is desirable and in the public interest that the City of Norwalk & Norwalk Redevelopment Agency make an application to the State for \$8,000,000 in order to undertake the 55 MLK (Webster Street Lot) Community Investment Fund Project and to execute an Assistance Agreement.

NOW, THEREFORE, BE IT RESOLVED BY THE COMMON COUNCIL OF NORWALK

1. That it is cognizant of the conditions and prerequisites for the state financial assistance imposed by C.G.S Section 32-285a
2. That the filling of an application for State financial assistance by the City of Norwalk & Norwalk Redevelopment Agency in an amount not to exceed \$8,000,000 is hereby approved and that Mayor Harry Rilling is directed to execute and file such application with the Connecticut Department of Economic and Community Development, to provide such additional information, to execute such 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, decisions, and revisions thereto, and to act as the authorized representative of the City of Norwalk.

**CITY OF NORWALK
ECONOMIC AND COMMUNITY DEVELOPMENT COMMITTEE OF THE COMMON
COUNCIL REGULAR MEETING
MAY 2, 2024**

Mr. Bolella discussed the Webster lot plans for redevelopment of the existing surface parking lot into a mixed-use residential village. He noted the state assistance for the project, \$3 million from the Brownfields Program. He also stated they received \$8 million from the Department of Economic and Community Development. Mr. Bolella explained there was a history of contamination on the site. He indicated there was a \$5-to-5.5-million-dollar price tag to clean it up. He said they had received the funding they needed through DCD and an EPA grant. Mr. Bolella indicated that the only way they could access those funds was to have the assistance agreement referenced in the resolution. He stated the funds would be put in an escrow account pending a land disposition agreement. He also remarked that the funds mentioned in the resolution were focused more on on-site infrastructure.

Mr. Callahan discussed the changes in the ECDC granting process. He described the financial assistance agreement. He referred to it as the cost of accessing the funding. He also described what was required by ECDC when securing financial assistance.

Mr. Goldstein requested information on formally unlocking the funds. Mr. Bolella stated it would be a notification, but the funds wouldn't be released until they had a full land disposition agreement approved.

Mr. Frayer wanted to make sure the escrow account would prevent them from being exposed in any way until they went ahead with the full deal. Mr. Bolella responded in the affirmative. There was a discussion on whether there would be a termination date on the escrow account. Mr. Callahan explained that had yet to be determined. He stated the proposal does require the funds to be spent within a certain period.

**** MR. FRAYER MOVED THE RESOLUTION FORWARD.
** THE MOTION PASSED UNANIMOUSLY.**

C. BUSINESS DEVELOPMENT & TOURISM

1. FY2025 Special Events Presentation.

Ms. Godeski provided an overview of the items the presentation would be covering.

Ms. Breault provided a PowerPoint presentation on the Special Events and their objectives.

- Enriching the art
- Empowering small business
- Advancing Education
- Celebrating diversity

She then showed a slide listing goals they hope to achieve.

**CITY OF NORWALK
ECONOMIC AND COMMUNITY DEVELOPMENT COMMITTEE OF THE COMMON
COUNCIL REGULAR MEETING
MAY 2, 2024**

- Increased event attendance
- Local entrepreneur support
- Encouraging community participation
- Engage a young audience.
- Reinforce neighborhood activation.
- Sustainability and environmental awareness
- Economic development

Ms. Breault's next slide discussed the Arts and Economic Prosperity Study. The study showed event attendees will put an average of \$32.21 into the local economy per person, per event.

Ms. Breault presented the next slide. She discussed first-time events from the 2023 season and the ROI for the various events. She next went on the 2024 calendar and the goal of increased attendance using:

- A mailed calendar
- A bigger Social Media Presence
- Collaborations with local businesses and organizations

Ms. Smith wanted to know if there had been an increase in attendance for events started in 2022. Ms. Breault indicated there was a small increase in attendance for those events in 2023.

Ms. Breault presented her next slide that discussed:

- Local entrepreneur support and
- Encouraging active community participation

She described how the larger events allow for local small business and vendor pop-ups. She stated they wanted to increase the number of vendors and organizations as time went on. She also discussed the goal of fostering community participation. She stated their aim was an 85% or higher satisfaction rate with the community. She stressed the need for free and affordable activities and events. Ms. Breault said this year they would be focusing on post-event surveys for feedback.

Ms. Breault presented the next slide that discussed:

- Engaging young audiences specifically with program activities for youth and families at all events through:
 - ◆ Outreach to the school system and youth programs
 - ◆ School and youth program performances
- Reinforcing Neighborhood Activation through:
 - ◆ Community projects, partnerships, and working with neighborhood stakeholders and groups.

Ms. Breault presented the next slide which discussed:

**CITY OF NORWALK
ECONOMIC AND COMMUNITY DEVELOPMENT COMMITTEE OF THE COMMON
COUNCIL REGULAR MEETING
MAY 2, 2024**

- Sustainability and environmental awareness which includes:
 - ◆ Reduced carbon emissions from transportation to events by encouraging public transportation, carpooling, and renewable energy resources.
 - ◆ Diverting event waste from landfills to recycling by strongly implementing recycling through strategic placement of recycling bins throughout an event.
- Economic Improvement to include:
 - ◆ At least a 15% increase in sales tax revenues for defined districts.
 - ◆ Quantifying economic impact of events on the local economy in including:
 - spending by attendees
 - revenue generated for local businesses.
 - employment opportunities

Ms. Breault's next slide discussed event partnership stressing:

- Organizational support
- Market Support
- Measurable increases for event success
 - ◆ Higher attendance
 - ◆ Seamless coordination with City departments
 - ◆ Increased event outreach.

Ms. Breault presented a series of slides showing some of the partnerships already in place. She highlighted Eco Evolution on Washington Street. The collaboration places vendors and activities in vacant storefronts once a month.

Ms. Breault then showed a slide discussing their partnership with the Earth Day Festival. She noted unlike previous years the attendance was over two thousand. She then showed several images of people participating in the event.

Ms. Breault then described another partnership for the Pride in the Park Event. She stated they would be partnering with Triangle Community Center for: Family hour programming.

- Parking, bus routes, Wheels2U

Ms. Breault noted that Marketplace on Washington would be taking place on the same day. The hope being it would foster a better connection between SoNo and Veterans Park.

Ms. Breault next slide described Silent Book Club. She then described some other event they've put on including:

- Dungeons and Dragons Game Night at the Washington Street Plaza, partnered with Battlegrounds Gaming.
- Karaoke Night at 314 Beer Garden sponsored by the city of Norwalk.

- New Resident Meet up at Eco Evolution, partnered with Tony Bacigalupo of the Belongfulness Project.

Ms. Breault then discussed bringing back the SoNo Harbor Splash. She then brought up the topic of sponsorships with businesses and organizations. Ms. Breault then showed a slide showing the various sponsorship levels available.

Ms. Breault then presented a slide describing special events and coordination management. Her final slide listed plans to create events with remarkable outcomes.

2. Authorize the Mayor, Harry W. Rilling to execute a contract with Placer Labs, Inc. for a data software unlimited license in the amount of \$34,000 via sole source procurement.
ACCT: 0924 3710 5777 C0773

Ms. Godeski described the software, its benefits, and the license. Mr. Goldstein asked if other local municipalities used the same/similar services and if they could share the data. Ms. Godeski said no. Ms. Murray was curious about working with the state Convention and Visitors Bureau to get the necessary data. Ms. Godeski stated they had no means of getting the data at this time. Ms. Murray suggested partnering with local hotels to get the information.

**** MS. SMYTH MOVED TO PASS THE MOTION.
** THE MOTION PASSED UNANIMOUSLY.**

3. Authorize the Mayor, Harry W. Rilling to execute a 3-year contract with two 1-year extension options with ARC Sound, Stage, Lighting, LLC in the amounts of \$92,510 for year one, \$97,585 for year two, and \$102,760 for year 3 for Purchasing Project: 4341R Stage, Lighting, and Sound Services.
ACCT: 0925 3780 5777 C0680
0924 3710 5777 C0773
0925 3710 5777 C0773

Ms. Godeski described the RFP process. She stated ARC had the best pricing and was a Norwalk-based company. She also noted they had worked with ARC previously.

Ms. Smyth had questions about the contract. Ms. Godeski said once the contract was in place they wanted to have a meeting to discuss event options. Mr. Goldstein had questions about flex events. Mr. Sead had concerns about locking in the contract for three years. Ms. Godeski explained the contract had the option of canceling based on funding availability. Ms. Dunn suggested getting budgets from other event operators for comparison. She stated that the sponsorship levels are way too low. She also suggested taking a long-range look at foot traffic. Ms. Godeski explained they were making a concerted effort to increase sponsorship. Mr. Frayer stated he felt the key was the Placer software. Ms. Murray explained the pros and cons of sponsorship and in-kind donations. She noted the type outside was situational. Ms. Dunn wanted

**CITY OF NORWALK
ECONOMIC AND COMMUNITY DEVELOPMENT COMMITTEE OF THE COMMON
COUNCIL REGULAR MEETING
MAY 2, 2024**

a list of the sponsor-level deliverables. Ms. Dunn had contract concerns. Ms. Godeski said the three years were to ensure they would have to go to the RFP every year. She also pointed out the contract terms were dependent on funding.

**** MR. FRAYER MOVED TO PASS THE MOTION TO TAKE THE ITEM
TO THE FULL COUNCIL.
** THE MOTION PASSED UNANIMOUSLY.**

OLD BUSINESS

There was no old business to discuss.

ADJOURNMENT

**** MS. DUNN MOVED TO ADJOURN THE MEETING.
** THE MOTION PASSED UNANIMOUSLY.**

The meeting was adjourned at 9:05 p.m.

Respectfully submitted.
China Mayhew
Telesco Secretarial Services

TO: Members of the Economic and Community Development Committee of the Common Council

FROM: Staff of the Norwalk Redevelopment Agency

RE: 2024 Neighborhood Assistance Act Program (NAA)

DATE: May 23, 2024

The Connecticut Neighborhood Assistance Act Program (NAA) provides a corporation business tax credit to businesses who make cash contributions to qualifying community programs conducted by tax exempt or municipal agencies. The tax credit earned is equal to 60% of a business' approved contribution to specific programs or 100% in the case of certain energy conservation programs.

On behalf of the City of Norwalk, the Norwalk Redevelopment Agency announced the 2024 open application period and collected applications. Norwalk Redevelopment Agency received nine (9) applications for Connecticut's 2024 NAA program. Accompanying this memo is an electronic binder showcasing the NAA applications.

Please note:

- This is not a Norwalk grants program and none of the funds involved are controlled by the City of Norwalk.
- The City's role is one of acknowledging the existence of the non-profits, their proposed services to the community and their stated needs to the state and corporate seekers of tax credit opportunities.
- Application review and award of tax credits is carried out by Connecticut Department of Revenue Services.

Following a public hearing which will be held during the June 6, 2024 Economic and Community Development Committee meeting and under statute, the non-profit, tax-exempt organizations with 501(c)3 status must be referred by the local legislative body where their service is performed. Note: Applicants will not give presentations on their NAA applications. Following the public hearing, the Economic and Community Development Committee is asked to advance to the Common Council any or all of the applications received. The full applications are included and posted here: <https://www.norwalkct.gov/DocumentCenter/View/33398/Norwalk-Applications-For-Neighborhood-Assistance-Act-2024>

REQUESTED ACTION:

1. Advance the applications submitted to the 2024 Connecticut Neighborhood Assistance Act program to the Common Council for their approval at the June 11, 2024 Common Council meeting for inclusion in the 2024 Connecticut Neighborhood Assistance Act program.

NEIGHBORHOOD ASSISTANCE ACT TAX CREDIT PROGRAM 2024

APPLICATIONS

Administered by Norwalk Redevelopment Agency on behalf of the City of Norwalk



TABLE OF CONTENTS

List of applicants and amounts requested

Applications submitted

1. **Jr Achievement of Greater Fairfield County –**
Junior Achievement's Financial Literacy & Work Readiness Programs for Norwalk Youth (\$35,000)
2. **Malta House, Inc. –**
Malta House (\$150,000)
3. **Norwalk Congregate Homes for the Elderly, Inc., dba Broad River Homes –**
Modernization of HVAC System (\$50,000)
4. **Norwalk River Rowing Association –**
Norwalk River Rowing New Safety Launch for Youth Program (\$125,000)
5. **Star, Lighting the Way –**
Boiler Replacement at STAR Headquarters serving people with disabilities (\$150,000)
6. **The Maritime Aquarium at Norwalk –**
Solar Panels (\$150,000)
7. **The Open Door Shelter, dba Open Doors –**
Berkeley Street Energy Conservation Initiative (\$150,000)
8. **Under One Roof/The Marvin –**
WiseWatts: The Marvin's Residents Saving Initiative (\$148,060)
9. **Waveny LifeCare Network, Inc. –**
Waveny LifeCare Network Kathleen M. Fruin RN, Certified Nursing Aide School (\$93,053.00)

**JUNIOR ACHIEVEMENT OF
GREATER FAIRFIELD COUNTY**

[Print Form](#)

[Reset Form](#)



Municipality: Norwalk

Form NAA-01

2024 Connecticut Neighborhood Assistance Act (NAA) Program Proposal

This form **must** be completed and submitted to your municipality for approval. All items **must** be completed with as much detail as possible. If additional space is needed, attach additional sheets. Please type or print clearly. See attached instructions before completing. **Do not submit this form directly to the Department of Revenue Services.**

Part I — General Information

Name of tax exempt organization/municipal agency: _____
Junior Achievement of Greater Fairfield County, Inc.

Address: 835 Main Street, Bridgeport, CT 06604

Federal Employer Identification Number: 06-0644315

Program title: Junior Achievement's Financial Literacy & Work Readiness Programs for Norwalk Youth

Name of contact person: Laura Stern

Telephone number: (203) 382-0180

Email address: lstern@jagfc.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 35,000.00

Is your organization required to file federal Form 990 or 990EZ, Return of Organization Exempt from Income Tax?

☒ Yes ☐ No

If **Yes**, attach a copy of the **first page** of your most recent return.

If **No**, attach a copy of your determination letter from the U.S. Treasury Department, Internal Revenue Service.

Part II — Program Information

Check the appropriate description of your program:

100% credit percentage

- ☐ Energy conservation; **or**
☐ Comprehensive college access loan forgiveness (see Conn. Gen. Stat. § 12-635(3)).

60% credit percentage

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for persons with physical disabilities;
☐ Program serving low-income persons;
☐ Child care services;
☐ Establishment of a child day care facility;
☐ Open space acquisition fund; **or**
☒ Other (specify): Supplemental financial literacy and work readiness programs

Description of program: _____

Junior Achievement (JA) is dedicated to inspiring and preparing young people with the knowledge and skills they need to succeed in a global economy. JA's programs for young people focus on three pathways: financial literacy, work and career readiness, and entrepreneurship. Through relevant and innovative programs taught by volunteer role models, Junior Achievement is the bridge from education to workforce, which ultimately promotes financial stability and economic mobility. Program content is customized to meet local needs while being aligned with state and national academic standards. JA's programs are provided for free to participants.

Need for program: _____

JA programs are vital for our youth, especially those in under-resourced schools and communities. Norwalk publishes its student population data as 50.4% low income, 8% higher than the state average (as measured by eligibility for free or reduced-price meals), and minority school population of 76.7%. Our goal is to help students learn essential skills that will enable their professional and financial success. By developing these skills, JA helps young people believe in themselves and to do the work to build their own successful futures.

Neighborhood area to be served: _____

The Norwalk school population in grades K through 12, as well as young adults ages 18-25.

Plan to implement the program: _____

JA engages volunteers from the business community and community at-large to deliver our curricula while sharing their own career and life experiences with students. Our programs are grade-level appropriate and follow the common core curriculum. Our Program team will conduct community outreach and recruit volunteers; provide training to volunteers and orientations to educators prior to program delivery; coordinate program materials; finalize volunteer schedules; and oversee tracking and evaluation.

Timetable:Program start date: 07/01/2024

MM - DD - YYYY

Program completion date: 06/30/2025

MM - DD - YYYY

Post-project audit due date: _____

MM - DD - YYYY

The program start date must not be more than two years prior to the program completion date.

Any program receiving \$25,000 or more in NAA funding is required to provide a post-project audit, prepared by a certified public accounting firm, to the municipality overseeing the program, no later than three months after the program completion date.

Part III — Financial Information**Program Budget:**

Complete in full. Expenditures must equal or exceed total funding.

Sources of Revenue:

NAA funds requested \$35,000.00

Other funding sources - itemized sources:

a) Corporate, foundations, individual gifts, organizations \$58,824.00

b) Special event revenue \$1,329.51

c) _____

d) _____

Total Funding: \$95,153.51

Proposed Program Expenditures:

Direct operating expenses - itemized description:

a) Salaries, benefits, payroll taxes \$63,500.51

b) Program materials and supplies \$2,427.26

c) Travel, mileage, training \$557.28

d) Scholarships, awards, recognition \$309.60

Administrative expenses - itemized description:

a) Insurance, License fees \$9,600.63

b) Overhead - rent, utilities, equipment \$1,933.14

c) Operating costs - IT, telephone, office supplies, postage/frgt \$14,317.33

d) Marketing & development, staff & board development \$2,507.76

Total Proposed Expenditures: \$95,153.51

Part IV — Municipal Information

To be completed by the municipal agency overseeing implementation of the program

Name of municipal agency overseeing implementation of the program:	_____
	Norwalk Redevelopment Agency
Mailing address:	3 Belden Avenue, Norwalk, CT 06850

Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810
Fax number:	_____
Email address:	koleary@norwalkct.org

Post-Project Audit Is a post-project audit required for this proposal? ☐ Yes ☐ No If Yes, date post-project audit due: _____ Date
--

A For the 2022 calendar year, or tax year beginning 07/01/2022 and ending 06/30/2023	
B Check if applicable: ☐ Address change ☐ Name change ☐ Initial return ☐ Final return/terminated ☐ Amended return ☐ Application pending	C Name of organization JUNIOR ACHIEVEMENT OF GREATER FAIRFIELD COUNTY, INC. Doing business as Number and street (or P.O. box if mail is not delivered to street address) Room/suite 835 MAIN ST City or town, state or province, country, and ZIP or foreign postal code BRIDGEPORT, CT 06604
	D Employer identification number 06-0644315
	E Telephone number (203) 382-0180
	G Gross receipts \$ 1,659,038.
	F Name and address of principal officer: BERNADINE VENDITTO 835 MAIN ST, BRIDGEPORT, CT 06604
	H(a) Is this a group return for subsidiaries? ☐ Yes ☒ No H(b) Are all subsidiaries included? ☐ Yes ☐ No If "No," attach a list. See instructions.
I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) () (insert no.) ☐ 4947(a)(1) or ☐ 527	H(c) Group exemption number
J Website: WWW.JAGFC.ORG	
K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other	L Year of formation: 1950 M State of legal domicile: CT

Part I Summary		
Activities & Governance	1	Briefly describe the organization's mission or most significant activities: JUNIOR ACHIEVEMENT INSPIRES AND PREPARES YOUNG PEOPLE TO SUCCEED IN A GLOBAL ECONOMY.
	2	Check this box ☐ if the organization discontinued its operations or disposed of more than 25% of its net assets.
	3	Number of voting members of the governing body (Part VI, line 1a) 3 22
	4	Number of independent voting members of the governing body (Part VI, line 1b) 4 22
	5	Total number of individuals employed in calendar year 2022 (Part V, line 2a) 5 9
	6	Total number of volunteers (estimate if necessary) 6 460
	7a	Total unrelated business revenue from Part VIII, column (C), line 12 7a
	7b	Net unrelated business taxable income from Form 990-T, Part I, line 11 7b
Revenue	8	Contributions and grants (Part VIII, line 1h) 878,337. 850,081.
	9	Program service revenue (Part VIII, line 2g) NONE NONE
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d) 1,998. 15,018.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) 416,285. 465,510.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) 1,296,620. 1,330,609.
	13	Grants and similar amounts paid (Part IX, column (A), lines 1-3) 300. 1,750.
Expenses	14	Benefits paid to or for members (Part IX, column (A), line 4) NONE NONE
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10) 859,280. 814,942.
	16a	Professional fundraising fees (Part IX, column (A), line 11e) NONE NONE
	16b	Total fundraising expenses (Part IX, column (D), line 25) 68,706.
	17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) 421,788. 476,289.
	18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25) 1,281,368. 1,292,981.
Net Assets or Fund Balances	19	Revenue less expenses. Subtract line 18 from line 12 15,252. 37,628.
	20	Total assets (Part X, line 16) 1,604,677. 1,669,873.
	21	Total liabilities (Part X, line 26) 547,731. 576,947.
	22	Net assets or fund balances. Subtract line 21 from line 20 1,056,946. 1,092,926.

Part II Signature Block	
Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.	
Sign Here	Signature of officer BERNADINE VENDITTO Type or print name and title
	Date 11/09/2023 PRESIDENT
Paid Preparer Use Only	Print/Type preparer's name BRIAN C WHITE Firm's name NANAVATY DAVENPORT STUDLEY WHITE Firm's address 123 SOUTH MAIN ST., SUITE 140 NEWTOWN, CT 06470
	Preparer's signature 11/09/2023 Check ☐ if self-employed PTIN P00058320
	Firm's EIN 06-1402749 Phone no. 203-426-8500
May the IRS discuss this return with the preparer shown above? See instructions ☒ Yes ☐ No	

Malta House, Inc.



Municipality: Norwalk

Form NAA-01
2024 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

This form **must** be completed and submitted to your municipality for approval. All items **must** be completed with as much detail as possible. If additional space is needed, attach additional sheets. Please type or print clearly. See attached instructions before completing. **Do not submit this form directly to the Department of Revenue Services.**

Part I — General Information

Name of tax exempt organization/municipal agency: _____
Malta House Inc.

Address: 139 West Rocks Road, Norwalk, CT 06851

Federal Employer Identification Number: 06-1604710

Program title: Malta House

Name of contact person: Danielle LeBrando

Telephone number: (203) 857-0088

Email address: dlebrando@maltahouse.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 150,000.00

Is your organization required to file federal Form 990 or 990EZ, Return of Organization Exempt from Income Tax?



Yes



No

If **Yes**, attach a copy of the **first page** of your most recent return.

If **No**, attach a copy of your determination letter from the U.S. Treasury Department, Internal Revenue Service.

Part II — Program Information

Check the appropriate description of your program:

100% credit percentage

- ☐ Energy conservation; **or**
☐ Comprehensive college access loan forgiveness (see Conn. Gen. Stat. § 12-635(3)).

60% credit percentage

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for persons with physical disabilities;
☒ Program serving low-income persons;
☐ Child care services;
☐ Establishment of a child day care facility;
☐ Open space acquisition fund; **or**
☐ Other (specify): _____

Description of program: _____

In 2024, Malta House is embarking on a unique initiative, expanding its in-house educational and workforce development services to create the only transitional housing program in Connecticut offering such comprehensive and extensive programming. This innovative approach, aimed at breaking the cycle of generational poverty, is set to bring about sustainable change for homeless families and their children in Fairfield County. The Malta House Bridge to Independence Program (MHBTI) is not just a workforce development program, it's a comprehensive education model.

Need for program: _____

It takes a holistic approach to address barriers that prevent single mothers and their babies from receiving quality healthcare, securing quality jobs, and reaching their full potential. The need is especially high among Black and Latino mothers who face greater barriers to healthcare and economic equity. The staff of Malta House takes a deeper look at what makes a person truly impoverished, recognizing that growing up with very few financial resources is not necessarily the same as being poor. True poverty is a lack of resources, and money is just one of those resources. A person can suddenly come into money and become poor again quickly if they haven't built the other resources.

Neighborhood area to be served: _____

Malta House serves pregnant and parenting homeless or at risk of being homeless and their children from all over CT. As one of the only transitional residential homes in CT, many providers across the state recommend their clients to Malta House to begin the necessary steps to independence. In addition to the MHBI program, Malta House prides itself on being a Residential Program that tailors the program to where every mom enters. We know that with homelessness comes trauma, and with trauma comes barriers that, without treatment and support, a mom may not be able to take the following steps toward independence. Every mom is met where she is and supported to be the best version of herself possible. 

Plan to implement the program: _____

Malta House has already begun taking the necessary steps to implement the new aspects of the Residential Program. In addition to the steps already taken, which include adopting the base educational pieces with our current moms, Malta House has begun to identify community partners and professionals who can enhance the academic components and the opportunities for our moms to network with business professionals in the community.

Timetable:Program start date: 07/01/2024

MM - DD - YYYY

Program completion date: 06/30/2025

MM - DD - YYYY

Post-project audit due date: 11/15/2025

MM - DD - YYYY

The program start date must not be more than two years prior to the program completion date.

Any program receiving \$25,000 or more in NAA funding is required to provide a post-project audit, prepared by a certified public accounting firm, to the municipality overseeing the program, no later than three months after the program completion date.

Part III — Financial Information**Program Budget:**

Complete in full. Expenditures must equal or exceed total funding.

Sources of Revenue:

NAA funds requested \$150,000.00

Other funding sources - itemized sources:

a) General Contributions \$1,046,437.00

b) Grants \$365,990.00

c) Fundraising Events \$495,000.00

d) Other - Program Revenue \$12,000.00

Total Funding: \$1,919,487.00

Proposed Program Expenditures:

Direct operating expenses - itemized description:

a) Residential Service Expenses \$35,000.00

b) Malta House Bridge to Independance \$15,000.00

c) _____

d) _____

Administrative expenses - itemized description:

a) Salary/Wages \$100,000.00

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$150,000.00

Part IV — Municipal Information

To be completed by the municipal agency overseeing implementation of the program

Name of municipal agency overseeing implementation of the program:	_____
	Norwalk Redevelopment Agency
Mailing address:	_____
	3 Belden Avenue, Norwalk, CT 06854
Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810
Fax number:	_____
Email address:	koleary@norwalkct.gov

Post-Project Audit Is a post-project audit required for this proposal? ☐ Yes ☐ No If Yes, date post-project audit due: _____ Date
--

Form **990**

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)
Do not enter social security numbers on this form as it may be made public.
Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2022
Open to Public Inspection
Department of the Treasury
Internal Revenue Service**A** For the 2022 calendar year, or tax year beginning **07/01/22**, and ending **06/30/23****B** Check if applicable:

- ☐ Address change
☐ Name change
☐ Initial return
☐ Final return/terminated
☐ Amended return
☐ Application pending

C Name of organization**MALTA HOUSE INC.**

Doing business as

Number and street (or P.O. box if mail is not delivered to street address)

139 WEST ROCKS ROAD

Room/suite

City or town, state or province, country, and ZIP or foreign postal code

NORWALK**CT 06851****D** Employer identification number**06-1604710****E** Telephone number**203-857-0088****G** Gross receipts \$ **1,752,098****F** Name and address of principal officer:**DANIEL KRENICKI****139 WEST ROCKS ROAD****NORWALK****CT 06851****H(a)** Is this a group return for subordinates? ☐ Yes ☒ No**H(b)** Are all subordinates included? ☐ Yes ☐ No

If "No," attach a list. See instructions

I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) () (insert no.) ☐ 4947(a)(1) or ☐ 527**J** Website: **MALTAHOUSE.ORG****H(c)** Group exemption number**K** Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other**L** Year of formation: **2001****M** State of legal domicile: **CT****Part I Summary**

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: SEE SCHEDULE O		
	2 Check this box ☐ if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	3 Number of voting members of the governing body (Part VI, line 1a)	3	16
	4 Number of independent voting members of the governing body (Part VI, line 1b)	4	16
	5 Total number of individuals employed in calendar year 2022 (Part V, line 2a)	5	31
	6 Total number of volunteers (estimate if necessary)	6	109
	Revenue	7a Total unrelated business revenue from Part VIII, column (C), line 12	7a
b Net unrelated business taxable income from Form 990-T, Part I, line 11		7b	0
Expenses	8 Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
	9 Program service revenue (Part VIII, line 2g)	1,408,679	1,724,855
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	4,465	6,255
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	429	87
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	-141,609	-90,601
	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)	1,271,964	1,640,596
	14 Benefits paid to or for members (Part IX, column (A), line 4)		0
	15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)		0
	16a Professional fundraising fees (Part IX, column (A), line 11e)	809,540	1,053,804
	b Total fundraising expenses (Part IX, column (D), line 25)		0
Net Assets or Fund Balances	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	181,909	
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	811,799	1,124,719
	19 Revenue less expenses. Subtract line 18 from line 12	1,621,339	2,178,523
	20 Total assets (Part X, line 16)	-349,375	-537,927
	21 Total liabilities (Part X, line 26)	Beginning of Current Year	End of Year
	22 Net assets or fund balances. Subtract line 21 from line 20	6,386,416	6,552,491

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here

Signature of officer

DANIEL KRENICKI**TREASURER**

Date

Type or print name and title

Paid

Print/Type preparer's name

AMBER D. TUCKER

Preparer's signature

AMBER D. TUCKER

Date

11/13/23Check ☐ if

self-employed

PTIN

P01593305

Preparer Use Only

Firm's name

FIONDELLA, MILONE & LASARACINA, LLP

Firm's EIN

06-1648707

Firm's address

300 WINDING BROOK DR STE 1**GLASTONBURY, CT 06033**

Phone no.

860-657-3651

May the IRS discuss this return with the preparer shown above? See instructions

☐ Yes☐ No

For Paperwork Reduction Act Notice, see the separate instructions.

Form **990** (2022)

DAA

Norwalk Congregate Homes for the Elderly, Inc.
dba Broad River Homes



Municipality: NORWALK

Form NAA-01
2024 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

This form **must** be completed and submitted to your municipality for approval. All items **must** be completed with as much detail as possible. If additional space is needed, attach additional sheets. Please type or print clearly. See attached instructions before completing. **Do not submit this form directly to the Department of Revenue Services.**

Part I — General Information

Name of tax exempt organization/municipal agency: _____
Norwalk Congregate Homes for the Elderly, Inc. (dba Broad River Homes)

Address: 108 New Canaan Ave. Norwalk, CT 06850

Federal Employer Identification Number: 06-1019968

Program title: Modernization of HVAC Systems

Name of contact person: Gerry Stuhlman

Telephone number: (646) 592-0215

Email address: broadriver@ehmchm.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 50,000.00

Is your organization required to file federal Form 990 or 990EZ, Return of Organization Exempt from Income Tax?

☒ Yes ☐ No

If **Yes**, attach a copy of the **first page** of your most recent return.

If **No**, attach a copy of your determination letter from the U.S. Treasury Department, Internal Revenue Service.

Part II — Program Information

Check the appropriate description of your program:

100% credit percentage

- ☒ Energy conservation; **or**
☐ Comprehensive college access loan forgiveness (see Conn. Gen. Stat. § 12-635(3)).

60% credit percentage

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for persons with physical disabilities;
☐ Program serving low-income persons;
☐ Child care services;
☐ Establishment of a child day care facility;
☐ Open space acquisition fund; **or**
☐ Other (specify): _____

Description of program: _____

Broad River Homes is now celebrating our 40th year of providing homes and vibrant Community living for low-income Seniors & Disabled folks. Our site occupies a large building which had housed an elementary school since 1925. We lease 48 apartments with a 49th apartment occupied by our wonderful live-in Super. We serve 2 meals each day - every day. We have over 120 folks on our Waiting List. This project addresses the need to continue to modernize our HVAC systems. Our fuel is currently oil. A big part of this comprehensive project is to convert to natural gas.

Need for program: _____

Seeking greater efficiencies in the burning of fuels, together with the development and pursuit of renewable energies is one of the challenges of our time. On average we burn approximately 13,500 gallons of oil annually. We have a 4,000 gallon tank in the ground which we will be pulling/abandoning. We now have gas in our building. A gas line was run into our building as part of a major gas line expansion in this neighborhood. So we are very excited to be replacing our very inefficient boilers and related equipment with the latest highly efficient technologies.

Neighborhood area to be served: _____

We are in the Broad River neighborhood of Norwalk, but our tenants move here from many different towns.

Plan to implement the program: _____

We would anticipate receipt of NAA donations during December, 2024. This will be a multi-step process beginning with the substantial extension of our new gas line. The 2-3 week job of replacing the boilers and related pumps etc. will take place during the summer months when there is not a need for heat in the building.

Timetable:Program start date: 07/15/2024
MM - DD - YYYYProgram completion date: 08/30/2025
MM - DD - YYYYPost-project audit due date: 10/30/2025
MM - DD - YYYY**The program start date must not be more than two years prior to the program completion date.****Any program receiving \$25,000 or more in NAA funding is required to provide a post-project audit, prepared by a certified public accounting firm, to the municipality overseeing the program, no later than three months after the program completion date.****Part III — Financial Information****Program Budget:**

Complete in full. Expenditures must equal or exceed total funding.

Sources of Revenue:

NAA funds requested	<u>\$50,000.00</u>
Other funding sources - itemized sources:	
a) <u>Replacement Reserves in Place</u>	<u>\$206,900.00</u>
b) <u>In-Kind Personnel Services</u>	<u>\$1,100.00</u>
c) _____	_____
d) _____	_____

Total Funding:	<u>\$258,000.00</u>
-----------------------	---------------------

Proposed Program Expenditures:

Direct operating expenses - itemized description:	
a) <u>Anticipated contract with HVAC contractors</u>	<u>\$245,000.00</u>
b) <u>Anticipated contract for removal of 4,000 gal oil tank</u>	<u>\$12,000.00</u>
c) _____	_____
d) _____	_____
Administrative expenses - itemized description:	
a) <u>In-kind on-site Manager supervision of project</u>	<u>\$500.00</u>
b) <u>In-kind on-site Superintendent supervision of project</u>	<u>\$500.00</u>
c) _____	_____
d) _____	_____

Total Proposed Expenditures:	<u>\$258,000.00</u>
-------------------------------------	---------------------

Part IV — Municipal Information

To be completed by the municipal agency overseeing implementation of the program

Name of municipal agency overseeing implementation of the program:	_____
	Norwalk Redevelopment Agency
Mailing address:	3 Belden Avenue, Norwalk, CT 06850

Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810
Fax number:	_____
Email address:	koleary@norwalkct.gov

Post-Project Audit Is a post-project audit required for this proposal? ☐ Yes ☐ No If Yes, date post-project audit due: _____ Date
--

Department of the Treasury
Internal Revenue Service

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

Do not enter social security numbers on this form as it may be made public.
Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2022
Open to Public
Inspection
A For the 2022 calendar year, or tax year beginning **1/01/22**, and ending **10/31/23**

B Check if applicable: ☐ Address change ☐ Name change ☐ Initial return ☐ Final return/terminated ☐ Amended return ☐ Application pending	C Name of organization NORWALK CONGREGATE HOMES FOR THE ELDERLY, INC.		D Employer identification number 06-1019968
	Doing business as BROAD RIVER HOMES		E Telephone number 203-230-4809
	Number and street (or P.O. box if mail is not delivered to street address) C/OEHM 127 WASHINGTON AVE 5 FL EAST		
	City or town, state or province, country, and ZIP or foreign postal code NORTH HAVEN CT 06473-1715		G Gross receipts \$ 1,473,883
F Name and address of principal officer: CHRISTOPHER JARBOE 71 AIKEN STREET NORWALK CT 06851			H(a) Is this a group return for subordinates? ☐ Yes ☒ No H(b) Are all subordinates included? ☐ Yes ☐ No If "No," attach a list. See instructions
I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) () (insert no.) ☐ 4947(a)(1) or ☐ 527			
J Website: N/A			
K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other			L Year of formation: 1980
			M State of legal domicile: CT

Part I Summary

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: THE CORPORATION OWNS AND OPERATES A 49 UNIT HUD SUBSIDIZED LOW INOCME ELDERLY HOUSING PROJECT.		
	2 Check this box ☐ if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	3 Number of voting members of the governing body (Part VI, line 1a)	3	9
	4 Number of independent voting members of the governing body (Part VI, line 1b)	4	9
	5 Total number of individuals employed in calendar year 2022 (Part V, line 2a)	5	0
	6 Total number of volunteers (estimate if necessary)	6	9
	7a Total unrelated business revenue from Part VIII, column (C), line 12	7a	0
b Net unrelated business taxable income from Form 990-T, Part I, line 11	7b	0	
Revenue	8 Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
	9 Program service revenue (Part VIII, line 2g)	149,746	110,920
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	1,313,143	1,350,050
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	17,363	12,913
	12 Total revenue – add lines 8 through 11 (must equal Part VIII, column (A), line 12)	1,480,252	1,473,883
Expenses	13 Grants and similar amounts paid (Part IX, column (A), lines 1–3)		0
	14 Benefits paid to or for members (Part IX, column (A), line 4)		0
	15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)	360,150	317,898
	16a Professional fundraising fees (Part IX, column (A), line 11e)		0
	b Total fundraising expenses (Part IX, column (D), line 25)	0	
	17 Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	935,240	948,708
	18 Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25)	1,295,390	1,266,606
Net Assets or Fund Balances	19 Revenue less expenses. Subtract line 18 from line 12	184,862	207,277
	20 Total assets (Part X, line 16)	Beginning of Current Year	End of Year
	21 Total liabilities (Part X, line 26)	2,446,405	2,473,816
	22 Net assets or fund balances. Subtract line 21 from line 20	1,741,656	1,657,817
		704,749	815,999

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

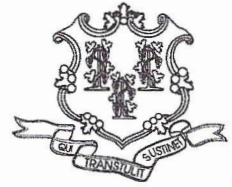
Sign Here	Signature of officer CHRISTOPHER JARBOE		Date PRESIDENT	
	Type or print name and title			
Paid Preparer Use Only	Print/Type preparer's name WILLIAM B. BEALE	Preparer's signature	Date 02/09/24	Check ☐ if self-employed PTIN P00437323
	Firm's name MADDOX & ASSOCIATES, APC		Firm's EIN 72-1314069	
	Firm's address 5627 BANKERS AVE BLDG 2 BATON ROUGE, LA 70808-2610		Phone no. 225-926-3360	

May the IRS discuss this return with the preparer shown above? See instructions ☒ Yes ☐ No

For Paperwork Reduction Act Notice, see the separate instructions.

Form 990 (2022)

Norwalk River Rowing Association



Municipality: Norwalk

Form NAA-01
2024 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

This form **must** be completed and submitted to your municipality for approval. All items **must** be completed with as much detail as possible. If additional space is needed, attach additional sheets. Please type or print clearly. See attached instructions before completing. **Do not submit this form directly to the Department of Revenue Services.**

Part I — General Information

Name of tax exempt organization/municipal agency: _____
Norwalk River Rowing Association

Address: 1 Moodys Lane
Norwalk, CT. 06851

Federal Employer Identification Number: 22-3273115

Program title: Norwalk River Rowing New Safety Launch for Youth Rowing program

Name of contact person: Norman Weinberger

Telephone number: (203) 866-0080

Email address: NRRAfundraising@gmail.com

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 125,000.00

Is your organization required to file federal Form 990 or 990EZ, Return of Organization Exempt from Income Tax?

☒ Yes ☐ No

If **Yes**, attach a copy of the **first page** of your most recent return.

If **No**, attach a copy of your determination letter from the U.S. Treasury Department, Internal Revenue Service.

Part II — Program Information

Check the appropriate description of your program:

100% credit percentage

- ☐ Energy conservation; **or**
☐ Comprehensive college access loan forgiveness (see Conn. Gen. Stat. § 12-635(3)).

60% credit percentage

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for persons with physical disabilities;
☒ Program serving low-income persons;
☐ Child care services;
☐ Establishment of a child day care facility;
☐ Open space acquisition fund; **or**
☐ Other (specify): _____

Description of program: _____
NRRA is a 501(c)3 non profit organization promoting a lifelong passion for the sport of rowing-regardless of age or income. We offer multiple programs that teach respect, discipline, team work and commitment. We are focused on the well-being and safety of our rowers. We support local outreach for youth rowers.

Need for program: _____
Our rowing program is a cornerstone of our community, providing invaluable opportunities for physical activity, teamwork, and personal growth. After the recent scare in Westport with the Saugatuck Rowing clubs boats capsizing and sinking, we strive to enhance safety standards at our own club, we recognize the urgent need for new launches to support our activities on the water. Safety is paramount in all aspects of our program, and having reliable, well-equipped launches is essential for ensuring the well-being of our participants. Our current fleet of launches is aging, with several experiencing mechanical issues that compromise their effectiveness in monitoring and supervising rowing activities.(continued)

Neighborhood area to be served: _____
Fairfield County and surrounding areas.

Plan to implement the program: _____
The rowing program is currently in place. We need financial assistance to purchase 5 new safety launches at \$25,000 each, to ensure the well-being of our rowers. The new safety launches will also allow us to expand and evolve our current program and accomodate a growing number of participants from diverse backgrounds.

Timetable:Program start date: 06/17/2024

MM - DD - YYYY

Program completion date: 06/17/2025

MM - DD - YYYY

Post-project audit due date: 09/17/2025

MM - DD - YYYY

The program start date must not be more than two years prior to the program completion date.

Any program receiving \$25,000 or more in NAA funding is required to provide a post-project audit, prepared by a certified public accounting firm, to the municipality overseeing the program, no later than three months after the program completion date.

Part III — Financial Information**Program Budget:**

Complete in full. Expenditures must equal or exceed total funding.

Sources of Revenue:NAA funds requested \$125,000.00

Other funding sources - itemized sources:

a) see attached

b) _____

c) _____

d) _____

Total Funding: \$765,000.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) see attached

b) _____

c) _____

d) _____

Administrative expenses - itemized description:

a) see attached

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$765,000.00

Part IV — Municipal Information

To be completed by the municipal agency overseeing implementation of the program

Name of municipal agency overseeing implementation of the program: _____

Norwalk Redevelopment Agency

Mailing address: 3 Belden Avenue, Norwalk, CT 06850

Name of municipal liaison: Katie O'Leary

Telephone number: 203-854-7810

Fax number: _____

Email address: koleary@norwalkct.gov

Post-Project Audit

Is a post-project audit required for this proposal?

☐ Yes

☐ No

If **Yes**, date post-project audit due:

Date

(Need for program continued)

By acquiring new launches, equipped with the latest safety features and technology, we can significantly mitigate risks associated with on-water activities. These launches will serve as vital support vessels, enabling our coaching staff to closely monitor rowers, provide immediate assistance in case of emergencies, and ensure compliance with safety protocols.

Moreover, the acquisition of new launches will facilitate the expansion of our program, allowing us to accommodate a growing number of participants from diverse backgrounds. This expansion aligns with our commitment to inclusivity and accessibility, ensuring that more individuals have the opportunity to experience the benefits of rowing in a safe and supportive environment.

In summary, this grant need for new launches is crucial for enhancing safety standards, supporting program growth, and fostering a positive and inclusive rowing community. With your support, we can continue to empower individuals through the transformative power of rowing while prioritizing their safety and well-being on the water.

Norwalk River Rowing Association
 Budget
 2024

Youth Program Fees (Net of Collection Costs)

Small Dollar Individual Donations and Grants
 Equipment and Other Fundraising
 Scholarships Fundraising

Rental of Boathouse Space

Total Revenue

Insurance

Coach/Staff Costs

Regatta Expenses

Mortgage Service

Condo Fees

Office Rent

Maintenance Costs
 Launches

Shells/Routine

Shells/Refurbishment

Shell Rentals

Regatta Central Fees

Utilities

Audit/Tax Prep

Other Expenses

Gas (Launches)

Winter Facility

Advertising

Other Expenses

Capital Expenditures

Settlement of 2022 Shell Purchase

Other Equipment Purchases

485,000

35,000
 60,000

60,000

640,000

-20,000

-315,000

-92,500

-50,000

-33,000

-5,000

-10,000
 -7,500

-15,000

-5,000

-6,000

-13,000

-10,000

-20,000

-4,000

-4,000

-5,000

-33,000

-15,000

-10,000

Launch Replacement
Total Capital Expenditures

-125,000

-150,000

Total Expenses

-765,000

Net Surplus/Deficit

-125,000

Form **990**

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

Do not enter social security numbers on this form as it may be made public.

Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2022

Open to Public Inspection

Department of the Treasury

For the 2022 calendar year, or tax year beginning 01-01-2022, and ending 12-31-2022

- B** Check if applicable:
- ☐ Address change
 - ☐ Name change
 - ☐ Initial return
 - ☐ Final return/terminated
 - ☐ Amended return
 - ☐ Application pending

C Name of organization
NORWALK RIVER ROWING ASSOCIATION

Doing business as

Number and street (or P.O. box if mail is not delivered to street address) Room/suite
ONE MOODYS LANE

City or town, state or province, country, and ZIP or foreign postal code
NORWALK, CT 06851

D Employer identification number

22-3273115

E Telephone number

(203) 866-0080

G Gross receipts \$ 764,708

F Name and address of principal officer:

NORMAN WEINBERGER

H(a) Is this a group return for subordinates?

☐ Yes ☒ No

H(b) Are all subordinates included?

☐ Yes ☐ No

If "No," attach a list. See instructions.

H(c) Group exemption number

I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) () (insert no.) ☐ 4947(a)(1) or ☐ 527

J Website: WWW.NORWALKROWING.COM

K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other

L Year of formation: 1986

M State of legal domicile: CT

Part I Summary

1 Briefly describe the organization's mission or most significant activities:

TO PROVIDE EDUCATIONAL AND TECHNICAL SUPPORT IN AMATEUR ROWING PROGRAMS FOR YOUTHS AND ADULTS IN THE LOCAL AND IMMEDIATELY SURROUNDING AREAS OF NORWALK, CONNECTICUT.

2 Check this box ☐

3 Number of voting members of the governing body (Part VI, line 1a)

3 9

4 Number of independent voting members of the governing body (Part VI, line 1b)

4 9

5 Total number of individuals employed in calendar year 2022 (Part V, line 2a)

5 25

6 Total number of volunteers (estimate if necessary)

6

7a Total unrelated business revenue from Part VIII, column (C), line 12

7a 0

b Net unrelated business taxable income from Form 990-T, Part I, line 11

7b

Activities & Governance

Revenue

Expenses

Net Assets or Fund Balances

8 Contributions and grants (Part VIII, line 1h)

Prior Year

Current Year

88,494

9 Program service revenue (Part VIII, line 2g)

673,589

10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)

0

11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)

2,625

12 Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)

764,708

13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)

0

14 Benefits paid to or for members (Part IX, column (A), line 4)

0

15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)

356,092

16a Professional fundraising fees (Part IX, column (A), line 11e)

0

b Total fundraising expenses (Part IX, column (D), line 25) 9,733

17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)

457,130

18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)

813,222

19 Revenue less expenses. Subtract line 18 from line 12

-48,514

20 Total assets (Part X, line 16)

Beginning of Current Year

End of Year

973,730

868,534

21 Total liabilities (Part X, line 26)

598,729

542,047

22 Net assets or fund balances. Subtract line 21 from line 20

375,001

326,487

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Signature of officer

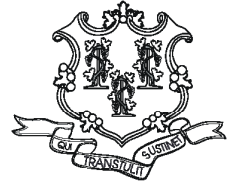
2023-05-12

Date

Sign Here

NORMAN WEINBERGER CHAIRMAN

STAR, Inc. -- Lighting the Way



Municipality: Norwalk, CT

Form NAA-01
2024 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

This form **must** be completed and submitted to your municipality for approval. All items **must** be completed with as much detail as possible. If additional space is needed, attach additional sheets. Please type or print clearly. See attached instructions before completing. **Do not submit this form directly to the Department of Revenue Services.**

Part I — General Information

Name of tax exempt organization/municipal agency: _____
STAR, Inc., Lighting the Way...

Address: 182 Wolfpit Avenue, Norwalk, CT 06851

Federal Employer Identification Number: 06-0726489

Program title: Boiler Replacement at STAR Headquarters serving people with disabilities

Name of contact person: Peter C. Saverine

Telephone number: (203) 846-9581

Email address: psaverine@starct.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 150,000.00

Is your organization required to file federal Form 990 or 990EZ, Return of Organization Exempt from Income Tax?

☒ Yes ☐ No

If **Yes**, attach a copy of the **first page** of your most recent return.

If **No**, attach a copy of your determination letter from the U.S. Treasury Department, Internal Revenue Service.

Part II — Program Information

Check the appropriate description of your program:

100% credit percentage

- ☒ Energy conservation; **or**
☐ Comprehensive college access loan forgiveness (see Conn. Gen. Stat. § 12-635(3)).

60% credit percentage

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for persons with physical disabilities;
☐ Program serving low-income persons;
☐ Child care services;
☐ Establishment of a child day care facility;
☐ Open space acquisition fund; **or**
☐ Other (specify): _____

Description of program: _____

Replace original (circa 1970's) oil/hot water boilers with two, high-efficiency gas-fired hot water heating boilers for greater efficiency and energy-savings to ensure the safety and comfort of over 300 participants with intellectual and developmental disabilities, staff, and visitors who utilize STAR headquarters daily.

Need for program: _____

The project would upgrade heating of the main areas in the center serving adult and senior day programs, nurses station, handicapped accessible bathrooms and changing rooms, and offices. The current system with only a 65% thermal efficiency will be replaced with units that have a 95% thermal efficiency, lowering the cost per therm from \$4.20 to \$3.00 and reducing annual operating costs 34% from \$25,782 to \$8,798. Annual fuel cost savings projected at \$16,984. The two units work in tandem to communicate on heating demand to ultimately reduce boiler cycling and wear and tear, for added savings along with their warranties. Result would be uninterrupted comfort, health, and safety of occupants and continuity of day programs.

Neighborhood area to be served: _____

STAR is headquartered at 182 Wolfpit Avenue, Norwalk, CT and serves people of all ages who have intellectual and developmental disabilities (Down syndrome, autism, cerebral palsy, etc.) and their families in greater Norwalk since 1952. STAR has six group homes in Norwalk, multiple apartment/condo units, and other residential properties in neighboring towns. STAR Headquarters is home to adult and senior day service options for over 300 individuals along with accompanying staff, administration, and visitors. All clients served qualify as low-income and are funded by Medicaid and CT Dept. of Developmental Services (DDS). STAR was founded by local parents in Norwalk and surrounding towns to serve our neighbors with IDD. The building was

Plan to implement the program: _____

STAR Director of Operations and Executive Director work with architects and professional heating experts to formulate a customized plan to improve the cost, efficiency, and reliability of the heating system. Original estimates anticipate that all work done under this project would adhere to local permit and building standards. In any instance requiring permits, (i.e. electrical, plumbing, etc.) STAR will engage a certified professional who will comply with town building regulations and ordinances. In conjunction with STAR's maintenance team, STAR will select an appropriate subcontractor to order and install the appropriate system. Project will commence upon approval and subject to availability of supplies and external weather factors that may come in

Timetable:Program start date: 07/12/2024
MM - DD - YYYYProgram completion date: 06/30/2025
MM - DD - YYYYPost-project audit due date: 09/30/2025
MM - DD - YYYY

The program start date must not be more than two years prior to the program completion date.

Any program receiving \$25,000 or more in NAA funding is required to provide a post-project audit, prepared by a certified public accounting firm, to the municipality overseeing the program, no later than three months after the program completion date.

Part III — Financial Information**Program Budget:**

Complete in full. Expenditures must equal or exceed total funding.

Sources of Revenue:NAA funds requested \$150,000.00

Other funding sources - itemized sources:

a) STAR Operating Account \$11,127.00b) STAR Fundraising General \$10,000.00

c) _____

d) _____

Total Funding: \$171,127.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Boiler system disconnect, install, misc. per estimate from \$171,127.00b) Reputable contractor _____

c) _____

d) _____

Administrative expenses - itemized description:

a) n/a _____

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$171,127.00

Part IV — Municipal Information

To be completed by the municipal agency overseeing implementation of the program

Name of municipal agency overseeing implementation of the program:	_____
	Norwalk Redevelopment Agency
Mailing address:	3 Belden Avenue, Norwalk, CT 06854

Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810
Fax number:	_____
Email address:	koleary@norwalkct.gov

Post-Project Audit Is a post-project audit required for this proposal? ☐ Yes ☐ No If Yes, date post-project audit due: _____ Date
--

EXTENDED TO MAY 15, 2023

Form **990**Department of the Treasury
Internal Revenue Service**Return of Organization Exempt From Income Tax**

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

▶ Do not enter social security numbers on this form as it may be made public.

▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2021Open to Public
Inspection**A** For the 2021 calendar year, or tax year beginning **JUL 1, 2021** and ending **JUN 30, 2022****B** Check if applicable:

- ☐ Address change
☐ Name change
☐ Initial return
☐ Final return/terminated
☐ Amended return
☐ Application pending

C Name of organization**STAR, INC. - LIGHTING THE WAY**

Doing business as

Number and street (or P.O. box if mail is not delivered to street address)

182 WOLFPIET AVENUE

Room/suite

City or town, state or province, country, and ZIP or foreign postal code

NORWALK, CT 06851**F** Name and address of principal officer: **KATIE BANZHAF****SAME AS C ABOVE****D** Employer identification number**06-0726489****E** Telephone number**203-846-9581****G** Gross receipts \$ **13,625,148.****H(a)** Is this a group returnfor subordinates? ☐ Yes ☒ No**H(b)** Are all subordinates included? ☐ Yes ☐ No

If "No," attach a list. See instructions

H(c) Group exemption number ▶**I** Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) () ◀ (insert no.) ☐ 4947(a)(1) or ☐ 527**J** Website: ▶ **WWW.STARINCCT.ORG****K** Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶**L** Year of formation: **1954** **M** State of legal domicile: **CT****Part I Summary**

Activities & Governance	1 Briefly describe the organization's mission or most significant activities:	TO PROVIDE LIVING ARRANGEMENTS AND DAY PROGRAM SERVICES FOR	
	2 Check this box ☐ if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	3 Number of voting members of the governing body (Part VI, line 1a)	3	19
	4 Number of independent voting members of the governing body (Part VI, line 1b)	4	19
	5 Total number of individuals employed in calendar year 2021 (Part V, line 2a)	5	255
	6 Total number of volunteers (estimate if necessary)	6	610
	7a Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
b Net unrelated business taxable income from Form 990-T, Part I, line 11	7b	0.	
Revenue	8 Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
	9 Program service revenue (Part VIII, line 2g)	3,889,673.	489,444.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	12,582,393.	12,560,584.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	16,458.	8,279.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	206,160.	429,694.
Expenses	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)	16,694,684.	13,488,001.
	14 Benefits paid to or for members (Part IX, column (A), line 4)	0.	0.
	15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	0.	0.
	16a Professional fundraising fees (Part IX, column (A), line 11e)	11,110,969.	10,345,989.
	b Total fundraising expenses (Part IX, column (D), line 25) ▶ 265,332.	0.	0.
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	3,628,916.	3,575,802.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	14,739,885.	13,921,791.
19 Revenue less expenses. Subtract line 18 from line 12	1,954,799.	-433,790.	
Net Assets or Fund Balances	20 Total assets (Part X, line 16)	Beginning of Current Year	End of Year
	21 Total liabilities (Part X, line 26)	10,163,744.	9,456,785.
	22 Net assets or fund balances. Subtract line 21 from line 20	2,769,554.	2,496,385.
		7,394,190.	6,960,400.

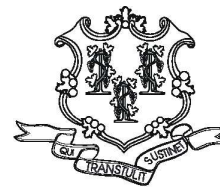
Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here	Signature of officer	Date			
	KATIE BANZHAF, EXECUTIVE DIRECTOR Type or print name and title				
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check if self-employed ☐	PTIN
	PAUL BALLASY	PAUL BALLASY	05/15/23		P00852868
	Firm's name ▶ COHNREZNICK LLP	Firm's EIN ▶ 22-1478099			
	Firm's address ▶ 350 CHURCH STREET, 12TH FLOOR HARTFORD, CT 06103	Phone no. 959-200-7000			

May the IRS discuss this return with the preparer shown above? See instructions ☒ Yes ☐ No

The Maritime Aquarium



Municipality: Norwalk

Form NAA-01
2024 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

This form **must** be completed and submitted to your municipality for approval. All items **must** be completed with as much detail as possible. If additional space is needed, attach additional sheets. Please type or print clearly. See attached instructions before completing. **Do not submit this form directly to the Department of Revenue Services.**

Part I — General Information

Name of tax exempt organization/municipal agency: _____
The Maritime Aquarium at Norwalk, INC.

Address: 10 N Water Street Norwalk, CT

Federal Employer Identification Number: 06-1062912

Program title: Solar Panels

Name of contact person: Danielle Tranzillo

Telephone number: (203) 852-0700

Email address: dtranzillo@maritimeaquarium.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 150,000.00

Is your organization required to file federal Form 990 or 990EZ, Return of Organization Exempt from Income Tax?

☒ Yes ☐ No

If **Yes**, attach a copy of the **first page** of your most recent return.

If **No**, attach a copy of your determination letter from the U.S. Treasury Department, Internal Revenue Service.

Part II — Program Information

Check the appropriate description of your program:

100% credit percentage

- ☒ Energy conservation; **or**
☐ Comprehensive college access loan forgiveness (see Conn. Gen. Stat. § 12-635(3)).

60% credit percentage

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for persons with physical disabilities;
☐ Program serving low-income persons;
☐ Child care services;
☐ Establishment of a child day care facility;
☐ Open space acquisition fund; **or**
☐ Other (specify): _____

Description of program: _____

The Maritime Aquarium is applying to the State of Connecticut Neighborhood Assistance Tax Credit program under the Energy Conservation category to install rooftop solar power on the Aquarium's buildings. Given the high amount of energy consumed by the Aquarium annually (roughly 3,900,000 KWh), additional solar panels will continue to provide energy offsets for our electrical consumption and reduce our grid reliance.

Need for program: _____

In order to provide world class care the nearly 7,500 animals that call our aquarium home, The Maritime Aquarium at Norwalk relies on our life support systems to operate 24/7/365. Many of our tanks display species native to Long Island Sound, which calls for chilling of the water temperatures of these habitats. This along with general life support filtration systems on all of our habitats this results in a substantial amount of energy consumption. The addition of solar panels to our operations will help impact our pull on the grid and offset some of the energy costs and usage we have throughout the year.

Neighborhood area to be served: _____

The project serves The Maritime Aquarium Building at 10 N Water Street Norwalk, CT 06854

Plan to implement the program: _____

The Aquarium has engaged with one solar firm to discuss preliminary opportunities and locations for additional solar on our building's roof. The process is ongoing as we determine the space available and impact analysis for the project. The intended scope for the future selected contractor will be to install the most solar for the funds available through NAA in calendar year 2025.

Timetable:Program start date: 01/01/2025

MM - DD - YYYY

Program completion date: 12/31/2025

MM - DD - YYYY

Post-project audit due date: 03/31/2026

MM - DD - YYYY

The program start date must not be more than two years prior to the program completion date.

Any program receiving \$25,000 or more in NAA funding is required to provide a post-project audit, prepared by a certified public accounting firm, to the municipality overseeing the program, no later than three months after the program completion date.

Part III — Financial Information**Program Budget:**

Complete in full. Expenditures must equal or exceed total funding.

Sources of Revenue:NAA funds requested \$150,000.00

Other funding sources - itemized sources:

a) _____

b) _____

c) _____

d) _____

Total Funding: _____**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Solar Power Design and Install \$145,000.00

b) _____

c) _____

d) _____

Administrative expenses - itemized description:

a) Audit \$5,000.00

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$150,000.00

Part IV — Municipal Information

To be completed by the municipal agency overseeing implementation of the program

Name of municipal agency overseeing implementation of the program:	_____
	Norwalk Redevelopment Agency
Mailing address:	_____
	3 Belden Avenue, Norwalk, CT 06850
Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810
Fax number:	_____
Email address:	koleary@norwalkct.gov

Post-Project Audit Is a post-project audit required for this proposal? ☒ Yes ☐ No If Yes, date post-project audit due: 3/31-/2026 _____ Date

THE MARITIME AQUARIUM AT NORWALK, INC.

STATEMENT OF FINANCIAL POSITION
AS OF JUNE 30, 2023
WITH SUMMARIZED FINANCIAL INFORMATION FOR 2022

ASSETS

	<u>2023</u>	<u>2022</u>
CURRENT ASSETS		
Cash and cash equivalents	\$ 5,121,354	\$ 6,754,219
Accounts receivable, net	148,576	195,331
Grants receivable	316,865	96,514
Facility use contribution receivable	98,013	98,013
Pledges receivable	62,000	32,000
Prepaid expenses and other current assets	<u>49,349</u>	<u>127,012</u>
Total current assets	<u>5,796,157</u>	<u>7,303,089</u>
FIXED ASSETS		
Furniture and equipment, net of accumulated depreciation and amortization of \$23,496,077	<u>8,441,366</u>	<u>9,200,119</u>
NONCURRENT ASSETS		
Investments	10,671,351	6,120,005
Pledges receivable, net	-	16,000
Facility use contribution receivable, net	<u>217,912</u>	<u>263,837</u>
Total noncurrent assets	<u>10,889,263</u>	<u>6,399,842</u>
TOTAL ASSETS	<u>\$ 25,126,786</u>	<u>\$ 22,903,050</u>

LIABILITIES AND NET ASSETS

CURRENT LIABILITIES		
Line of credit	\$ 150,000	\$ 150,000
Accounts payable	682,706	545,726
Accrued expenses and other liabilities	810,065	889,326
Deferred membership revenue	819,801	675,425
Refundable advance	<u>243,086</u>	<u>-</u>
Total current liabilities	<u>2,705,658</u>	<u>2,260,477</u>
NONCURRENT LIABILITIES		
Long-term debt	1,150,000	1,150,000
Long-term line of credit	-	150,000
Advance from The Maritime Aquarium Authority	-	212,418
Payable to escrow agent	<u>-</u>	<u>141,430</u>
Total noncurrent liabilities	<u>1,150,000</u>	<u>1,653,848</u>
Total liabilities	<u>3,855,658</u>	<u>3,914,325</u>
NET ASSETS		
Without donor restrictions	17,175,393	15,047,940
With donor restrictions	<u>4,095,735</u>	<u>3,940,785</u>
Total net assets	<u>21,271,128</u>	<u>18,988,725</u>
TOTAL LIABILITIES AND NET ASSETS	<u>\$ 25,126,786</u>	<u>\$ 22,903,050</u>

Form **990**

Department of the Treasury
Internal Revenue Service

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

▶ Do not enter social security numbers on this form as it may be made public.

▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2021

Open to Public
Inspection

A For the 2021 calendar year, or tax year beginning **JUL 1, 2021** and ending **JUN 30, 2022**

B Check if applicable:	C Name of organization THE MARITIME AQUARIUM AT NORWALK, INC. Doing business as Number and street (or P.O. box if mail is not delivered to street address) Room/suite 10 N WATER ST City or town, state or province, country, and ZIP or foreign postal code NORWALK, CT 06854 F Name and address of principal officer: JASON PATLIS SAME AS C ABOVE	D Employer identification number 06-1062912 E Telephone number 203-852-0700 G Gross receipts \$ 18,841,243. H(a) Is this a group return for subordinates? Yes ☒ No H(b) Are all subordinates included? Yes No If "No," attach a list. See instructions H(c) Group exemption number ▶
I Tax-exempt status: ☒ 501(c)(3) 501(c) () ◀ (insert no.) 4947(a)(1) or 527 J Website: ▶ WWW.MARITIMEAQUARIUM.ORG K Form of organization: ☒ Corporation Trust Association Other ▶ L Year of formation: 1985 M State of legal domicile: CT		

Part I Summary

1	Briefly describe the organization's mission or most significant activities: SEE PART III, LINE 1.		
2	Check this box ☐ if the organization discontinued its operations or disposed of more than 25% of its net assets.		
3	Number of voting members of the governing body (Part VI, line 1a)	3	24
4	Number of independent voting members of the governing body (Part VI, line 1b)	4	24
5	Total number of individuals employed in calendar year 2021 (Part V, line 2a)	5	154
6	Total number of volunteers (estimate if necessary)	6	278
7 a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
b	Net unrelated business taxable income from Form 990-T, Part I, line 11	7b	0.
8	Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
9	Program service revenue (Part VIII, line 2g)	4,566,786.	9,226,722.
10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	6,257,755.	8,257,577.
11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	53,036.	89,521.
12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	430,865.	666,292.
13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	11,308,442.	18,240,112.
14	Benefits paid to or for members (Part IX, column (A), line 4)	0.	0.
15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	0.	0.
16a	Professional fundraising fees (Part IX, column (A), line 11e)	4,582,137.	5,706,870.
b	Total fundraising expenses (Part IX, column (D), line 25) ▶ 566,334.	0.	0.
17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	5,189,790.	7,540,694.
18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	9,771,927.	13,247,564.
19	Revenue less expenses. Subtract line 18 from line 12	1,536,515.	4,992,548.
20	Total assets (Part X, line 16)	Beginning of Current Year	End of Year
21	Total liabilities (Part X, line 26)	19,089,489.	22,903,050.
22	Net assets or fund balances. Subtract line 21 from line 20	4,076,840.	3,914,325.
		15,012,649.	18,988,725.

Part II Signature Block

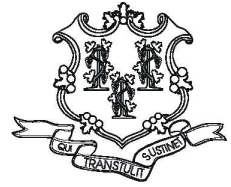
Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here	Signature of officer JASON PATLIS, PRESIDENT & CEO Type or print name and title	Date
Paid Preparer Use Only	Print/Type preparer's name RICHARD J. LOCASTRO, CPA Preparer's signature <i>Richard J. Locastro</i> Date 05/15/2023 Check if self-employed ☐ PTIN P00288314 Firm's name ▶ GELMAN, ROSENBERG & FREEDMAN Firm's EIN ▶ 52-1392008 Firm's address ▶ 4550 MONTGOMERY AVE SUITE 800N BETHESDA, MD 20814-2930 Phone no. 301-951-9090	

May the IRS discuss this return with the preparer shown above? See instructions ☒ Yes ☐ No

The Open Door Shelter

dba Open Doors



Municipality: Norwalk

Form NAA-01
2024 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

This form **must** be completed and submitted to your municipality for approval. All items **must** be completed with as much detail as possible. If additional space is needed, attach additional sheets. Please type or print clearly. See attached instructions before completing. **Do not submit this form directly to the Department of Revenue Services.**

Part I — General Information

Name of tax exempt organization/municipal agency: _____
The Open Door Shelter dba Open Doors

Address: 4 Merritt Street, Norwalk, CT 06854

Federal Employer Identification Number: 22-2536909

Program title: Berkeley Street Energy Conservation Initiative

Name of contact person: Michele Conderino

Telephone number: (203) 866-1057

Email address: mconderino@opendoorsct.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 150,000.00

Is your organization required to file federal Form 990 or 990EZ, Return of Organization Exempt from Income Tax?

☒ Yes ☐ No

If **Yes**, attach a copy of the **first page** of your most recent return.

If **No**, attach a copy of your determination letter from the U.S. Treasury Department, Internal Revenue Service.

Part II — Program Information

Check the appropriate description of your program:

100% credit percentage

- ☒ Energy conservation; **or**
☐ Comprehensive college access loan forgiveness (see Conn. Gen. Stat. § 12-635(3)).

60% credit percentage

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for persons with physical disabilities;
☐ Program serving low-income persons;
☐ Child care services;
☐ Establishment of a child day care facility;
☐ Open space acquisition fund; **or**
☐ Other (specify): _____

Description of program: _____

Open Doors, 24 Berkeley Street Development project intends to execute cost-effective energy conservation measures to reduce energy usage beyond normal building code requirements. It will serve as a model for achieving sustainable design and high-performance measures in an adaptive reuse project that can replicated in other projects. 24 Berkeley Street Development will feature a 3-story, 5 unit townhouse style building that will target larger family households with incomes up to 30% AMI.

Need for program: _____

With most electricity still be generated by fossil fuels, energy conservation building measures in development projects is important in the reduction of emissions of pollutants in our environment. Generating electrical and heat power through the use of fossil fuels creates an excess of greenhouse gases such as carbon dioxide and nitrous oxide.

Neighborhood area to be served: _____

24 Berkeley Street is located in the transit oriented Norwalk Center section of the city, approximately .5 mile from SoNo, an urban neighborhood with dwellings made up primarily of small to medium sized apartments complexes & high rises. Norwalk Center encompasses the historic downtown of the City of Norwalk & stretches along the upper harbor. The total population in Norwalk Center is 3,169 with a median house income of \$77,618. The average household size for those in this neighborhood is 9.2 people with up to 32% of total households consider family households.

Plan to implement the program: _____

The project architect and engineering team have developed a plan to include the following energy conservation measures: Energy Star R-5 or greater insulation at slab edge, R-10 frost wall, 18" OWT adiabatic frame flooring, Energy Star certified windows, Solid core wooden entry doors, metal insulated doors (garage), fiberglass bated roofing insulation, envelope sealant 5 ACH50, Energy efficient heating units (Navien), Energy efficient AC units (Goodman), Metal and flex duct systems, Tankless Navien water heaters, LED lighting, and Energy Star appliances (washer, refrigerator and dishwasher).

Timetable:Program start date: 10/01/2024

MM - DD - YYYY

Program completion date: 09/30/2026

MM - DD - YYYY

Post-project audit due date: 12/31/2026

MM - DD - YYYY

The program start date must not be more than two years prior to the program completion date.

Any program receiving \$25,000 or more in NAA funding is required to provide a post-project audit, prepared by a certified public accounting firm, to the municipality overseeing the program, no later than three months after the program completion date.

Part III — Financial Information**Program Budget:**

Complete in full. Expenditures must equal or exceed total funding.

Sources of Revenue:NAA funds requested \$150,000.00

Other funding sources - itemized sources:

a) _____

b) _____

c) _____

d) _____

Total Funding: \$150,000.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Energy Conservation and Design Measures \$150,000.00

b) _____

c) _____

d) _____

Administrative expenses - itemized description:

a) _____

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$150,000.00

Part IV — Municipal Information

To be completed by the municipal agency overseeing implementation of the program

Name of municipal agency overseeing implementation of the program:	_____
	Norwalk Redevelopment Agency
Mailing address:	_____
	3 Belden Avenue, Norwalk, CT 06850
Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810 ext. 46790
Fax number:	_____
Email address:	KOleary@norwalkct.gov

Post-Project Audit Is a post-project audit required for this proposal? ☒ Yes ☐ No If Yes, date post-project audit due: 12/31/2026 _____ Date

EXTENDED TO MAY 15, 2023

Form **990**Department of the Treasury
Internal Revenue Service**Return of Organization Exempt From Income Tax**

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

Do not enter social security numbers on this form as it may be made public.

Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2021Open to Public
Inspection

A For the 2021 calendar year, or tax year beginning JUL 1, 2021 and ending JUN 30, 2022

B Check if applicable: ☐ Address change ☐ Name change ☐ Initial return ☐ Final return/terminated ☐ Amended return ☐ Application pending	C Name of organization THE OPEN DOOR SHELTER, INC.		D Employer identification number 22-2536909
	Doing business as		E Telephone number (203) 866-1057
	Number and street (or P.O. box if mail is not delivered to street address)	Room/suite	G Gross receipts \$ 5,748,212.
	4 MERRITT STREET		H(a) Is this a group return for subordinates? ☐ Yes ☒ No
	City or town, state or province, country, and ZIP or foreign postal code NORWALK, CT 06854		H(b) Are all subordinates included? ☐ Yes ☐ No If "No," attach a list. See instructions
F Name and address of principal officer: MICHELE CONDERINO 4 MERRITT STREET, NORWALK, CT 06854			
I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) () (insert no.) ☐ 4947(a)(1) or ☐ 527			
J Website: WWW.OPENDOORSCT.ORG			
K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other			
L Year of formation: 1984 M State of legal domicile: CT			

Part I Summary

Activities & Governance	1	Briefly describe the organization's mission or most significant activities: TO PROVIDE COMPREHENSIVE SOCIAL SERVICES INCLUDING SHELTER, OUTREACH, FOOD, HOUSING, ACCESS TO		
	2	Check this box ☐ if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	3	Number of voting members of the governing body (Part VI, line 1a)	3	22
	4	Number of independent voting members of the governing body (Part VI, line 1b)	4	22
	5	Total number of individuals employed in calendar year 2021 (Part V, line 2a)	5	63
	6	Total number of volunteers (estimate if necessary)	6	950
	7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
7b	Net unrelated business taxable income from Form 990-T, Part I, line 11	7b	0.	
Revenue	8	Contributions and grants (Part VIII, line 1h)	Prior Year 4,223,478.	Current Year 4,229,495.
	9	Program service revenue (Part VIII, line 2g)	870,760.	914,658.
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	24,360.	16,037.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	30,339.	38,612.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	5,148,937.	5,198,802.
	13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	0.	0.
	14	Benefits paid to or for members (Part IX, column (A), line 4)	0.	0.
Expenses	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	2,385,467.	2,416,305.
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	86,495.	0.
	b	Total fundraising expenses (Part IX, column (D), line 25) 427,532.		
	17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	1,589,480.	1,821,771.
	18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	4,061,442.	4,238,076.
	19	Revenue less expenses. Subtract line 18 from line 12	1,087,495.	960,726.
	Net Assets or Fund Balances	20	Total assets (Part X, line 16)	Beginning of Current Year 15,936,713.
21		Total liabilities (Part X, line 26)	1,664,510.	1,884,608.
22		Net assets or fund balances. Subtract line 21 from line 20	14,272,203.	15,121,252.

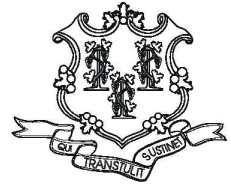
Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here	Signature of officer	Date
	MICHELE CONDERINO, EXECUTIVE DIRECTOR	2/17/2023
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature
	GARRETT M. HIGGINS	GARRETT M. HIGGINS
	Firm's name	Firm's EIN
	PKF O'CONNOR DAVIES ADVISORY, LLC	87-3231666
	Firm's address	Phone no.
	ONE CORPORATE DRIVE, SUITE 725 SHELTON, CT 06484-6241	203-929-3535

May the IRS discuss this return with the preparer shown above? See instructions ☒ Yes ☐ No

Under One Roof, Inc./The Marvin



Municipality: Norwalk, CT

Form NAA-01
2024 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

This form **must** be completed and submitted to your municipality for approval. All items **must** be completed with as much detail as possible. If additional space is needed, attach additional sheets. Please type or print clearly. See attached instructions before completing. **Do not submit this form directly to the Department of Revenue Services.**

Part I — General Information

Name of tax exempt organization/municipal agency: _____
Under One Roof, Inc./The Marvin

Address: 60 Gregory Blvd
Norwalk, CT. 06883

Federal Employer Identification Number: 06-1377860

Program title: WiseWatts: The Marvin's Residents Savings Initiative

Name of contact person: Katherine Fitzmaurice

Telephone number: (203) 854-4660

Email address: EDatTheMarvin@underoneroofinc.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 148,060.00

Is your organization required to file federal Form 990 or 990EZ, Return of Organization Exempt from Income Tax?

☒ Yes ☐ No

If **Yes**, attach a copy of the **first page** of your most recent return.

If **No**, attach a copy of your determination letter from the U.S. Treasury Department, Internal Revenue Service.

Part II — Program Information

Check the appropriate description of your program:

100% credit percentage

- ☒ Energy conservation; **or**
☐ Comprehensive college access loan forgiveness (see Conn. Gen. Stat. § 12-635(3)).

60% credit percentage

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for persons with physical disabilities;
☐ Program serving low-income persons;
☐ Child care services;
☐ Establishment of a child day care facility;
☐ Open space acquisition fund; **or**
☐ Other (specify): _____

Description of program: _____

Under One Roof, Inc., is committed to fostering a strong Norwalk community by providing low-income housing for older Norwalk residents and affordable early childhood education for local families at The Marvin in East Norwalk. Our programs are designed to enrich the lives of both generations, and ensure meaningful connection between them. Through "WiseWatts: The Marvin Residents' Savings Initiative," Under One Roof is seeking to replace all of the electric ovens and refrigerators in the resident's apartments and in the Children's Center's Teachers Lounge. The current appliances are over 25 years old and not energy efficient.

Need for program: _____

Under One Roof's The Marvin is home to 50 one-bedroom apartments for older low-income Norwalk residents and The Marvin Children's Center which serves 40 three and four year old children from across Norwalk. Since its opening in 1997, the apartment appliances and those located in the Children's Center kitchen have never been replaced. Not only are the appliances repeatedly in need of repair, their outdated energy and electrical usage is costly to the residents and to the organization.

Neighborhood area to be served: _____

Under One Roof's The Marvin is located in the heart of East Norwalk at 60 Gregory Boulevard. The Marvin is home to low-income Norwalk residents aged 62 and older. Our residents come to us from throughout the Norwalk area and a typical applicant spends approximately 18 months on the waitlist before an apartment is available. Sixty percent of The Marvin Children's Center families are low-income Norwalk residents.

Plan to implement the program: _____

Under One Roof's staff has researched and identified highly rated energy efficient electric ovens and refrigerators that meet our apartments' specifications. Under One Roof will work with a Norwalk-based business to order and install the appliances. Staff anticipates that the replacement program will happen in cycles over the course of 18 months.

Timetable:Program start date: 01/01/2025

MM - DD - YYYY

Program completion date: 07/01/2026

MM - DD - YYYY

Post-project audit due date: 10/01/2026

MM - DD - YYYY

The program start date must not be more than two years prior to the program completion date.

Any program receiving \$25,000 or more in NAA funding is required to provide a post-project audit, prepared by a certified public accounting firm, to the municipality overseeing the program, no later than three months after the program completion date.

Part III — Financial Information**Program Budget:**

Complete in full. Expenditures must equal or exceed total funding.

Sources of Revenue:NAA funds requested \$148,060.00

Other funding sources - itemized sources:

a) _____

b) _____

c) _____

d) _____

Total Funding: _____**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) 52 GE energy efficient electric ovens \$52,000.00b) 52 LG energy efficient refrigerators \$67,600.00c) Installation and labor \$15,000.00

d) _____

Administrative expenses - itemized description:

a) Administrative oversight, planning, installation management \$13,460.00

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$148,060.00

Part IV — Municipal Information

To be completed by the municipal agency overseeing implementation of the program

Name of municipal agency overseeing implementation of the program:	_____
	Norwalk Redevelopment Agency
Mailing address:	_____
	3 Belden Avenue, Norwalk, CT06850
Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810
Fax number:	_____
Email address:	koleary@norwalkct.gov

Post-Project Audit Is a post-project audit required for this proposal? ☐ Yes ☐ No If Yes, date post-project audit due: _____ Date
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Form 990 Department of the Treasury Internal Revenue Service	Return of Organization Exempt From Income Tax Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations) Do not enter social security numbers on this form as it may be made public. Go to www.irs.gov/Form990 for instructions and the latest information.	OMB No. 1545-0047 2022 Open to Public Inspection
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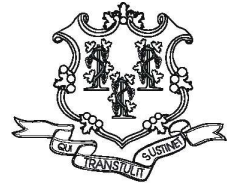
A For the 2022 calendar year, or tax year beginning and ending													
B Check if applicable: ☐ Address change ☐ Name change ☐ Initial return ☐ Final return/terminated ☐ Amended return ☐ Application pending	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2" style="height: 40px; vertical-align: top;"> C Name of organization UNDER ONE ROOF, INC. </td> <td style="width: 30%; height: 40px; vertical-align: top;"> D Employer identification number 06-1377860 </td> </tr> <tr> <td colspan="2" style="height: 20px; vertical-align: top;"> Doing business as </td> <td rowspan="4" style="vertical-align: top;"> E Telephone number (203) 854-4660 </td> </tr> <tr> <td style="width: 55%; height: 20px; vertical-align: top;"> Number and street (or P.O. box if mail is not delivered to street address) 60 GREGORY BOULEVARD </td> <td style="width: 10%; height: 20px; vertical-align: top;"> Room/suite </td> </tr> <tr> <td colspan="2" style="height: 20px; vertical-align: top;"> City or town, state or province, country, and ZIP or foreign postal code NORWALK, CT 06855 </td> </tr> <tr> <td colspan="2" style="height: 40px; vertical-align: top;"> F Name and address of principal officer: HAL SMITH SAME AS C ABOVE </td> </tr> </table>	C Name of organization UNDER ONE ROOF, INC.		D Employer identification number 06-1377860	Doing business as		E Telephone number (203) 854-4660	Number and street (or P.O. box if mail is not delivered to street address) 60 GREGORY BOULEVARD	Room/suite	City or town, state or province, country, and ZIP or foreign postal code NORWALK, CT 06855		F Name and address of principal officer: HAL SMITH SAME AS C ABOVE	
C Name of organization UNDER ONE ROOF, INC.		D Employer identification number 06-1377860											
Doing business as		E Telephone number (203) 854-4660											
Number and street (or P.O. box if mail is not delivered to street address) 60 GREGORY BOULEVARD	Room/suite												
City or town, state or province, country, and ZIP or foreign postal code NORWALK, CT 06855													
F Name and address of principal officer: HAL SMITH SAME AS C ABOVE													
I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c)() (insert no.) ☐ 4947(a)(1) or ☐ 527													
J Website: UNDERONEROOFINC.ORG													
K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other													
L Year of formation: 1993 M State of legal domicile: CT													

Part I Summary			
Activities & Governance	1	Briefly describe the organization's mission or most significant activities: <u>UNDER ONE ROOF, INC., A NOT-FOR-PROFIT ORGANIZATION, IS DEDICATED TO SPONSORING, DEVELOPING</u>	
	2	Check this box ☐ if the organization discontinued its operations or disposed of more than 25% of its net assets.	
	3	Number of voting members of the governing body (Part VI, line 1a)	3 9
	4	Number of independent voting members of the governing body (Part VI, line 1b)	4 9
	5	Total number of individuals employed in calendar year 2022 (Part V, line 2a)	5 5
	6	Total number of volunteers (estimate if necessary)	6 10
	7a	Total unrelated business revenue from Part VII, column (C), line 12	7a 0.
	7b	Net unrelated business taxable income from Form 990-T, Part I, line 11	7b 0.
Revenue	8	Contributions and grants (Part VIII, line 1h)	Prior Year: 613,131. Current Year: 463,096.
	9	Program service revenue (Part VIII, line 2g)	257,339. 393,371.
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	72,866. 29,156.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	0. 0.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	943,336. 885,623.
	13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	0. 0.
	14	Benefits paid to or for members (Part IX, column (A), line 4)	0. 0.
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	401,794. 461,324.
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	0. 0.
	16b	Total fundraising expenses (Part IX, column (D), line 25)	0. 0.
Expenses	17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	265,750. 285,532.
	18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	667,544. 746,856.
	19	Revenue less expenses. Subtract line 18 from line 12	275,792. 138,767.
Net Assets or Fund Balances	20	Total assets (Part X, line 16)	Beginning of Current Year: 1,537,336. End of Year: 1,034,324.
	21	Total liabilities (Part X, line 26)	716,701. 220,384.
	22	Net assets or fund balances. Subtract line 21 from line 20	820,635. 813,940.

Part II Signature Block			
Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.			
Sign Here	Signature of officer: <u>Hal Smith</u> Signature of preparer: <u>MARY KAY CURTISS</u> Type or print name and title: <u>HAL SMITH, EXECUTIVE DIRECTOR</u>	Date: <u>5/3/2023</u>	
Paid Preparer Use Only	Print/Type preparer's name: <u>MARY KAY CURTISS</u> Preparer's signature: <u>MARY KAY CURTISS</u> Date: <u>05/01/23</u> Check if self-employed: ☐ PTIN: <u>P01551484</u> Firm's name: <u>CLIFTONLARSONALLEN</u> Firm's EIN: <u>41-0746749</u> Firm's address: <u>29 SOUTH MAIN STREET, 4TH FLOOR</u> <u>WEST HARTFORD, CT 06107</u> Phone no.: <u>(860) 561-4000</u>		

May the IRS discuss this return with the preparer shown above? See instructions ☒ Yes ☐ No

WAVENY LIFECARE NETWORK, INC.



Municipality: City of Norwalk

Form NAA-01
2024 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

This form **must** be completed and submitted to your municipality for approval. All items **must** be completed with as much detail as possible. If additional space is needed, attach additional sheets. Please type or print clearly. See attached instructions before completing. **Do not submit this form directly to the Department of Revenue Services.**

Part I — General Information

Name of tax exempt organization/municipal agency: _____
Waveny LifeCare Network, Inc.

Address: 3 Farm Road, New Canaan, CT 06840

Federal Employer Identification Number: 06-0859588

Program title: Waveny LifeCare Network Kathleen M. Fruin RN, Certified Nursing Aide School

Name of contact person: Kim Genzburg, Director of Advancement

Telephone number: (203) 594-5262

Email address: kgenzburg@waveny.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 93,053.00

Is your organization required to file federal Form 990 or 990EZ, Return of Organization Exempt from Income Tax?

☒ Yes ☐ No

If **Yes**, attach a copy of the **first page** of your most recent return.

If **No**, attach a copy of your determination letter from the U.S. Treasury Department, Internal Revenue Service.

Part II — Program Information

Check the appropriate description of your program:

100% credit percentage

- ☐ Energy conservation; **or**
☐ Comprehensive college access loan forgiveness (see Conn. Gen. Stat. § 12-635(3)).

60% credit percentage

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for persons with physical disabilities;
☒ Program serving low-income persons;
☐ Child care services;
☐ Establishment of a child day care facility;
☐ Open space acquisition fund; **or**
☒ Other (specify): Waveny LifeCare Network Kathleen M. Fruin RN, Certified Nursing Aide School

Description of program: _____

At Waveny LifeCare Network's Certified Nursing Aide School (CNA), students immediately begin earning a salary and are eligible for full benefits. Included in this program are all materials, scrubs, textbooks, and State of Connecticut CNA licensure exam fees. A position is guaranteed within Waveny LifeCare Network once the student has become certified. Flexible class schedules accommodate students' time and financial limitations, so they don't have to work multiple jobs, worry about daycare, or paying for school.

Need for program: _____

The CNA School was established in 2022 on our Connecticut campus in the wake of the COVID pandemic to counteract the nationwide nursing shortage and gainfully employ persons with low-income status and education, as well as economically challenged groups, suffering from food or housing insecurity, or both. It is designed to "assist by hiring" local Connecticut residents facing economic hardship, and low-income groups - as defined by the Connecticut Governor's Workforce Council's Diversity, Equity, and Inclusion Committee's framework.

Neighborhood area to be served: _____

30% Of our nursing students live in Norwalk and they must have a high school diploma, pass a background check, and drug screen.

Plan to implement the program: _____

First 5 weeks: New employee orientation and orientation to the Certified Nursing Aide program. Followed by the STRIVE program, a professional development course to prepare graduates for employment. We partner with Northeast Medical Institute for CNA theory and clinical education which includes 42.5 hours of theory via online self-paced course, 5 days of lab skills instruction, and 2 days of clinical instruction. At the end of the 5 classroom weeks, each student will receive their certificate of completion and will be registered for their CNA exam. Second 5 weeks: Clinical orientation, students will be paired with current Waveny CNAs for orientation. Each student will spend 2 weeks orienting in the Care Center (skilled nursing and rehabilitation) followed by 2

Timetable:Program start date: 07/01/2024

MM - DD - YYYY

Program completion date: 06/30/2025

MM - DD - YYYY

Post-project audit due date: 09/30/2025

MM - DD - YYYY

The program start date must not be more than two years prior to the program completion date.

Any program receiving \$25,000 or more in NAA funding is required to provide a post-project audit, prepared by a certified public accounting firm, to the municipality overseeing the program, no later than three months after the program completion date.

Part III — Financial Information**Program Budget:**

Complete in full. Expenditures must equal or exceed total funding.

Sources of Revenue:

NAA funds requested \$93,053.00

Other funding sources - itemized sources:

a) Career Resources, Inc. \$208,031.00

b) _____

c) _____

d) _____

Total Funding: \$208,031.00

Proposed Program Expenditures:

Direct operating expenses - itemized description:

a) salary/benefits-Nursing Director \$65,076.00

b) scrubs, textbooks, NMI & AFC tuition fees \$22,500.00

c) leased space allocation \$5,748.00

d) _____

Administrative expenses - itemized description:

a) _____

b) student salary@6/wks@280/hrs/student@61 students/avg \$102,480.00

c) skills theory training @ \$1,600 per 61 students in 2023 \$97,600.00

d) CNA licensure @ \$128 per 61 students in 2023 \$7,680.00

Total Proposed Expenditures: \$301,084.00

Part IV — Municipal Information

To be completed by the municipal agency overseeing implementation of the program

Name of municipal agency overseeing implementation of the program:	_____
	City of Norwalk
Mailing address:	_____
	3 Belden Avenue, Norwalk, CT 06850
Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810 x46790
Fax number:	_____
Email address:	KOleary@norwalkct.gov

Post-Project Audit Is a post-project audit required for this proposal? ☒ Yes ☐ No If Yes, date post-project audit due: _____ Date

Waveny LifeCare Network Kathleen M. Fruin, RN Certified Nursing Aide School

Created in 2022 by Waveny LifeCare Network, Inc., the Kathleen M. Fruin, RN Certified Nursing Aide School educates and trains students to engage in the workforce with the knowledge and skills culminating in a nurse aide certification. To date, enrolled 130 students and graduated 108 students. Upon acceptance into the school, students begin earning a salary, are eligible to receive benefits, tuition, and ancillary costs are fully covered by Waveny from Day 1 of training, including all program scrub attire and textbooks, State of Connecticut CNA licensure exam fees, and a guaranteed position within the Waveny LifeCare Network once they are certified. Flexible structure means class schedules accommodate students' time and financial limitations, so they don't have to work multiple jobs, worry about daycare availability, or how to pay for school.

The CNA School is designed to "assist by hiring" residents facing economic hardship, and low-income groups as defined by the Connecticut Governor's Workforce Council's Diversity, Equity, and Inclusion Committee's framework.

Its overall goal is to increase their access to healthcare, post-high school education, and employment opportunities, as well as reduce poverty levels by helping those experiencing limited income prospects or financial hardships to find greater sustainability during difficult economic times.

The primary goals of the CNA School are:

- To train participants to become Certified Nursing Assistants (CNAs), by obtaining a Connecticut Certified Nurse Aide certificate; to transition them immediately into Waveny LifeCare Network full-time positions to fill entry level positions (as CNAs) in the dynamic healthcare sector.
- To prepare for career pathway advancement and growth at Waveny that includes Licensed Practical Nurses or a Registered Nurses positions and remove barriers to entry. If desired, Waveny's CNA's are able to progress through the Network, continue their education, and plan to go on to hold key Manager and Director positions.

The training is focused on two critical areas. Five weeks of clinical and life-skills training in skilled nursing, assisted living and rehabilitation, as well as in-services from dietary, spiritual services, therapeutic recreation, nursing, home care, and volunteer departments. Then students are provided life skills training to improve test-taking ability, communication and computer skills, time management, and how to operate in a professional work environment through Career Resources Inc.'s STRIVE Soft Skills Training.

There is consistent programming with weekly centralized orientations within the same facility as coursework/skills lab for current training, and continuing education for LPN, and then RN school. Mentorship to include one-on-one pairing of tenured, active nurses with CNA candidates and individualized support from an RN with an MSN (MS in nursing degree) and 20+ years' experience.

Short Form

OMB No. 1545-0047

Form 990-EZ

Return of Organization Exempt From Income Tax

2021

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

▶ Do not enter social security numbers on this form, as it may be made public.

▶ Go to www.irs.gov/Form990EZ for instructions and the latest information.Open to Public
InspectionDepartment of the Treasury
Internal Revenue Service

A For the 2021 calendar year, or tax year beginning OCT 1, 2021 and ending SEP 30, 2022	
B Check if applicable: ☐ Address change ☐ Name change ☐ Initial return ☐ Final return/terminated ☐ Amended return ☐ Application pending	C Name of organization WAVENY LIFECARE NETWORK, INC. Number and street (or P.O. box if mail is not delivered to street address) Room/suite 3 FARM ROAD City or town, state or province, country, and ZIP or foreign postal code NEW CANAAN, CT 06840
G Accounting Method: ☐ Cash ☒ Accrual Other (specify) ▶ _____	D Employer identification number 06-1558520
I Website: ▶ WWW.WAVENY.ORG	E Telephone number (203) 594-5200
J Tax-exempt status (check only one) — ☒ 501(c)(3) ☐ 501(c) () (insert no.) ☐ 4947(a)(1) or ☐ 527	F Group Exemption Number ▶ _____
K Form of organization: ☐ Corporation ☒ Trust ☐ Association ☐ Other _____	H Check ☒ if the organization is not required to attach Schedule B (Form 990).
L Add lines 5b, 6c, and 7b to line 9 to determine gross receipts. If gross receipts are \$200,000 or more, or if total assets (Part II, column (B)) are \$500,000 or more, file Form 990 instead of Form 990-EZ ▶ \$ 0.	

Part I Revenue, Expenses, and Changes in Net Assets or Fund Balances (see the instructions for Part I)Check if the organization used Schedule O to respond to any question in this Part I ☐

Revenue	1	Contributions, gifts, grants, and similar amounts received	1	
	2	Program service revenue including government fees and contracts	2	
	3	Membership dues and assessments	3	
	4	Investment income	4	
	5a	Gross amount from sale of assets other than inventory	5a	
	5b	Less: cost or other basis and sales expenses	5b	
	5c	Gain or (loss) from sale of assets other than inventory (subtract line 5b from line 5a)	5c	
	6	Gaming and fundraising events:		
	a	Gross income from gaming (attach Schedule G if greater than \$15,000)	6a	
Expenses	b	Gross income from fundraising events (not including \$ _____ of contributions from fundraising events reported on line 1) (attach Schedule G if the sum of such gross income and contributions exceeds \$15,000)	6b	
	c	Less: direct expenses from gaming and fundraising events	6c	
	d	Net income or (loss) from gaming and fundraising events (add lines 6a and 6b and subtract line 6c)	6d	
	7a	Gross sales of inventory, less returns and allowances	7a	
	7b	Less: cost of goods sold	7b	
	c	Gross profit or (loss) from sales of inventory (subtract line 7b from line 7a)	7c	
	8	Other revenue (describe in Schedule O)	8	
	9	Total revenue. Add lines 1, 2, 3, 4, 5c, 6d, 7c, and 8 ▶	9	
	Net Assets	10	Grants and similar amounts paid (list in Schedule O)	10
11		Benefits paid to or for members	11	
12		Salaries, other compensation, and employee benefits	12	
13		Professional fees and other payments to independent contractors	13	
14		Occupancy, rent, utilities, and maintenance	14	
15		Printing, publications, postage, and shipping	15	
16		Other expenses (describe in Schedule O)	16	
17		Total expenses. Add lines 10 through 16 ▶	17	
18		Excess or (deficit) for the year (subtract line 17 from line 9)	18	
Net Assets	19	Net assets or fund balances at beginning of year (from line 27, column (A)) (must agree with end-of-year figure reported on prior year's return)	19	
	20	Other changes in net assets or fund balances (explain in Schedule O)	20	0.
	21	Net assets or fund balances at end of year. Combine lines 18 through 20 ▶	21	

LHA For Paperwork Reduction Act Notice, see the separate instructions.

Form 990-EZ (2021)

THE ECONOMIC AND COMMUNITY DEVELOPMENT COMMITTEE OF THE COMMON COUNCIL

**125 East Avenue
P.O. Box 5125
Norwalk, CT 06856**

**TO: MEMBERS, ECONOMIC AND COMMUNITY DEVELOPMENT
COMMITTEE OF THE NORWALK COMMON COUNCIL**

FROM: NORWALK REDEVELOPMENT AGENCY STAFF

DATE: JUNE 6, 2023

RE: CDBG PY50 ANNUAL ACTION PLAN

PY50 ANNUAL ACTION PLAN (AAP) PUBLIC PARTICIPATION

No comments were received during the public hearing hosted by the Norwalk Redevelopment Agency on May 24, 2024. Due to the later release of HUD's funding allocations, any comments received during the 30 day comment period starting on May 25, 2024 and ending on June 24, 2024 will be documented and presented at the June 25, 2024 Common Council meeting. Documented comments will be shared with the Council members as they are received to allow for adequate time for consideration. A summary of public comment is noted in *AP-12-Participation* of the annual action plan draft.

PY50 FUNDS AVAILABLE AND FUNDING RECOMMENDATIONS

The City's CDBG amount available for funding is \$848,001. This number is comprised of \$844,001 of 2024-2025 entitlement funding and \$4,000 of anticipated program income. The allocation is \$5,999 less than anticipated funding listed in the NOFO and \$440 more than the prior year allocations. The proposed the funding allocations reflects the reduced allocation.

A total of 25 sub-recipient application were received during the yearly application window, in addition to two applications submitted by the Norwalk Redevelopment Agency for the use of administrative funding and City Neighborhoods projects. The 27 applications were presented to members of the Economic and Community Development Committee for consideration at the February, 28 2024 ECD Committee meeting.

Housing and Facility project funding made available to the public through the Notice of Funding Opportunity totaled \$222,280. Nine applications for Housing and Facility projects were received and requested \$382,458.25 within the applications. The six organizations recommended for funding totaled \$221,629 of requested funding. The difference between the amount made available for public application and the total project requests was \$160,178.25.

Service funding estimated and made available to the public through the Notice of Funding Opportunity totaled \$127,500. Actual funding available with the release of the funding allocation and subject to the 15% service cap was \$126,600.15. 16 service applications were received and requested \$588,454 within the applications. The five organizations recommended for funding totaled \$113,054 of requested funding. The difference between available service funding and requested service funding was \$461,853.85.

Below is a project summary of funding allocations recommended by the ECD Committee and

included in the Annual Action Plan draft. CDBG program planning and administration will continue to operate according to the 20% formula as prescribed by HUD. All public service activities are subject to HUD's 15% cap of the allocated funding. Public service activity recommendations received and presented below fall within the maximum allowable funding for the category.

Estimated PY50 (2024) Entitlement Funding: \$ 844,001 Program Income: \$4,000				
Project	Organization	Program/Project	Funding Request	Actual Funding
Public Services	Catholic Charities of CT	Immigration/Legal Services for Norwalk Residents	\$ 29,054.00	\$ 29,054.00
	East Norwalk Improvement Assoc.	Literacy and STEAM Programing	\$ 5,000.00	\$ 5,000.00
	Elder House	Adult day services for low-income elderly residents.	\$ 30,000.00	\$ 30,000.00
	Higher Education Literacy Professionals	College Edge Program: Youth preparation and training for college preparedness.	\$ 14,000.00	\$ 14,000.00
	Wheel it Forward	Medical Equipment Lending Program	\$ 35,000.00	\$ 35,000.00
	Subtotal		\$ 113,054.00	\$ 113,054.00
Public Facilities	Norwalk Senior Center	Norwalk Senior Center patio repair project	\$ 72,500.00	\$ 72,500.00
	Subtotal		\$ 72,500.00	\$ 72,500.00
Housing	HomeFront	Home Revitalization Program for Critical Repairs	\$ 20,000.00	\$ 20,000.00
	Abilis Inc.	Generator Installation at 168 East Rocks Road supportive housing property	\$ 16,229.00	\$ 16,229.00
	Keystone House	Replacement of Sewer Main at Genoa St. Property	\$ 12,900.00	\$ 12,900.00
	Norwalk Housing Authority	30 Chestnut Street siding and trim replacement	\$ 50,000.00	\$ 50,000.00
	Norwalk Housing Authority	20 West Ave ADA ramp installation	\$ 50,000.00	\$ 50,000.00
	Subtotal		\$ 149,129.00	\$ 149,129.00
City Neighborhoods (CN)	City of Norwalk	PY50 City Neighborhood: Funds reserved for City operated housing and facility projects. These funds are used as direct project costs for eligible activities and project delivery costs by Norwalk Redevelopment Agency staff to facilitate real projects.	\$ 333,420.00	\$ 343,717.80
NRDA Admin	Norwalk Redevelopment Agency	PY50 Admin: Administrative and planning funds for Norwalk Redevelopment Agency staff to be used for general program management and soft costs activities.	\$ 170,800.00	\$169,600.20
			Total	\$ 848,001.00

All drafts of the PY50 AAP are available online at <https://www.norwalkct.gov/1412/Community-Development-Block-Grant>.

REQUESTED ACTIONS:

Advance the PY50 Annual Action Plan (AAP) to the Common Council for its approval and to authorize the Mayor to execute any and all documents associated with the submission of the PY50 AAP to HUD and all documents consistent with the approved PY50 AAP.

Links

PY50 Annual Action Plan: <https://www.norwalkct.gov/DocumentCenter/View/33360/Norwalk-2024-AAP--5132024-Draft?bidId>



125 East Avenue
Norwalk, Connecticut 06851

Memorandum

May 31, 2024

To: Economic & Community Development Committee, Common Council

From: Steve Kleppin, Planning & Zoning Director

Re: Master Service Agreement, Traffic and Architectural/Planning Peer Review

The Zoning Regulations authorize the Planning & Zoning Commission to hire outside consultants to assist with complex applications. They are most often utilized for traffic and architectural design assistance. We also utilize them for environmental review and could use them for engineering if necessary. Article 8.3.2.B.12 of the Zoning Regulations states:

At its election, retain an architect, engineer, landscape architect, professional land use planner, and/or other consultant to review, comment and guide its deliberations; provided that If the Planning and Zoning Commission determines that such consultant(s) are necessary, the Planning and Zoning Director shall obtain estimates from such consultant(s) and collect from the Applicant on behalf of the City 150% of the estimate, to be held in escrow until all technical reviews required for its deliberations are completed, with any excess amount collected over the actual cost to be refunded to the Applicant. This payment shall be considered as an integral part of the Application. The failure by the Applicant to make this payment shall render the Application incomplete.

We have been utilizing outside peer review assistance since 2017. These consultants are a great aid to the City, providing a second set of eyes as well as additional expertise to review complex and/or controversial projects. Some recent examples are Norden Place, O&G and North 7.

Our current peer contracts have expired, so new RFQ's were sent out for Traffic assistance and for Architectural/Planning assistance.

Two firms responded and were interviewed for traffic peer review, with AKRF being selected to assist the City. We chose not to move forward with the second firm. AKRF has been assisting us for the last three years and has been a great asset to the Commission. In addition, AKRF also provides on-call assistance to TMP.

In addition, AKRF will also be available at the discretion of the City to consult on additional TMP projects outside of the Commission applications, paid for out of TMP's Roadway design and construction budget.

Five firms responded to the solicitation for Architectural/Planning peer review assistance. Two firms, DeCarlo & Doll and BFJ Planning, were interviewed and chosen to assist with peer review. Both firms have been assisting the City in this capacity for some time.

It is important to note that both DeCarlo & Doll and BFJ have other in-house capabilities, namely traffic, so if there is ever a conflict with AKRF or they are unavailable to assist, we can call on the other firms for assistance.

In order to have the consultants available to assist the Commission, individual Master Service Agreements are required between the city and each firm, whereby the Firm will agree to be available as needed for a project. There will be a separate Letter of Agreement administered by my office to engage a particular firm for each separate project/application, which will also detail the scope of services for that project.

It is important to note that there is no cost to the city for peer review services related to applications. The applicant must comply with this requirement since this is codified in the regulations.

Common Council Actions:

- 1. Authorize the Mayor, Harry W. Rilling, to execute separate Master Services Agreements with AKRF for on-call professional consulting services to be performed on an as-needed basis related to peer traffic review. The Scope of Work will be performed pursuant to individual Letters of Agreement detailing the scope of the work for each Project. Services will be paid for by individual applicants with the Department.*
- 2. Authorize the Mayor, Harry W. Rilling, to execute separate Master Services Agreements with DeCarlo & Doll and BFJ Planning for on call professional consulting services to be performed on an as-needed basis related to peer architectural/planning review. The Scope of Work will be performed pursuant to individual Letters of Agreement detailing the scope of the work for each Project. Services will be paid for by individual applicants with the Department.*
- 3. Authorize the Director of Planning and Zoning to execute the Letters of Agreement for both traffic peer review services and architectural/planning peer review services for individual projects on an as-needed basis to authorize the work to be done.*

END



CITY OF NORWALK
Transportation Mobility & Parking
P: 203-854-7260
Norwalk City Hall
125 East Avenue, PO Box 5125
Norwalk, CT 06856-5125

TO: Economic and Community Development Committee of the Common Council

FROM: Garrett Bolella, P.E., PTOE, RSP1 – Assistant Director, TMP

CC: Sabrina Godeski, BS, MPL, AICP – Director of Business Development & Tourism
James Travers – Director of Transportation, Mobility and Parking

REF: June Agenda – Authorize the Mayor, Harry W. Rilling to execute an amendment to increase the Fuss and O'Neill contract by \$798,000 for Additional Transportation Engineering and Related Design Services for Wall Street Corridor Improvements – Purchasing Project No. 4149 (Fourth Amendment)

DATE: June 3rd, 2024

Memorandum

Fuss and O'Neill was the design consultant selected at the beginning of the Wall Street Corridor Improvement Project. Since the initial plan for betterments in the corridor, TMP, along with the consultant, has held numerous public engagement meetings, as well as gathered necessary data.

The overall project design and scope has grown in size, scale, complexity, and coordination. Since February 2022, the project has expanded to an estimated construction cost of \$27 Million dollars, encompassing several phases, many of which the City has been awarded various State and Federal funds to complete. A total of 18.4MM in State and Federal Funding has been secured to date. The City continues to pursue additional grants to ensure the remaining phases will have money set aside for construction. This requires advancing Shovel Ready Construction Plans.

The proposed contract amendment is necessary; specifically, to meet Federal deadlines related to the obligations of 5.5MM Community Project Funding or risk returning federally

appropriated funds. As all of the 5.5MM Federal funding will now be allocated to Phase II of this project after the completion of Phase I (the East Wall Street Landmark Square Safety Improvements), these specific Corridor improvements must be advanced now.

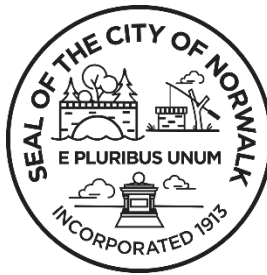
The proposed contract is also necessary to advance State Funding (LOT/CIP and Urban Action Grant) from preliminary to semi-final design (Phase III). Amending Fuss & O'Neill's contract to design multiple phases (both Federally and State Funded) of the project simultaneously will ensure consistency of design, the creation of one holistic plan which covers the larger neighborhood, and best position the City to address the needs of grantors in a timely manner.

- a. Authorize the Mayor, Harry W. Rilling to execute an amendment to increase the Fuss and O'Neill contract by \$798,000 for Additional Transportation Engineering and Related Design Services for Wall Street Corridor Improvements

Account No. 133710 5796 AEC01
0924 3750 5777 C0800
0924 3750 5777 C0800
0925 3750 5777 C0800

A copy of the RFQ information for Purchasing Department Project Number No. 4149 – Design Services for the Wall Street Corridor Improvements, can be reviewed by following the link

<https://norwalkct.bonfirehub.com/opportunities/49217>



DEPT OF FINANCE - Purchasing Department

NONCOMPETITIVE PROCUREMENT JUSTIFICATION FORM

DATE: 5/30/24

DEPARTMENT: TMP

Procurement by non-competitive proposals may be used only when the award of a contract is infeasible under informal competitive Quotations (§3-204), Informal Competitive Request for Proposals (§3-205), seal bids, or competitive proposals and at least one of the following circumstances applies:

Check One:

☐	1	The item is available only from a single source (justification is attached). The provisions of this regulation apply to all sole source procurements unless emergency conditions exist as defined by Purchasing Guideline on Emergency Procurements
☐	2	After solicitation of several sources, competition is determined inadequate (record of source contacts and/or attempts to obtain pricing is attached)
	3	The compatibility of equipment, accessories, or replacement parts is of paramount consideration
☐	4	The item/service is available on a Cooperative Purchasing Agreement (please provide the organization name, quote, and the contract/agreement number)
☐	5	The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation (documented emergency contingency is attached). Please forward this form and supporting documentation within 48 hours of the Emergency
☒	6	Other, please explain: Contract amendment to advance the design of corridor improvements with previously awarded design consultant.

TOTAL COST: \$798,000.

MUNIS Account: _____

133710 5796 AEC01; 0924 3750 5777 C0800; 0925 3750 5777 C0800

VENDOR: Fuss & O'Neill

Purchasing Agent Signature	The Purchasing Agent		Department Head Signature
	X ☐	Supports	<i>James Travers</i>
Purchasing Agent Name	☐	Does Not Support	Department Head Name
		Single Source Requires Common Council Authorization (in excess of \$20,000.00)?	James Travers
Date	☐		Date <u>05/30/2024</u>

JUSTIFICATION:

Fuss and O'Neill was the design consultant selected at the beginning of the Wall Street Corridor Improvement Project. Since the initial plan for betterments in the corridor, TMP, along with the consultant, held numerous public engagement meetings, as well as gathered necessary data.

The overall project design and scope has grown in size, complexity, and coordination. Since February 2022, the project has expanded to an estimated construction cost \$27 Million dollars, encompassing several phases, many of which the City has been awarded various State and Federal funds to complete, including

2.4MM LOTCIP Grant

7.0MM LOTCIP Grant

3.5MM State Appropriation - Urban Action Grant

5.5MM Federal Appropriation - Community Project Funding

18.4MM (Total State & Federal Funding Committed to Date)

*The City is actively seeking additional grants to ensure the remaining phases will have money set aside for construction. This requires advancing Shovel Ready Construction Plans.

The proposed contract amendment is necessary; specifically, to meet Federal deadlines related to the obligations of 5.5MM Community Project Funding or risk returning federally appropriated funds. As all Federal funding will now be allocated to Phase II of this project after the completion of Phase I (the East Wall Street Landmark Square Safety Improvements), these specific Corridor improvements must be advanced now.

The proposed contract is also necessary to advance State Funding (LOTICIP and Urban Action Grant) from preliminary to semi-final design (Phase III). Amending Fuss & O'Neill's contract to design multiple phases (both Federally and State Funded) of the project simultaneously will ensure consistency of design, the creation of one holistic plan which covers the larger neighborhood and best position the City to address the needs of grantor's in a timely manner.

ANY OTHER VENDORS CONTACTED FOR PRICING? (Please attach quotes): _____

Vendor 1: _____

Vendor 2: _____

\$95,153.51

—

PA-CFR 200.320.(b)(2) (iv) and 200.320.(c). Federal award process and obligated period along with the state award process is not aligning with the project stage process. Project went through the public solicitation process and this is an amendment to the original project.

May 30, 2024

Mr. James Travers
Director of Transportation, Mobility and Parking
City of Norwalk
125 East Avenue
Norwalk, CT 06851-5125

Re: Amendment for Transportation Engineering and Related Services
Design Services for the Wall Street Corridor Improvements
Norwalk, Connecticut
Fuss & O'Neill Reference No. 20210301.A10

Dear Mr. Travers:

At your request, we are pleased to provide this amendment in order to advance our design services scope associated with our agreement entitled "Design Services for the Wall Street Corridor Improvements" dated February 17, 2022. The table below depicts tasks Fuss & O'Neill seeks to amend due to the increase in the project size, modified design limits, and expanded scope.

Task	Wall St. Task Descriptions	Action
01	Preliminary Engineering & Survey	Amend and provide permit approvals in its' own task.
02	Traffic Operations and Safety Study	Complete
03	Stakeholder Meetings & Public Involvement	No changes - Active
04	Concept Design	Amend
05	Utility Notification Letter, Meetings & Coordination	Amend
06	Preliminary Design (30%)	Complete
07	Geotechnical Services	Amend
08	Semi-Final Design (70%)	TA #4: Develop new scope & fee due to project size, complexity, and design limits. Revise to 60% design, not 70% per CTDOT standards.
09	Final Design (100%)	Voided – Reallocated funds to Task 6 in Task Amendment No. 3. Subsequent Amendment necessary to determine level of effort and fee when applicable.

Mr. James Travers

May 30, 2024

Page 2

Task	Wall St. Task Descriptions	Action
10	Bidding Assistance & Design Services During Construction	Voided – Reallocated funds to Task 6 in Task Amendment No. 3. Subsequent Amendment necessary to determine level of effort and fee when applicable
11	Wall Street LOTCIP Application Assistance	Amend
Task	East Wall St. Task Descriptions	Action
100	Utility Notification, Meetings & Coordination	Complete
200	Final Plans For Review (90%)	Complete
300	Final Design (100%)	Complete
400	Construction Documents	Complete
500	Contingency	Complete

Per our discussion on May 5, 2023, the overall project has increased in size, complexity, and coordination. Since February 2022, the project has expanded to a construction cost of approximately \$28,900,000 encompassing several phases, many of which the city has been awarded various State and Federal funds to help build segments of the project while seeking additional grants to ensure the remaining phases will have money set aside to construct those areas in the future.

Between the Fall of 2023 and February 2024, Fuss & O'Neill completed the formal Preliminary Design (30%) submission for the scope and project limits described within Task Amendment No. 3. This amendment (TA #4) requests an additional amount of funds necessary to complete the next design phase (Semi-Final Design – 60%) for the project limits identified below and for the following scope of services described hereafter.

Furthermore, Fuss & O'Neill also seeks to request funds with the formal Preliminary Design (30%) advancement of River Street, Commerce Street, Main Street, the Main Street at Burnell Boulevard intersection due to the removal of the previously proposed roundabout, and East Wall Street east of LOTCIP project no. L102-0004.

See project limits and scope of services described on the following pages.

Mr. James Travers
May 30, 2024
Page 3

Project Limits

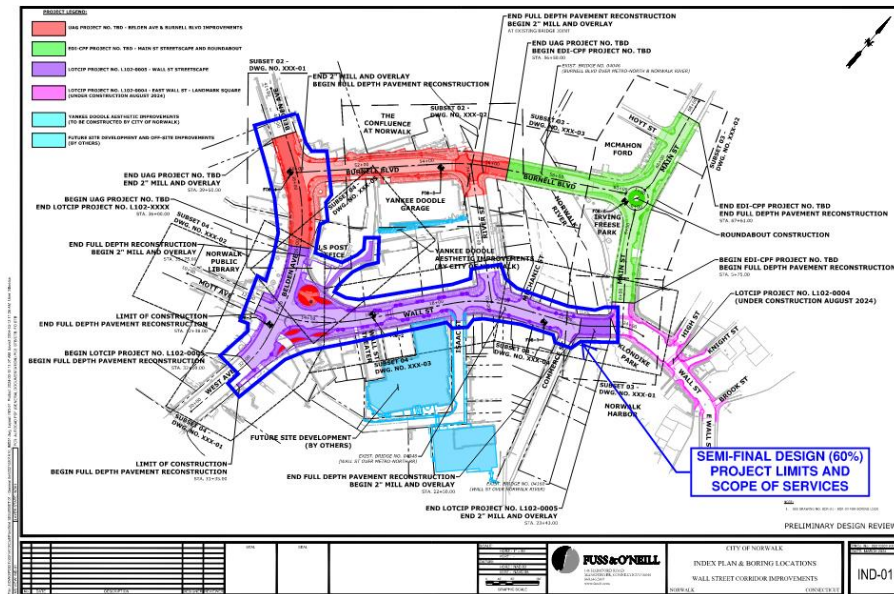


Figure 1 – Semi-Final Design (60%) Project Limits

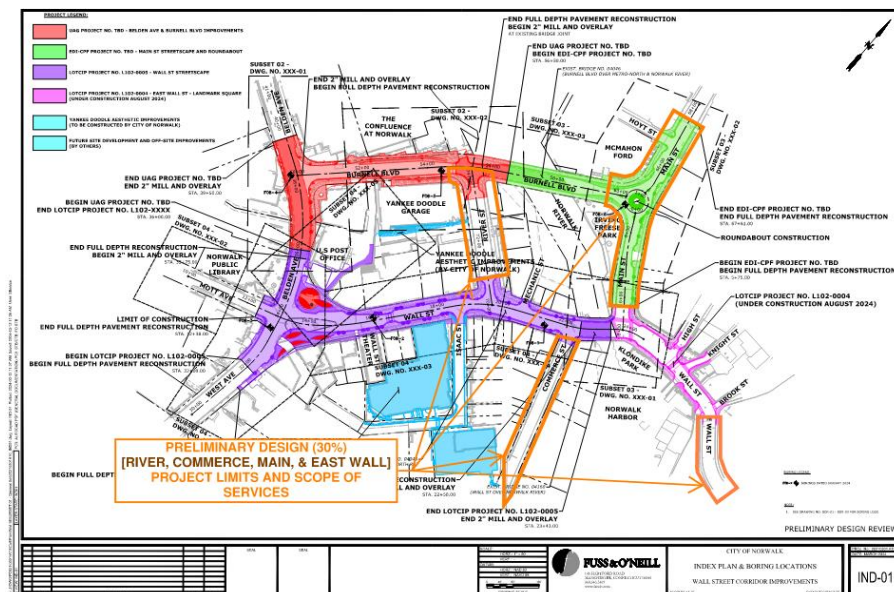


Figure 2 – Preliminary Design (30%)
[River Street, Commerce Street, Main Street, & East Wall Street]

Mr. James Travers
May 30, 2024
Page 4

Project Approach/Understanding

Semi Final Design (60%) – Part 1

Fuss & O'Neill will develop a Semi-Final Design (60%) package for the modified project limits shown in *Figure 1*. See *Attachment 1* for an updated project phasing / funding earmark graphic associated with the SFD advancement. Described below are design components, analyses, supplemental investigations, and additional data that will be conducted in order to produce a SFD package to CTDOT standards.

Preliminary Engineering & Survey

- 1) Expand the topographic survey surrounding the Norwalk River to capture elements necessary to suffice the various permits and/or approvals listed within Task 12 (Permitting) that will be required due to the various State and/or Federal Grants in subsequent design phases. Additionally, visible drainage infrastructure within the Norwalk River will be assessed and retrieved in order to properly perform hydrologic and hydraulic analyses described below.

Concept Design

- 2) F&O seeks to recover time producing 3D renderings and graphics that depict a raised intersection at the West / Mott / Belden / Wall intersection.

Utilities, Meetings & Coordination

- 3) Conduct various progress design meetings to review streetscape elements and gateway feature components, materials, configurations, etc. in order to develop and produce draft construction document details, plans, and bid cost estimate items.
- 4) Conduct a second utility field meeting following the SFD submission.
- 5) Conduct a SFD review meeting.

Geotechnical & Pavement Design Services

- 6) Analyze the pavement design on the Wall Street bridge in order to develop design details for HMA removal, replacement, structure preparation, identification of necessary items or materials, and specifications.
- 7) Coordinate a boring program that captures and analyzes soil conditions 20 to 30 feet deep for the arch foundations at various locations.

Mr. James Travers

May 30, 2024

Page 5

Semi-Final Design Plans, Details, Analyses, and Reports

The SFD package will include time to properly advance, further annotate, plot, and present the plans to depict various construction funding limits or earmarks based on the city's current list of State and/or Federal funding platforms, *Attachment 1*.

- 8) Fuss & O'Neill will advance the Preliminary Design (30%) drawings for the project limits shown within *Figure 1* as well as develop additional drawings necessary to advance the overall design to 60%. Additional plans will consist of:
 - a) Grading Plans
 - b) Streetscape, Hardscape, Landscape Plans
 - c) Gateway Details
 - i. F&O and WSA will work seamlessly to further advance and detail the gateway components within the main intersection plaza areas as well as the southeast corner of the Burnell at Belden Avenue intersection
 - d) Electrical Design Plans
 - e) Photometric Plans
 - f) Traffic Signal Plans
 - g) Maintenance and Protection of Traffic Plans
 - h) Cross Sections
- 9) Fuss & O'Neill will perform drainage analyses (hydrologic and hydraulic) and a photometric analysis. F&O will advance the overall Project Design Report in order to integrate additional findings and design investigations such as geotechnical arch foundation borings, structural results, foundation studies, and/or drainage analyses.

Wall Street LOTCIP Application Assistance

- 10) F&O will further analyze and review modifications to the streetscape and landscape elements within LOTCIP Project L102-0004 to generate revised plans and/or details for installation purposes, creating a consist approach and theme throughout all project phases.
- 11) Evaluate new or additional placemaking features in front of AJI 10 within LOTCIP Project L102-0004 in order to integrate similar elements to that of the plaza features proposed at the intersection of Mott / Wall / West / Belden.
- 12) F&O will advance the gateway foundation and arch designs in order to integrate necessary components into LOTCIP Project L102-0004 that should be installed during the construction of East Wall Street. These design considerations will consist of location determination, utility impacts, and proposed structural and electrical lighting features to be built as part of the ongoing construction of L102-0004.

Mr. James Travers

May 30, 2024

Page 6

SCOPE OF SERVICES

TASK 01 – Preliminary Engineering & Survey

Supplemental Survey

- Expand the topographic survey obtaining elements within the Norwalk River, see Figure 3 below. Figure 3 incorporates the river area between Burnell Boulevard bridge abutments and Wall Street bridge abutments. Figure 3 does not incorporate any time to capture elements within the Norwalk Harbor portion southeast of Wall Street. Should that be required for future design, work to perform survey within a future amendment.
 - F&O will capture the following features:
 - Norwalk River (Top & Bottom of Bank), if applicable
 - Tidal Wetlands Boundary
 - ✓ A wetland scientist will delineate the Tidal Wetland Boundary prior to a land survey. This effort will not include a report and functions and values assessment.
 - Coastal Jurisdiction Line (highest predicted tide)
 - ✓ Mapping will incorporate the high tide line to delineate the presence any wetland vegetation.
 - FEMA Regulatory Floodway Limits
 - FEMA Flood Plan Boundaries
 - Mean High Water & Mean Lower Water elevation boundary lines
 - Additional drainage infrastructure such as pipe outlet inverts, sizes, material, etc. within the Norwalk River will be assessed and retrieved in order to properly perform hydrologic and hydraulic analyses described below.

Mr. James Travers
May 30, 2024
Page 7

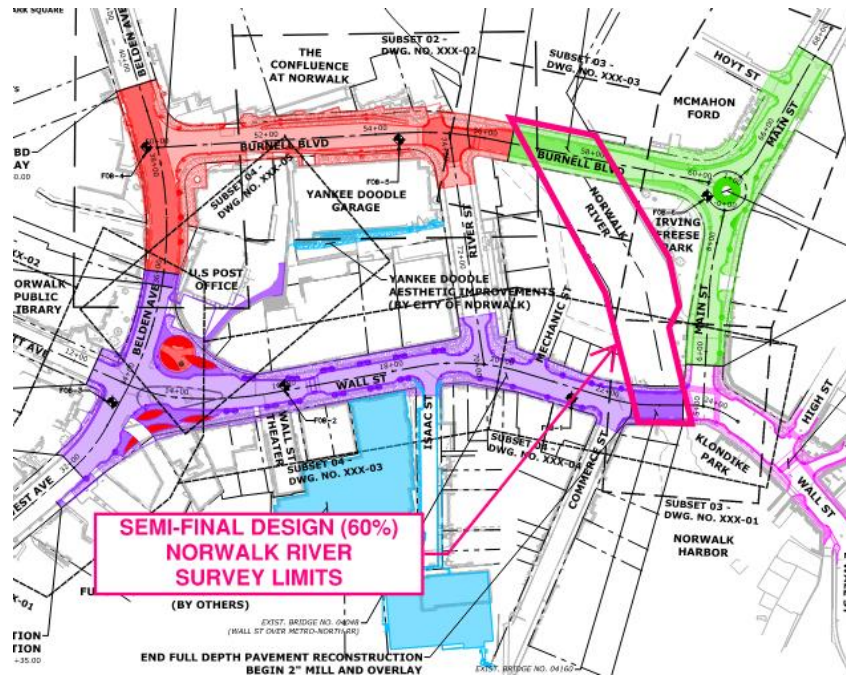


Figure 3 – Semi-Final Design (60%) Norwalk River Survey Limits

TASK 04 – Concept Design

West / Mott / Belden / Wall Intersection

- F&O developed 3D enlargement renderings depicting a raised intersection for graphical purposes prior to utilizing formal linework.

Arch Designs

- F&O will toggle various arch designs utilizing the existing 3D model developed during the Preliminary Design to generate and depict additional still images of these arch alternatives for the third and final public charrette. F&O will modify and show three different arch types within the existing model. Separate graphics, design plans, or visualizations are not anticipated to display these various options for the public.

Mr. James Travers

May 30, 2024

Page 8

TASK 05 – Utilities, Meetings & Coordination

Meetings

- Conduct 4 virtual and 1 in-person design progress meetings with TMP to ensure all streetscape elements, gateway features, arch designs, Yankee Doodle Garage connection, and green infrastructure areas are advancing in the right direction with the preferred materials, themes, and placemaking elements.
- Conduct a SFD review meeting.
- F&O will reconnect with all utility representatives who attended the first utility field meeting (subsequent to the PD submission) and who have facilities in the vicinity of the overall project area to inform them of the SFD advancements and updates drawings.
 - Fuss & O'Neill will coordinate with those utility companies whose facilities are affected by the proposed improvements.
 - Coordination will begin after the SFD submission.

Test Pits

- Proposed test pits will be located and identified on the SFD Utility Plans.
- Coordination, performance, and/or the attendance of any test pits are not within the SFD scope. F&O recommends this activity shall be initiated after the SFD submission. Thus, a separate agreement will be developed to include the labor, equipment, and/or materials to field locate any proposed test locations, monitor the operation(s), and collect subsurface data in order to implement any final design adjustments during the Final Plans For Review (90%) design phase.

TASK 07 – Geotechnical Design

Wall Street & East Wall Street

- F&O will perform 5 borings on Wall Street / East Wall Street to evaluate soil conditions at the proposed decorative roadway arches (5) and their associated anticipated foundations.
 - Site visit to mark the approximate boring locations.
 - Prepare a traffic management plan that will outline traffic control details for fieldwork (boring mark-outs if necessary, GPR procedures, and/or drilling day). We anticipate one police detail will be required and paid for by the City of Norwalk.
 - Plan and monitor a subsurface exploration program to be completed in two rig-days using a truck-mounted drill rig. Borings will be drilled to depths of 20 - 30 ft below ground surface.
 - Arrange to have the borings drilled by a qualified subsurface exploration contractor. The driller will contact Call Before You Dig (CBYD) prior to drilling.

Mr. James Travers

May 30, 2024

Page 9

- Engage a utility locating service to clear utilities using Ground Penetrating Radar (GPR) at exploration locations.
- Provide technical monitoring of test borings so that their depths and locations, as well as sampling methods, can be varied to meet the subsurface conditions encountered, and to log subsurface conditions.
- Perform geotechnical laboratory tests on soil samples recovered from the test borings as required to aid in soil classification and for determination of engineering properties required in design of the arch foundations. We plan to conduct 5 grain size analyses, one at each boring.
- Develop a new Geotechnical Report specifically for the anticipated roadway arches summarizing the subsurface explorations, laboratory testing, and geotechnical engineering evaluations which will include the below-listed items as applicable to the project and site.
 - Logs of explorations indicating soil conditions and water levels (where encountered).
 - Plan showing the approximate locations of completed explorations.
 - Summary of subsurface conditions as interpreted from the explorations, including thickness of existing bituminous concrete and base layers.
 - Results of geotechnical laboratory testing.

Wall Street Bridge

- F&O will evaluate as-built plans for the bridge, if available, to see what was originally installed pertaining to concrete and/or HMA layers, review bridge inspection reports to determine if any millings or overlays have been conducted since it was built and take field measurements of the existing curb reveal to also help verify existing conditions.
 - F&O will then develop design details for HMA removal, structure preparation of the deck by application of a new membrane waterproofing, and identification of other necessary repairs to be made to the bridge deck or sidewalk surfaces.

TASK 08 – Semi Final Design (60%) – Part 1

Respond to PD Comments

- F&O will develop a comprehensive Response to Comments (RTC) document addressing comments from various State agencies and City departments in regards to the Preliminary Design (30%) submission to progress the design into the Semi-Final Design (60%) phase. It is assumed that all PD comments will be provided prior to the initiation of SFD design.

Mr. James Travers

May 30, 2024

Page 10

Roadway: Semi-Final Horizontal and Vertical Design

- F&O will advance the proposed geometry, horizontal alignments, and vertical baselines for all roadway segments within the project limits.

Roadway: Advancement of PD Plans

Fuss & O'Neill will advance the Preliminary Design drawings to that of a 60% design submission. The PD plans that will be advanced are:

- Cover Sheet
- General Notes & Legend Plan
- Index Plan & Boring Locations
- Boring Log Sheets
- Existing Conditions Plans
- Miscellaneous Details
- Typical Cross Sections
- Roadway Plans
- Roadway Profiles
- Drainage and Erosion & Sedimentation Control Plans
- Utility Plans
- Signing and Pavement Marking Plans
 - F&O will coordinate signing requirements with the city and determine tentative locations of the proposed signing. All signing details and locations will be included in the project plans and documents during the SFD phase.

Roadway: New Plans*Intersection Grading Plans*

- Draft proposed contours will be generated to evaluate and address drainage concerns at roadway intersections

Cross Sections

- F&O will develop cross sections at critical areas along the corridor and/or at approximately 50 foot intervals. Known utilities will be shown at assumed elevations (unless field verified) in each section including but not limited to storm, sanitary sewer, gas, electric, telecommunications, and water facilities.

Mr. James Travers

May 30, 2024

Page 11

Traffic: Signal Design and MPT, Staging, and/or Detour Development

Traffic Signal Plans

- Removal of the Isaacs Street and Wall Street signal is anticipated.
 - It is assumed the adjacent developer will confirm the signal removal meets all requirements due to any added trips. If validated, F&O will coordinate with the Office of State Traffic Administration (OSTA) to ensure the approval was approved, see Task 12 (Permitting).
- Minor traffic signal modifications are assumed at the Belden Avenue and Burnell Boulevard intersection.
 - Our design will update the current traffic signal plan on record and incorporate any revised signal timings, phasing, pedestrian accommodations, vehicular detection equipment, coordination, signal head re-alignments / adjustments, and emergency pre-emption determinations.
 - Any electrical modifications will not be advanced or incorporated until the 90% design phase.
 - Submission to OSTA for the above-mentioned signal modification will not take place until after the Final Plans For Review (90%) design phase.
- Major traffic signal modifications or a full traffic signal replacement is required at the Mott / Belden / West / Wall intersection.
 - Our design will include a preliminary above-ground vehicular and pedestrian signal equipment layout, to be reviewed and approved by the City/CTDOT and used for the second utility meeting (subsequent to the SFD submission). The signal plan will be provided at a scale of 1 inch = 40 feet, unless otherwise noted, and will depict sidewalk ramps, proposed pavement markings, vehicle detection zones, phasing or timing information, construction notes, system information, and/or technical notes.
 - The SFD submission will not include electrical design components or any standard details, cross sections, load analyses, or specifications.
 - Submission to OSTA for the above-mentioned signal replacement will not take place until after the Final Plans For Review (90%) design phase.
- Submit SFD plans to the utility companies for review.

Maintenance and Protection of Traffic (MPT) and Detour Plans

- Construction phasing and associated lane usage and dimensions for various project phases will be developed during the Semi-Final Design phase. Plans will be in conformance with the Manual on Uniform Traffic Control Devices.
- Draft temporary traffic control plans / staging plans will be developed during the Semi-Final design phase.
 - It is anticipated 6 construction stages will be developed during the SFD phase in order to develop an initial set of construction sequencing. 120 hours have been allocated to this task to generate draft staging plans.

Mr. James Travers

May 30, 2024

Page 12

- Sign layout, pedestrian, business, and annotation detailing (dimensions, drums / cone spacing, etc.) will not be enhanced until the 90% phase.
- Draft detour plans will also be generated to accompany the MPT / Staging plans if necessary.
 - 40 hours have been allocated to this task to generate draft Detour plans, if necessary.
 - Sign layout, annotation detailing (dimensions, drums / cone spacing, etc.) will not be enhanced until the 90% phase.

The overall intent of the draft MPT, Staging, and Detour Plans is to initiate a discussion and facilitate a consensus on the anticipated phasing and constructability of the overall project as it relates to traffic, transit, and emergency vehicle impacts.

Drainage: Draft Stormwater Management Report & Design

- Perform necessary Stormwater discharge calculations required by the City of Norwalk (i.e. – a 25-year storm analysis), CTDOT and/or CTDEEP to prepare a Stormwater Management Report that will assess the storm drainage systems hydraulic capacity as well as the project areas hydrologic conditions, existing versus proposed.
 - **Hydraulic Analysis** – This analysis will be completed using Bentley System's StormCAD computer program. The results will be compiled utilizing the following analyses:
 - A drainage area delineation map
 - Gutter flow analysis
 - Inlet and conduit capacities
 - Hydraulic grade line (HGL) calculations
 - It is assumed that F&O will utilize the existing discharge locations into the Norwalk River such as invert and pipe sizes for the proposed improvements.
 - ✓ New pipe discharge locations or changes to the existing pipe sizes, if required, are not included within this agreement.
 - **Hydrologic Analysis** – Both existing and proposed conditions will be modeled and compared using the HydroCAD© computer program. This program uses the Rational Method or the Soil Conservation Service (SCS) curve number method to develop hydrographs that can compare pre- and post-project conditions.

Mr. James Travers

May 30, 2024

Page 13

- F&O will advance the layout of structures, outlets and pipes as well as incorporate the top of frame and invert elevations on the Drainage and Erosion & Sedimentation Control Plans. Structures and pipes without labels will be drafted onto the project Profiles and Cross Section Plans.
- Provide water quality treatment to meet the city and/or CT DEEP requirements and use information provided by the infiltration testing to determine the extent of which green infrastructure can be implemented.
- Incorporate the Preliminary Design (30%) – Part 2 design plans and stormwater analyses to properly size this Semi-Final Design (60%) – Part 1 stormwater drainage network.

Structural

Load Analysis

- The Wall Street Bridge (ConnDOT 04160) is part stone masonry and part concrete arch. A 2018 load rating performed by Connecticut DOT rated the structure as 1.0 for HL-93 loading without backup calculations but through “engineering judgement” based on a lack of shop drawings and the structure’s age (over 100 years old) and current structural condition. As this project is not programmed to significantly change the loading on this bridge, it is assumed by the same engineering judgement that no load rating capacity will be required to be determined for this structure as a result of the proposed work. In the event that Fuss & O’Neill is directed by the City, CTDOT, or any other reviewing agency to perform a load rating calculation, the cost of this will task shall be negotiated separately and integrated into the Final Plans for Review (90%) design phase.

Gateway Arch & Foundation Design

- Coordinate with the Roadway & Landscape Architect team to develop a steel truss framed arch that crosses the roadway and design a cast-in-place concrete foundation for the structure. The Gateway Arch will be designed in conformance with the applicable provisions of the governing Building Code and comply with applicable AASHTO loading requirements. While similar in form, each arch will be individually analyzed and designed to its location specific conditions, span, and unique aesthetic features. The foundation design will be based on the findings and recommendations resulting from the geotechnical investigation. The arch design will be consistent with the arch developed in Task 11, but each site will necessitate its’ own geotechnical review and analysis based on various arch sizes, utility impacts, soil conditions, positioning, etc.

Coal Laterals

- Site visits to evaluate building foundations affected by historic coal laterals will be integrated into the 90%

Mr. James Travers

May 30, 2024

Page 14

design phase as a separate amendment, if requested, once a sub-surface exploration utilizing Ground Penetrating Radar is employed.

Architectural: Streetscape, Hardscape, and Landscape Design, Details, & Plans

- F&O will progress the streetscape design for the following elements within the project area. We will work with City Staff to finalize the hardscape, tree selections and site furnishings for the streetscape components. It is anticipated separate Streetscape and Landscape Plan Sheets will be developed.
 - Linear roadway corridors on West, Belden, and Wall Street including the amenity, snow shelves and/or hardscape buffer areas, sidewalk zones, green infrastructure, streetscape elements, and furniture zones (such as benches, receptable cans, and/or bike racks) Street tree Pits along with their surfacing and permitter material will be provided.
 - Planting Plan depicting street tree locations, species type and groundcover/perennial plantings.
 - Construction details for the streetscape elements and plantings will be enhanced and/or developed for the above-mentioned components.
- Arch Design on Wall Street
 - Our team will work collaboratively with the Roadway Group, Electrical and Lighting Design Team, and Structural Engineers to integrate the proposed Arch Design on East Wall Street developed under Task 11 at 3 locations within the Wall Street limits.
 - Details consisting of vertical, side, and front as well as materials will be developed for the three specific arches on Wall Street due to their proposed locations and sizes.
 - The arches will have lighting to highlight the arch and lettering at night as a focal point.
 - The arches will have signage lettering identifying "Wall Street". The lettering will be lit at night. We will work with City Staff on determining the appropriate lettering material, size, font, and style to be adhered to the arches.
 - Various arch possibilities will be shown utilizing the existing 3D model as described in Task 4 above.
- Yankee Doodle Garage Connection
 - F&O will coordinate with City Staff and design team members to develop a safe and inviting pedestrian connection passageway from the Yankee Doodle Garage to the redesigned Gateway plazas at the intersection of Wall and Belden. Coordination with Wesley Stout Associates who will lead the advancement of the intersection gateway elements is pertinent, F&O's electrical group for lighting and safety, and the Right-of-Way mapping are all necessary to ensure continuity and feasibility.
 - Coordination meetings under Task 5 will be held with TMP to verify geometry, materials, theme, and/or placemaking components along the pathway.
 - Details consisting of specific passageway elements such as hardscape, site furnishings, and planting will be integrated into the SFD plan set.

Mr. James Travers

May 30, 2024

Page 15

- Wesley Stout Associates LLC (WSA) will act as Landscape Architects for the project with responsibility for collaborating with Fuss & Oneill (F&O) and the City of Norwalk on the Semi-Final Design Phase (60%) for the Wall Street Redevelopment Project. WSA will be responsible for the Main Intersection Gateway Features and Plaza Area at Mott/Wall/Belden/West and for the south-east corner Plaza of Burnell/Belden Intersection.
 - Semi-Final Design (60%) Plans, Draft Sections and Draft Details.
 - Landscape and Site Plans indicating selection of hardscape materials and the location of site improvements under our responsibility.
 - Planting Plan indicating schematic location of trees, shrubs, and planted areas along with character images for proposed plant materials and landscape accessories.
 - Draft Sections and Details to show construction requirements or design direction for site and landscape elements.
 - Specifications will be identified, but not developed.
 - SFD cost estimates will be generated.
 - Coordination meetings with TMP will be held under Task 5.

Lighting: Electrical Design & Photometric Analysis

Electrical Design

- Integrate light fixtures (Historic Roadway & Historic Waypointe) throughout the project area previously selected through prior collaboration from the City of Norwalk and design team.
- Integrate lighting to highlight the three (3) arches within the project limits.
- Integrate power to the gateway lighting features.
- Integrate lighting and power for lighting on the Yankee Doodle Garage path connector.
- Portray component details such as lamps, reflectors, optics, angle of cutoff, supports, poles and include manufacturers catalog cuts within the miscellaneous drawing sheets (MDS).
 - Foundation, trenching / conduit, splicing, service cabinet, and handhole details for light supports will be provided as well.
- Coordinate with the city's power utility company to establish an electrical service on site.
 - It is assumed the service will entail a standalone electrical cabinet mounted on a concrete pad. An electrical meter will be mounted on the exterior. The cabinet will house a power panel and necessary controls for site power. Spare conduits will be stubbed out of the concrete pad for future access to the electrical enclosure, as necessary.
- Special provisions for all lighting elements and features outside the Connecticut Department of Transportation (CTDOT) Form 819 will be provided during the Final Plans For Review (90%) design phase.
- Coordinate with the project team to incorporate all lighting components into the construction estimate.

Mr. James Travers

May 30, 2024

Page 16

- Locations and description of proposed light fixtures will be shown on the electrical design (ELE) as well as photometric (LUM) plans.
 - Conduit locations, sizes, power / conductors, and control wiring design will be displayed on the electrical design (ELE) plan.
- Handholds and spare conduits will be provided for phase PD Part 2.

Photometrics

- Calculations will be performed with available photometric data corresponding to all new roadway and pedestrian decorative light fixtures within the project area. Existing conditions will not be analyzed, only proposed improvements which will be integrating the Historic Roadway & Historic Waypointe light fixtures. The photometric plan (LUM) will include the following:
 - Decorative roadway as well as pedestrian level light fixtures
 - The following measures of maintained horizontal illuminance in footcandles:
 - Maximum
 - Minimum
 - average; and
 - average to minimum uniformity ratio
 - A photometric plan showing the proposed footcandle readings based on 10 foot by 10 foot grid due to the proposed decorative roadway and/or pedestrian light fixtures
 - Design lighting levels shall meet minimum IESNA, FHWA, and/or NCHRP Report 672 recommended horizontal illuminance levels or higher lighting levels as defined by the owner, but not to exceed city regulations.

Bid Package

- F&O will prepare a draft table of contents (TOC) indicating all anticipated special provisions for necessary pay items. Technical specifications for these special provisions will not be developed during the SFD phase.
- The city does not need to provide the front end boilerplate materials to F&O at this time. F&O will not develop a unit cost bid tabulation form or elements such as a Calendar Day Chart until the subsequent design phase. F&O will not create a coordinated bid package with the city until the 90% design phase.

Semi-Final Design Construction Cost Estimate

- Generate SFD construction costs based on available and recently awarded State & Federal projects. It is anticipated one overall estimate will not be sufficient, thus, time is included to breakdown and develop two

Mr. James Travers

May 30, 2024

Page 17

estimates based on the two different State and/or Federal funding programs within the Wall Street and Belden Avenue project limits.

- F&O will update and submit quantity computations and the anticipated construction estimate for the project.

Semi-Final Design Report

- The Preliminary Design Report will be advanced and updated to include the latest information, schedule, and construction cost.

Semi-Final Design Submission

The Semi-Final Design Submission including the City and WestCOG will receive following materials in Portable Document Format (PDF):

- Electronic copy consisting of:
 - Cover Sheet
 - General Notes & Legend Plan
 - Index Plan & Boring Locations
 - Boring Logs
 - Existing Conditions Plans
 - Miscellaneous Details
 - Gateway Plaza Enlargement Plans and Details
 - Yankee Doodle Garage Passageway Enlargement Plans and Details
 - Typical Cross Sections Plans
 - Alignment & Curb-Tie Plans
 - Roadway Plans
 - Profiles
 - Drainage and Erosion & Sedimentation Control Plans
 - Grading Plans
 - Streetscape, Hardscape, Landscape Plans
 - Electrical Design Plan
 - Photometric Plan
 - Utility Plans
 - Signing and Pavement Marking Plans
 - Traffic Signal Plans
 - Maintenance and Protection of Traffic Plans
 - Detour Plans, if necessary
 - Cross Sections
- Electronic copy of Special Provision TOC's

Mr. James Travers

May 30, 2024

Page 18

- Electronic copy of Semi-Final Design Construction Cost Estimates
- Electronic copy of Semi-Final Design Report
- Electronic copy of Draft Stormwater Management Report

Post-Submission Tasks

- Provide Plans to Utility Companies & Conduct Second Field Utility Meeting
- Submit Traffic Signal Plans & Application to OSTA
- SFD Review Meeting

TASK 11 – Wall Street LOTCIP Application Assistance

Streetscape & Landscape Modifications – L102-0004

- Review additional tree pit and brick banding alternates. Update plans and details as necessary to capture location adjustments, necessary materials, and develop a consistent theme throughout the entire downtown project.

Placemaking Enhancements – L102-0004

- Evaluate, design, and incorporate new or additional placemaking features in front of AJI 10 such as planters/seat walls, site furnishings and custom bike racks. F&O will review utility and drainage impacts as well as update necessary plans and details to integrate pedestrian enhancements within East Wall Street.

Gateway Arches – L102-0004

- F&O will develop an arch design to implement on East Wall Street. The structural design for the arch will include developing a finite element model of the space truss structure that includes the unique loading characteristics presented in this proposed crossing. The cast-in-place concrete piers supporting the Gateway Arch will then be designed based on the reactions developed from our structural analysis of the arch and recommendations and soil parameters outlined in the geotechnical investigation.
- Our landscape architectural design team will collaborate with our structural engineers, lighting, and electrical designers to generate a plan and detail package displaying the arch layout, sizing, dimensions, materials, utilities, foundation components, and lighting elements in addition to developing a technical specification for construction purposes.
- Two virtual meetings will be held with TMP to validate the design and placement.
- Various arch possibilities will be shown utilizing the existing 3D model as described in Task 4 above.
- The arch design developed within Task 11 will be utilized as a template for all surrounding arches proposed elsewhere, but structural analyses, lighting and electrical connections will need be reviewed and designed

Mr. James Travers

May 30, 2024

Page 19

on a case-by-case basis since each arch location will present their own challenges, dimensions, and requirements.

- See Task 8 above.

TASK 12 – Permitting & Regulatory Coordination

OSTA (Office of the State Traffic Administration) Signal Application

- Prepare an application to OSTA for the removal, modification, and/or replacement of the above-mentioned intersections listed within Task 8.
- F&O will not submit an application and the SFD signal plans for the Burnell at Belden Avenue signal modifications and the Wall / Mott / West / Belden signal replacement to OSTA for review until after the FPFR (90% design) is complete.

State & Federal Permits

F&O will evaluate existing environmental conditions at the site, potential impacts to regulated resources relative to the proposed activities, and determine required local, state, and federal environmental permits and approvals, based on design modifications completed during this phase. It is anticipated that permits and/or approvals will not be initiated until the Final Plans for Review (90%) design phase, when more detailed plans, analyses, and reports are completed. A scope and fee for these services will be provided in the next task amendment.

Under this task, F&O will coordinate with the following regulatory agencies to confirm the need for permits and approvals for the project.

- *US Army Corps of Engineers (USACE)*
 - Based on current design limits and proposed improvements, permits and/or approvals are assumed not necessary at this time because the Riverwalk or the Pedestrian Bridge are not integrated in this project. F&O will capture regulatory boundaries as identified in Task 1 and project design changes to confirm the need for permits.
- *CT DEEP & CTDOT*
 - *CEPA.*
 - It is our understanding that CTDOT will perform an environmental screening review based on information provided in the LOTCIP application. The screening will assist in identifying items relative to water/natural resources, historic/archaeological resources, endangered species, etc. that are to be investigated and/or addressed during the design phase.
 - *Flood Management Certificate*

Mr. James Travers

May 30, 2024

Page 20

- *Stormwater General Permit*

City Permits

The following city permits will not be initiated until the Final Plans for Review (90%) design phase. Scope and fee will be provided in the next task amendment.

- Department of Public Works (DPW)
 - Encroachment
 - Driveway
 - Tree
- Planning and Zoning (P&Z)
 - Filling, Excavation, and/or Grading
 - Flood Management
 - CAM (Coastal Area Management)

This task includes regulatory coordination to confirm the required permits and approvals that would be initiated during the Final Plan for Review (90%). Additionally, we have included time for three preliminary consultations (virtually) with the USACE, DEEP, and City. F&O will update the 60% overall project Design Report and provide a list of required permits that will be completed in the subsequent design phases.

Assumptions – SFD (Part 1)

The scope detailed above was developed with the following assumptions. Should any of these assumptions prove to be incorrect, additional scope and fee may result.

1. If applicable, all assumptions within the February 17, 2022 agreement apply.
2. Coordination during with the Norwalk Transit District is not included during the Semi-Final Design (60%) phase.
 - The advancement of Burnell Boulevard or any detailed design features associated with the Norwalk Transit District such as shelters, benches, signage, ITS infrastructure, etc. are not included in this agreement.
3. The Final Plans For Review (90%) design phase or Final Design Submission (100%) are not included in this agreement. In addition, the following can be performed, if requested.
 - Sub-surface investigations such as Ground Penetrating Radar to locate and/or detect utility laterals as well as old 'coal laterals' is not included within the SFD phase.
 - Supplemental topographic survey for formal easement and/or partial taking maps as well as the developmental of such maps are not included within the SFD phase.
 - Test pit coordination or the attendance of, is not included within the SFD phase.

Mr. James Travers

May 30, 2024

Page 21

- Geotechnical Investigations during the SFD phase are limited to deep boring explorations associated with the proposed arch designs. Additional roadway cores on the Belden Avenue as well as infiltration tests for proposed green infrastructure systems are not included at this time.
 - i. It is assumed TMP will waive any permits, fees, and provide traffic control at the city's expense for the geotechnical investigation that are scoped to be completed within the SFD phase.
- 4. Additional permits may be identified and evaluated after the SFD phase due to the various State & Federal funding sources involved with construction as well as the proposed improvements established during the SFD phase.
 - Permits listed in Task 12 stated to be initiated or advanced in subsequent design phases will require a separate agreement.
 - It is assumed an NDDDB request is not necessary, thus it is not included in this agreement.
 - It is assumed that NEPA is not necessary, thus it is not included in this agreement.
- 5. The project bid package including State and/or Federal requirements (i.e. – CHRO, DBE / SBE, etc.), boilerplate information, calendar day chart, technical specifications, etc. will be initiated in the subsequent design phase.

Fee – SFD (Part 1)

Task	Description	Basis	Fee
01	Preliminary Engineering & Survey	Lump Sum	\$18,000
04	Concept Design	Lump Sum	\$5,000
05	Utilities, Meetings & Coordination	Lump Sum	\$21,000
07	Geotechnical Services	Lump Sum	\$39,000
08	Semi Final Design (60%) – Part 1	Lump Sum	\$531,000
11	Wall Street LOTCIP Application Assistance	Lump Sum	\$46,000
12	Permitting	Lump Sum	\$9,000
	TOTAL LUMP SUM FEE		\$669,000

Mr. James Travers

May 30, 2024

Page 22

Project Approach/Understanding

Preliminary Design (30%) – Part 2

Fuss & O'Neill will develop a Preliminary Design (30%) package for the project limits shown in *Figure 2* above. See *Attachment 1* for an updated project phasing / funding earmark graphic associated with the PD development. Described below are design components, analyses, supplemental investigations, and additional data that will be conducted in order to produce a PD package to CTDOT standards.

Preliminary Engineering & Survey

- 1) Review, identify, and field survey new features constructed since the original survey was completed in the Spring of 2022 throughout the PD limits such as the reconstructed sidewalk Wall Street by DPW.
- 2) Expand the field topographic survey on East Wall Street between Brook Street and East Avenue.

Concept Design

- 3) F&O and WSA will provide a second Conceptual Master Plan and 2D Enlargements for the third and final public charrette based on the PD – Part 2 advancements.

Utilities, Meetings & Coordination

- 4) Conduct a project PD kickoff meeting to discuss design components, schedule, and ensure the team fully understands the proposed improvements on East Wall between Brook Street and East Avenue.
- 5) Various progress design or check-in meetings will be integrated into the PD development.
- 6) F&O will combine the second utility meeting subsequent to the SFD scope described above with the initial utility coordination meeting for the PD limits described herein to capture and communicate all affected utility conflicts at once. Time to integrate this project limits into the second utility meeting will be included.
- 7) Conduct a PD review meeting.
- 8) Coordination with Metro North is necessary to determine proposed improvement restrictions, possibilities due to existing infrastructure, forthcoming approvals and/or permits to acquire in subsequent design phases, and to discuss schedule as well as Rights-of-Way ramifications to the above ground features.

Geotechnical & Pavement Design Services

- 9) It is assumed the proposed pavement structure (M&O or full depth reconstruction) within LOTCIP project L102-0004 can be applied to the East Wall corridor between Brook Street and East Avenue.

Mr. James Travers

May 30, 2024

Page 23

Preliminary Design Plans, Details, Analyses, and Reports

- 10) The PD package will include time to properly prepare, annotate, plot, and present the plans to depict various construction funding limits or earmarks based on the city's current list of State and/or Federal funding platforms, *Attachment 1*.
- 11) Time is included to generate and differentiate two different PD construction costs based on available funds of the Federal Appropriation (\$5.5M). One estimate is anticipated to cover all aspects and limits presented in Figure 2, and a second estimate is anticipated in lieu that the \$5.5M does not integrate all four areas of the projects and needs to be scaled back in order to define appropriate project limits for the next design phase.
- 12) The PD package will be developed in the manner similar to LOTCIP, which involves specific language and designations throughout the plans that satisfy State funding requirements instead of what was originally anticipated, a review by city personnel only, not State or Federal agencies.
- 13) The PD plans will not include design any traffic signals outside those described within the SFD scope above or detailed design of the gateway features, streetscape, hardscape, landscape and/or lighting & electrical elements, particularly on River Street. The PD plans will also not include detailed assessment, design, permitting, and/or structural analysis of the River Street / Burnell Boulevard bridge.
 - a) The goal of the PD package is to ensure all reviewing parties evaluate, comment, and agree on the overall scope of work, the proposed roadway network, its' lane arrangements, horizontal and vertical geometry, operations, bicycle facilities, driveway accesses, curb-lines, sidewalk widths, utility impacts, and preliminary cost. The detailed elements are all affected by changes to the preliminary alignment and geometry, thus the scope & fee to advance those design elements will be included in subsequent design phases covered under forthcoming task amendments.

SCOPE OF SERVICES

TASK 01 – Preliminary Engineering & Survey

Topographic Survey

We will extend the Right of Way (ROW) and Topographic Survey for the project. The topographic limits are defined based on Figure 2 above. The topographic survey will mainly encompass the corridor east of LOTCIP project L102-0004 from Brook Street to East Avenue capturing approximately 25 feet beyond the existing curb-line along both sides of the road. F&O will also review, identify, and field survey new features constructed since the original survey was completed in the Spring of 2022 throughout the PD limits such as the reconstructed sidewalk Wall Street by DPW. The goal is to add to the current a base map for the entire project generating one holistic topographic drawing for design purposes.

Mr. James Travers

May 30, 2024

Page 24

Horizontal control for the survey will be based on the North American Datum of 1983 (NAD 83) and vertical control will be based on the North American Vertical Datum of 1988 (NAVD 88). A minimum of three (3) permanent control points and/or benchmarks will be set at appropriate locations. No new monumentation is included in this agreement.

The field survey will incorporate the location of the following ROW and topographic features: property monumentation along the right-of-way and street right-of-way monumentation, walls, fences, trees, buildings, structures, driveways, edge of pavement, edge of parking, pavement markings, top and bottom of curbs, walks, plantings, visible signs of utilities, utilities marked out by others, top of frame and invert elevations of storm and sanitary sewers, manholes, water gates, gas gates, electric and telephone hand holes, poles, signs, and lights.

Visible evidence of possible encroachments over the right-of-way line and/or record easements will also be located and depicted on the survey. Individual property/parcel lines will be depicted based upon assessors and/or GIS mapping. Flood zones and Aquifer Protection Areas within the project area, if any, will be depicted using current Federal Emergency Management Agency (FEMA) FIRM and local mapping, respectively.

The local land records will be researched for updated mapping, now or formerly and utility information pertinent to the above-referenced property and abutting properties. Local utility companies listed on CTDOT's Utility Owners by City List will also be contacted for information pertinent to the location of their underground and overhead utilities within the project area. Utility information will be based on visible evidence of surface and overhead structure locations and as compiled from existing record mapping available during the preparation of the survey. Information for these utilities related to depth, size, and connections to buildings will be based upon record mapping only. Storm and sanitary sewers may be depicted on the survey with top of frame elevations, pipe sizes, and invert elevations if this information is easily accessible during the preparation of the survey.

The city will be responsible for posting "No Parking" signs as required in order to maintain survey limits clear of parked cars in order to allow for collection of survey information. Mapping will be prepared using AutoCAD Civil 3D software depicting contours at one-foot intervals as well as the location of features collected by the field survey.

The field survey will be prepared in accordance with the accuracies of a Class A-2 Property/Boundary – Right of Way Survey and a Class T-2 Topographic Survey while abutting side property lines will be based on Class "D" information as defined in the "Standards for Surveys and Maps in the State of Connecticut," prepared and adopted by the Connecticut Association of Land Surveyors, Inc., August 29, 2019.

Mr. James Travers

May 30, 2024

Page 25

TASK 04 – Concept Design

2D Enlargement Plans

- F&O and WSA will provide a second Conceptual Master Plan and 2D Enlargements for the third and final public charrette based on PD – Part 2 advancement. The new plan will address key areas: West / Belden / Wall / Mott Intersection, Wall Street, River Street, and the Burnell Blvd at Main Street intersection without the roundabout. The West / Belden / Wall / Mott Intersection will also planimetrically show a raised intersection at the main intersection of by stamping that area in case the City proceeds with a formal raised intersection design.

Streetscape Development of River Street

- We will prepare preliminary images boards to aid in the selection of streetscape materials for River Street for the next design phase. Conceptual streetscape design to include hardscape of paving material, initiate a paving pattern(s), placement of vertical elements such as light poles, street trees, street furniture and planters. We will explore and provide example precedent lighting images for River Street including alternatives to pole mounted fixtures and/or overhead catenary string lights. Initial selections of streetscape material will not only aid in the subsequent design phase when formal detailing, specifications, plan production, and/or exact unit pricing is established, but also the development of any future 3D renderings, if requested.

TASK 05 – Utilities, Meetings & Coordination

Meetings

- Conduct one (1) project PD kickoff meeting to discuss design components, schedule, and ensure the team fully understands the proposed improvements on East Wall between Brook Street and East Avenue.
 - This meeting will be held virtually.
- Perform one (1) site visit to view the vehicular and pedestrian activities on Commerce Street and East Wall Street to better understand the project limits, constraints, environment, and daily operations.
- Conduct three (3) check-in or progress meetings during the PD phase.
 - These meetings will be held virtually.
- Attend one utility field meeting that will be combined with the second utility meeting subsequent to the SFD scope described above for the PD limits described herein to capture and communicate all affected utility conflicts at once.
 - Utility meetings minutes, conflicts, and proposed relocations will be summarized within the overall Design Report.

Mr. James Travers

May 30, 2024

Page 26

- Coordinate with Metro North to determine their criteria and any proposed improvement restrictions, conflicts associated with the existing infrastructure, forthcoming approvals and/or permits to acquire in subsequent design phases, and to discuss schedule as well as Rights-of-Way ramifications to the above ground features.
 - One (1) virtual meeting is anticipated during PD. Subsequent meetings will be integrated into future amendments.
- Conduct a PD review meeting.

TASK 20 – Preliminary Design (30%) – Part 2

This stage of the project will advance Part 2 (*see Figure 2*) of the overall concept / master plan originally developed for the second public charrette to a design completion of approximately 30%. All plans will be provided at a scale of 1 inch = 20 feet, unless otherwise noted.

Preliminary Horizontal and Vertical Design

- Develop preliminary baseline alignments and vertical profile geometry for all roadway segments in accordance with the following resources:
 - Highway Design Manual; Connecticut Department of Transportation, Revised 2013
 - A Policy on Geometric Design of Highways and Streets; American Association of State Highway and Transportation Officials, Seventh Edition, 2018
 - Urban Street Design Guide; National Association of City Transportation Officials, 2013
 - City of Norwalk Standards and/or Details

Preliminary Drainage Design

- F&O will develop plans and details to relocate existing roadway storm drainage facilities that are necessary to proposed curb lines. F&O will request information from City engineering staff on drainage issues that they are aware of.
- We will develop a preliminary layout of structures, outlets and pipes. Improvements will be limited to relocating the existing drainage inlets and connecting them to the existing system.
- The preliminary hydrologic and hydraulic stormwater analysis for this project area is incorporated within the SFD – Part 1 stormwater drainage design scope enabling staff to analyze and evaluate the overall project area at once.
 - It is assumed that F&O will utilize the existing discharge locations into the Norwalk River such as invert and pipe sizes for the proposed improvements.
 - New pipe discharge locations or changes to the existing pipe sizes, if required, is not included in this agreement.

Mr. James Travers

May 30, 2024

Page 27

- Advanced drainage information such as top of frame and/or invert elevations will be included in the Semi-Final Design (60%) phase under separate contract.
- F&O will not CCTV drainage systems within the project limits or to its' ultimate discharge locations.

Cover, Gen. Notes & Legend, Index & Boring Locations, and Exist. Conditions Plans

- A preliminary cover sheet, general notes and legend plan, index and boring locations plan, and existing conditions plan will be developed and integrated into the previously submitted Preliminary Design plan set & deliverable as part of Task Amendment 3. Creating this project as its own "subset" within the already advanced design drawings will save time as well as help develop one overall construction document enabling the city to break out various projects at different times depending on resources, funding, construction impacts or phasing, etc.

Miscellaneous Details

- Preliminary details anticipated for the roadway construction will include items such as the following: curbing, drainage, pavement sections, sidewalks, brick pavers, light posts, street trees, pavement markings, erosion control systems, and special pavement treatments.
- Fuss & O'Neill will utilize the City of Norwalk details as necessary or per request.
- Advanced details pertaining to all streetscape, landscape, hardscape, or lighting components will not be added to the plans until the design is advanced to its' next design submission and the overall PD layout, geometry, and design is endorsed.

Typical Cross Sections Plans

- Develop Typical Cross Sections for the project roadway segments.
- 12 Typical Sections have been assumed.

Roadway Plans

- Roadway Construction plans utilizing the horizontal alignment/baselines will be used to identify the proposed layout, materials, and construction activities necessary to reconstruct roadway corridors and intersection improvements.
 - *Right-of-Way and Rights to Construct Designations*
 - We do anticipate property acquisitions, permanent easements and/or land swaps for this project. Therefore, Fuss & O'Neill will create a Schedule of Property Owners table or list for those affected properties within the overall Design Report.
 - Any required and/or formal right-of-way, taking or easement maps can be provided, if requested, at an additional cost.

Mr. James Travers

May 30, 2024

Page 28

- We do anticipate the Contractor will need to obtain rights for construction and/or temporary utility easements. These locations will not be shown within the PD plans. During subsequent design phases, F&O will then identify on the general construction plans designations such as “required” until those rights have been “acquired” by the city prior to the Final Design submission.
 - ✓ Rights may consist of but not limited to; Right to Grade, Right to Construct Sidewalk, Right to Construct Driveway, Right to Install Fence, Right to Install Sedimentation Control Systems etc.

Profiles

- Develop roadway profile sheets and annotate vertical geometry for the project roadways. The proposed profiles will be designed in accordance with the above-mentioned references. Special attention will be given to the crosswalks to ensure approved grades are met per ADA and/or PROWAG requirements.

Drainage and Erosion & Sedimentation Control Plans

- Preliminary drainage modifications and erosion control & sedimentation features will be shown in approximate locations based on the proposed horizontal geometry and preliminary profiles.
- The drainage design will be limited to determine approximate catchment areas and stormwater flowrates and runoff volume as needed to complete the SFD – Part 1 stormwater drainage network. This time is included within the SFD – Part 1 scope.
- The drainage design will be advanced in 60% design such as structures frame elevations, inverts, sumps etc. will be advanced once all test pits are performed, grading is advanced, and underground utilities are identified after preliminary design.
- Rights to install erosion control may be necessary. These designations will be shown within the general roadway construction plans as previously mentioned.

Utility Plans

- Depict proposed test pits within the PD plans to assist in further identifying potential underground conflicts and gaining additional information.
- Depict potential private utility relocations such as utility poles and/or the resetting of water and gas gate valves.

Signing & Pavement Markings

- Fuss & O'Neill will develop lane uses and widths, and other uses of the roadway area, including parking or bike lanes.

Mr. James Travers

May 30, 2024

Page 29

- Signage will be developed during the next design phase.

Preliminary Design Construction Cost Estimates

F&O will prepare two different PD construction costs based on available funds of the Federal Appropriation (\$5.5M). One estimate is anticipated to cover all aspects and limits presented in Figure 2, and a second estimate is anticipated in lieu that the \$5.5M does not integrate all four areas of the projects and needs to be scaled back in order to define appropriate project limits for the next design phase. The preliminary construction cost estimates will be based on the most recently available CTDOT Highway Cost Estimation Software or recent project bids of similar nature.

Stormwater Report & Design Report

- F&O will update the SFD – Part 1 Stormwater Design Report to create an all-inclusive document capturing analyses in both areas of the project.
- The overall project Design Report developed during the previous PD deliverable will also be enhanced to create an all-inclusive document capturing both project areas. F&O will include design standards, Rights-of-Way notes, utility information, drainage modifications, anticipated permitting requirements, etc. from the PD – Part 2 area.

PD Submission – Part 2

The Preliminary Design Submission to the City as well as any State or Federal agencies will include the following materials in Portable Document Format:

- Electronic copy consisting of:
 - Cover Sheet
 - General Notes & Legend Plan
 - Index Plan & Boring Locations
 - Existing Conditions Plans
 - Miscellaneous Details
 - Typical Cross Sections Plans
 - Roadway Plans
 - Profiles
 - Drainage and Erosion & Sedimentation Control Plans
 - Utility Plans
 - Signing and Pavement Marking Plans
- Electronic copy of the Preliminary Design Construction Cost Estimates
- Electronic copy of the overall Design Report

Mr. James Travers

May 30, 2024

Page 30

- Electronic copy of the Stormwater Drainage Report

Assumptions – PD (Part 2)

The scope detailed above was developed with the following assumptions. Should any of these assumptions prove to be incorrect, additional scope and fee may result.

1. If applicable, all assumptions within the February 17, 2022 agreement apply.
2. Periods of adverse weather could impact the ability to perform field work which therefore could delay the completion of the survey. Field survey and wetland delineation can be performed during a time period when there is no ground frost and/or minimal snow cover.
3. It is assumed police will be provided and paid for by the city as needed for survey work (if required).
4. Storm and sanitary structures will be clear of any snow or debris obstructing the pipe inverts. Storm and sanitary invert elevations at structures filled with snow or debris will not be obtained. Revisiting the site to obtain storm and sanitary inverts in structures that have had snow or debris removed will be considered additional.
5. The city will provide existing sanitary sewer collection and other infrastructure system mapping.
6. Wetlands will not be delineated and flagged by a registered soil scientist as it assumed no inland wetlands are located within the project area.
7. CCTV services of the existing stormwater system within the project area or a dye test will not be conducted to validate the existing stormwater network.
8. Utilities will be compiled from field information as well as existing record mapping. The use of ground penetrating radar (GPR) to locate underground utilities will not be performed as part of this task. If the use of GPR to locate underground utilities is required, it will be provided under a separate agreement.
9. The actual field location of monumentation agrees with record information within an allowable tolerance.
10. Iron pins will not be set at property corners that are not currently monumented. If pins are required at every property corner, an additional task authorization will be required for this service.
11. Land taking (partial) or easement maps for Rights-of-Way purposes, if required, will be provided under a separate task authorization.
12. Individual property surveys for full takings, if required, will be provided under a separate task authorization.
13. All permits will be identified and evaluated after the Preliminary Design (30%) for the project limits shown in Figure 2. Excluded coordination consists of:
 - A NDDB request
 - Inland Wetland Permit
 - Encroachment Permit
 - Coastal Area Management (CAM) approval
 - Environmental Screening such as CEPA, NEPA, Noise, Water Resources, Natural Resources, Parks, Recreation Areas, Wildlife Refuges, and Scenic Roads, etc.
 - SHPO Coordination

Mr. James Travers

May 30, 2024

Page 31

- CTDEEP General Stormwater Permit
 - OSTA Coordination
 - Metro North Approvals
14. CTDOT Standard Specifications for Road, Bridges, Facilities and Incidental Construction Form 819 will be utilized with the corresponding cost estimate items.
 15. Existing pipe and sewer structure materials are non-hazardous.
 16. Environmental hazardous materials evaluations and remediation design (CTDOT Task 110) is not included and assumed to be completed by others.
 17. A pavement design program or geotechnical roadway cores anywhere within the PD – Part 2 limits is not included.
 18. Signal designs outside the intersections listed within the SFD scope or additional traffic or pedestrians counts, analyses, and/or investigations are not included.
 19. Coordination and attendance of test pits within the PD – Part 2 limits are not included at this time.
 20. 3D rendering images for the intersection of Burnell Blvd. at Main Street due to the removal of the originally proposed roundabout as well as River Street are not included at this time.
 21. Traffic Signal Designs, Streetscape, Landscape, Electrical Design, MPT, Staging, Detour, and/or Cross Section plans are not included in the PD submission. The detailed design of these elements and gateways features, festival street, streetscape components, etc. will be advanced during the next design phase.

Fee – PD (Part 2)

Task	Description	Basis	Fee
01	Preliminary Engineering & Survey	Lump Sum	\$19,000
04	Concept Design	Lump Sum	\$17,000
05	Utilities, Meetings & Coordination	Lump Sum	\$18,000
20	Preliminary Design (30%) – Part 2	Lump Sum	\$75,000
	TOTAL LUMP SUM FEE		\$129,000

Mr. James Travers
May 30, 2024
Page 32

Total Fees

Fuss & O'Neill proposes an additional budget of **\$798,000** be established for professional services in support of this effort as outlined above. Fees are shown on the summary tables below.

Task	Description	Basis	Current Fee	Add'l Fee	Total Fee
01	Preliminary Engineering & Survey	Lump Sum	\$75,000	\$37,000	\$112,000
04	Concept Design	Lump Sum	\$95,000	\$22,000	\$117,000
05	Utilities, Meetings & Coordination	Lump Sum	\$27,000	\$39,000	\$66,000
07	Geotechnical Services	Lump Sum	\$25,000	\$39,000	\$64,000
08	Semi Final Design (60%) – Part 1	Lump Sum	\$0	\$531,000	\$531,000
11	Wall Street LOTCIP Application Assistance	Lump Sum	\$20,000	\$46,000	\$66,000
12	Permitting	Lump Sum	\$0	\$9,000	\$9,000
20	Preliminary Design (30%) – Part 2	Lump Sum	\$0	\$75,000	\$75,000

Total Add'l Fee
\$798,000

Direct costs for any reproductions, mileage and mailings are included in the above cost.

Fees are valid for 90 days. If authorization extends beyond this duration, Fuss & O'Neill reserves the right to renegotiate the fee.

This amendment will be completed under the Terms and Conditions of our original agreement titled "Design Services for the Wall Street Corridor Improvements" and dated February 17, 2022.

Unless expressly instructed by the client to the contrary, Fuss & O'Neill will consider the data provided by organizations that are engaged with respect to mapping current climate conditions and follow the recommendations

Mr. James Travers

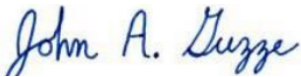
May 30, 2024

Page 33

of applicable municipal, state and/or federal guidelines and standards for design, including consideration of project purpose and location, and future climate conditions relevant to the design life and/or anticipated service life or duration of the project, using applicable available data relevant to the project geography.

Receipt of a signed copy of the Authorization to Proceed enclosed with this amendment will serve to authorize the work outlined in the Scope of Services. Thank you for requesting consulting service from Fuss & O'Neill. We look forward to continuing our work with you on this project.

Sincerely,



John A. Guzze, PE
Associate



Kristen E. Solloway, PE
Vice President

Attachments: Authorization to Proceed
Attachment 1

Authorization to Proceed

Kristen E. Solloway, PE
Fuss & O'Neill
146 Hartford Road
Manchester, CT 06040

Re: Amendment for Transportation Engineering and Related Services
Design Services for the Wall Street Corridor Improvements
Norwalk, Connecticut
Fuss & O'Neill Reference No. 20210301.A10

Budget: \$798,000

Dear Ms. Solloway:

I hereby authorize Fuss & O'Neill to proceed with the above-referenced project in accordance with the General Terms and Conditions date February 17, 2022 and this Amendment dated May 30, 2024.

Printed Name

Date

Signature

Title

City of Norwalk – *please complete information below.*

*Submit invoice as follows (✓ one →):	_____ Mail	_____ Email	_____ Online
Billing Contact: Name:			
Address:			
Phone/Email:			
Accounts Payable Contact: Name:			
Address:			
Phone/Email:			
Purchase Order Number:			

*** Indicate address, email address and website link if different than already provided.**

Wall Street Corridor Improvements Concept Plan: Phases 1 - 4



Project Phase: 2b
Title: Wall Street (Wall Street, West Avenue, Belden Avenue and Mott Avenue)
Status: Completed 30% Design, Advancing 60% Design - Seeking PAL Agreement
Schedule: Construction Start Q2 2026 (Simultaneously with LOTCIP)
Committed Funding: \$3,500,000 State Urban Action Grant

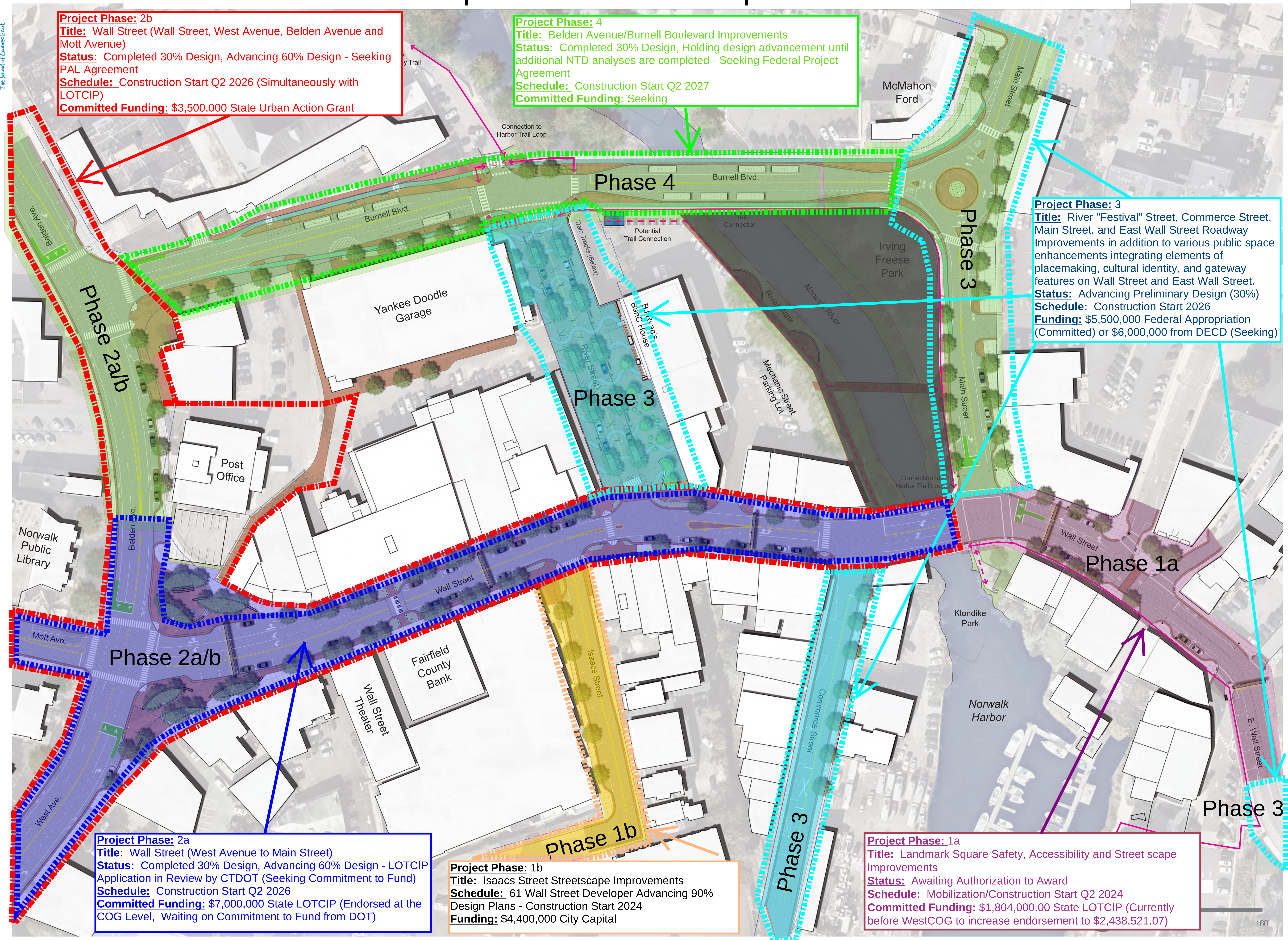
Project Phase: 4
Title: Belden Avenue/Burnell Boulevard Improvements
Status: Completed 30% Design, Holding design advancement until additional NTD analyses are completed - Seeking Federal Project Agreement
Schedule: Construction Start Q2 2027
Committed Funding: Seeking

Project Phase: 3
Title: River "Festival" Street, Commerce Street, Main Street, and East Wall Street Roadway Improvements in addition to various public space enhancements integrating elements of placemaking, cultural identity, and gateway features on Wall Street and East Wall Street.
Status: Advancing Preliminary Design (30%)
Schedule: Construction Start 2026
Funding: \$5,500,000 Federal Appropriation (Committed) or \$6,000,000 from DECD (Seeking)

Project Phase: 1a
Title: Landmark Square Safety, Accessibility and Street scape Improvements
Status: Awaiting Authorization to Award
Schedule: Mobilization/Construction Start Q2 2024
Committed Funding: \$1,804,000.00 State LOTCIP (Currently before WestCOG to increase endorsement to \$2,438,521.07)

Project Phase: 1b
Title: Isaacs Street Streetscape Improvements
Schedule: 61 Wall Street Developer Advancing 90% Design Plans - Construction Start 2024
Funding: \$4,400,000 City Capital

Project Phase: 2a
Title: Wall Street (West Avenue to Main Street)
Status: Completed 30% Design, Advancing 60% Design - LOTCIP Application in Review by CTDOT (Seeking Commitment to Fund)
Schedule: Construction Start Q2 2026
Committed Funding: \$7,000,000 State LOTCIP (Endorsed at the COG Level, Waiting on Commitment to Fund from DOT)





CITY OF NORWALK
Transportation Mobility & Parking
P: 203-854-7335
Norwalk City Hall
125 East Avenue, PO Box 5125
Norwalk, CT 06856-5125

To: Economic and Community Development Committee of the Common Council

From: Benjamin Yeung, P.E. – Senior Traffic Engineer, Transportation, Mobility, and Parking (TMP)

CC: Sabrina Godeski, BS, MPL, AICP – Director of Business Development & Tourism
James Travers – Director, TMP
Garrett Bolella – Assistant Director, TMP

Subject: June 2024 Agenda - Authorize the Mayor, Harry W. Rilling to execute an Agreement between the City of Norwalk and Stantec for Preliminary Design and Grant Support Services for the Norwalk River Valley Trail Wil-Walk Spur, planned to run underneath Grist Mill Road to Glover Avenue, in an amount not to exceed \$22,000.

Date: June 4, 2024

Memorandum

The goal of this project is to create a preliminary design level set of plans and construction cost estimate to be provided as part of a grant funding application for the completion of design and construction of a paved, multi-use extension of the Norwalk River Valley Trail (NRVT) from the completed Building & Land Technology (BLT) property at 300 Glover Avenue to the existing Wil-Walk trail section north of Grist Mill Road.

BLT has already constructed a portion of the paved path along the north side of their property. The trail is proposed to extend underneath Grist Mill Road (US Route 7) and then proceed approximately 500 feet uphill to connect with the recently completed Wil-Walk Spur, a section of the NRVT that runs north into the Town of Wilton. This proposed trail extension will improve safety, connectivity, and recreational opportunities for pedestrians and bicyclists in the Glover Avenue / Merritt 7 Station area.

The Connecticut Department of Transportation (CT DOT) has already provided conceptual approval for the trail to run beneath Grist Mill Road, and this preliminary design phase will help to coordinate further review and approvals with the State. The Western Connecticut Council of Governments (WestCOG) is also aware of the City's intention to pursue the completion of this trail section, which is important since many grant funding applications (such as Local Transportation Capital Improvement Program funding (LOTICIP), which has a solicitation opening in August 2024) go through a preliminary review by WestCOG. The plan is to have this preliminary design work form the basis for securing grant funding for the completion of this trail section.

Stantec is the engineering consultant that has been actively involved with the development of the NRVT in Norwalk for over 10 years. They are most familiar with the City's vision for the trail and have long-established relationships with key agency stakeholders for the project, including CT DOT and CT DEEP. Stantec was a collaborator on the 2012 Routing Study for the entire NRVT. Stantec also completed the 2017 Feasibility Study for the "Wil-Walk" Section of the NRVT, which includes the section of trail we are currently trying to connect to. Finally, in early 2024, Stantec recently completed a property line survey for properties along the alignment in the 2017 Feasibility Study, and collected topographical information in the vicinity of Grist Mill Road in order to develop a schematic layout for the proposed spur trail.

Stantec will be able to utilize their previous experience, data, and connections to facilitate this new design project (with grant support services) in the most efficient manner. Their proposed fee for this scope of work is a not-to-exceed fee of \$22,000, and work can begin immediately upon authorization.

REQUESTED ACTION: Authorize the Mayor, Harry W. Rilling to execute an Agreement between the City of Norwalk and Stantec for Preliminary Design and Grant Support Services for the Norwalk River Valley Trail Wil-Walk Spur, planned to run underneath Grist Mill Road to Glover Avenue, in an amount not to exceed \$22,000.

ACCT: 0924 3750 5777 C0777

Sincerely,

A handwritten signature in black ink that reads "Benjamin Yeung". The signature is written in a cursive, flowing style.

Benjamin Yeung, P.E., Senior Traffic Engineer – TMP



DEPT OF FINANCE - Purchasing Department

NONCOMPETITIVE PROCUREMENT JUSTIFICATION FORM

DATE: 06/04/24

DEPARTMENT: TMP

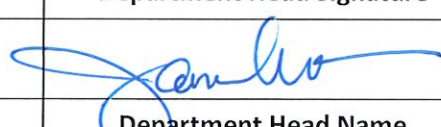
Procurement by non-competitive proposals may be used only when the award of a contract is infeasible under informal competitive Quotations (§3-204), Informal Competitive Request for Proposals (§3-205), seal bids, or competitive proposals and at least one of the following circumstances applies:

Check One:

☒	1	The item is available only from a single source (justification is attached). The provisions of this regulation apply to all sole source procurements unless emergency conditions exist as defined by Purchasing Guideline on Emergency Procurements
☐	2	After solicitation of several sources, competition is determined inadequate (record of source contacts and/or attempts to obtain pricing is attached)
☐	3	The compatibility of equipment, accessories, or replacement parts is of paramount consideration
☐	4	The item/service is available on a Cooperative Purchasing Agreement (please provide the organization name, quote, and the contract/agreement number)
☐	5	The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation (documented emergency contingency is attached). Please forward this form and supporting documentation within 48 hours of the Emergency
☐	6	Other, please explain:

TOTAL COST: \$22,000.00 MUNIS Account: 0924-3750-5777-C0777

VENDOR: Stantec

Purchasing Agent Signature	The Purchasing Agent		Department Head Signature
	☒	Supports	
Purchasing Agent Name	☐	Does Not Support	Department Head Name
		Single Source Requires Common Council Authorization (in excess of \$20,000.00)?	<u>JAMES TRAVENS</u>
Date	☒		Date
			<u>6-4-24</u>

JUSTIFICATION:

Re: NRVT Wil-Walk Segment - BLT Spur

The goal of this project is to create a preliminary design level set of plans to be provided as part of a (Local Transportation Capital Improvement Program) LOTCIP funding application for the completion of design and construction of a paved, multi-use extension of the Norwalk River Valley Trail (NRVT) from the BLT property at 300 Glover Avenue to the existing Wil-Walk trail section north of Grist Mill Road.

Stantec is the engineering consultant that has been actively involved with the development of the Norwalk River Valley Trail (NRVT) in Norwalk for over 10 years. They are most familiar with the City's vision for the trail and have long-established relationships with key agency stakeholders for the project, including CT DOT and CT DEEP. Stantec was a collaborator on the 2012 Routing Study for the entire NRVT. Stantec also completed the 2017 Feasibility Study for the the "Wil-Walk" Section of the NRVT, which includes the section of trail we are currently trying to connect to. Finally, in early 2024, Stantec recently completed a property line survey for properties along the alignment in the 2017 Feasibility Study, and collected topographical information in the vicinity of Grist Mill Road in order to develop a schematic layout for the proposed spur trail.

Stantec will be able to utilize their previous experience, data, and connections to facilitate this new design project (with grant support services) in the most efficient manner.

ANY OTHER VENDORS CONTACTED FOR PRICING? (Please attach quotes): _____

Vendor 1: _____

Vendor 2: _____

EMERGENCY: Explain in detail the nature of the emergency



Stantec Consulting Services Inc.
55 Church Street, Suite 601, New Haven CT 06510

May 15, 2024

Attention: Ben Young, P.E.
Senior Traffic Engineer
City of Norwalk TMP
125 East Ave.
Norwalk CT 06851

Dear Mr. Young,

Reference: NRVW Wil-Walk Segment – BLT Spur

Stantec Consulting Services Inc. (Stantec) appreciates the opportunity to continue supporting this trail project. A LOTCIP short form application has already been submitted to WestCOG. It is our understanding that WestCOG will require that a preliminary design level set of plans be provided as part of the application in order for this project to be considered for LOTCIP funding. This was discussed with Kevin Mahoney of WestCOG on a recent phone call. The project involves the design of the trail connection from the recently construction BLT trail segment just south of Grist Mill to the existing Wil-Walk Segment north of Grist Mill.

Specifically, this scope includes:

1. Compile available and current GIS mapping information including contours, property lines, easements and other site elements to generate a base existing conditions plan for support of the design of the trail.
2. Provide trail layout plans, typical sections, profiles, site details and select cross sections at key areas. A trail model will be generated by using Civil3D to accurately define grading required. Provide erosion controls and fencing that may be required by CTDOT.
3. Review existing drawings and design of the BLT segment of the trail and coordinate the connection point.
4. Provide design information for the crossing below the Grist Mill Road. This will include a segmental block wall with fencing.
5. Provide plans and basic details for the boardwalk crossing that is anticipated to cross a wetland area.
6. Provide a DOT-format opinion of probable cost.
7. Compile the LOTCIP long form application including supporting letters, pedestrian forms, narratives and other associated documents.

Reference: NRVW Wil-Walk Segment – BLT Spur

8. Coordinate and obtain conceptual approval from DOT District 3 as noted in correspondence with DOT personnel.
9. Site visit to confirm conditions at the bridge.
10. Address one round of comments from WestCOG

Cost

Stantec will complete the proposed scope of work for a not to exceed fee of **\$22,000**. This work can be started immediately after receiving a signed proposal.

Exclusions and Clarifications

No field survey or additional wetlands flagging is included; however, this will be required for the next phase of the design which will involve obtaining local and state permits.

No permitting is included.

No structural design is included. Wall shall be segmental block.

No geotechnical investigation is included.

Easements are not included.

Please do not hesitate to call the undersigned if we can provide any additional information or answer any questions. If you are in agreement with this proposal please provide a formal contract for this work.

Regards,

Stantec Consulting Services Inc.



Antonio DiCamillo PE
Project Manager
Phone: 203-495-1645
Antonio.DiCamillo@stantec.com



CITY OF NORWALK
Jessica Vonashek
Chief, Economic and Community Development
jvonashek@norwalkct.gov
P: 203-854-7907
Norwalk City Hall
125 East Avenue, Room 122
Norwalk, CT 06851

TO: Economic and Community Development Committee

FROM: Jessica Vonashek, Chief of Economic & Community Development

DATE: June 6, 2024

RE: The City of Norwalk Modernization Project: Software Project Management Consulting Services Contract, Online Permitting and Licensing

The City of Norwalk manages a significant volume of permits and licenses crucial for new business ventures and developments, ensuring adherence to both local and state regulations. Annually, the Building Department and Planning and Zoning Department collectively issue up to 3,000 permits, while the Engineering Department issues approximately 750 permits. Each permit undergoes rigorous inspections, with detailed reports integrated into the City's ESRI GIS database.

These departments oversee a spectrum of tasks including contractor licensing, permit issuance, inspection management, compliance monitoring, violation rectification, fee collection, and comprehensive reporting. Additionally, the Health Department processes about 2,600 permits annually, conducts 2,950 inspections, and addresses 600 complaints. The city actively monitors and rectifies issues such as blight, zoning discrepancies, and other violations, responding to an average of 70 complaints per month, alongside addressing unresolved past complaints.

To manage these permits and violations efficiently, the retrieval of over 200,000 documents scattered across the city's various locations is imperative, involving meticulous effort from staff members.

From a customer service perspective, residents and applicants traditionally submit their permit applications in person at City Hall during office hours, necessitating multiple visits to different departments depending on the complexity of the request. The applicant physically moves the application from one department to another for approvals, while each department sifts through records to verify information pertinent to the request.

Due to the high volume and complexity of projects, businesses typically experience a 90-day turnaround time for receiving tenant fit-up permit approvals, with larger development projects requiring additional time due to inspections. This timeline includes the cumbersome

process of physically transferring applications between departments, a bottleneck that will be eradicated with the implementation of an online permitting and licensing software.

Aligned with the directives outlined in the Plan for Conservation and Development (2019) and the Efficiency Study (2021), the city is poised to adopt an online permitting and licensing system. This system will enable residents to digitally submit applications, facilitate concurrent departmental reviews, and streamline the issuance of permits. Furthermore, it will incorporate a comprehensive violation tracking mechanism, encompassing blight, zoning, and other infractions.

The modernization initiative will unfold in three phases. The initial phase encompasses a needs assessment, internal process enhancement, and the development of a request for proposal (RFP) for software selection. Subsequently, the second phase entails the procurement and implementation of the chosen software across all relevant departments. Finally, the third phase involves ongoing maintenance to address any identified gaps in the software and processes.

In Spring 2024, the city initiated Phase I of the modernization project by releasing an RFP. The objective was to engage a firm to analyze the current permitting and licensing workflow, identify industry best practices, assess existing software, and formulate an RFP for software acquisition. Additionally, the RFP sought a Project Manager for the software implementation phase.

Among the three responses received for Phase I, Berry Dunn emerged as the preferred candidate. The decision was unanimous among the participating departments, including Planning and Zoning, Business Development and Tourism, Health, IT, Public Works, and Procurement. Berry Dunn's extensive experience in successfully implementing online permitting and licensing software across more than 30 municipalities rendered them the ideal choice.

The city is set to commence work promptly with Berry Dunn, with an anticipated project timeline of 12 to 18 months.

Below is a breakdown of costs associated with this project:

Phase I: Software Project Management Consulting Services	\$150,000
Phase I: Documentation Digitization	\$300,000
Phase II: Software License Procurement	\$100,000
Phase II: Software/Process Installation	\$745,000
Phase III (potential)/Ongoing: Maintenance and Installation/Process Revisit and Licenses (Online Permitting and Licensing and Site Plan Review Software)	\$150,000

In total, the modernization project will cost approximately \$1.5M. Today, we have \$150,000 of ARPA funding allocated to the Phase I project management portion of this project. We have \$150,000 of ARPA funding and \$150,000 of capital funding (Planning and Zoning) allocated to the Phase I documentation digitization portion of this project. Funding for Phase

II, approximately \$845,000, will be requested as part of the Economic Community and Development capital budget for FY25/26. Ongoing software license costs, approximately \$25,000, will be requested as an Economic and Community Development operating item beginning in FY25/26.

ACTION: Authorize the Mayor, Harry W. Rilling, to execute an agreement with Berry, Dunn, McNeil & Parker, LLC for software project management consulting services in an amount not to exceed \$150,000.

Account: 13-700-013-13500-0000-5796-AEC15

Draft Scope of Work for Berry Dunn:

- Review and document current permitting, licensing, and violation procedures across relevant departments, including research and understanding of City Code, Ordinances, State Laws, etc.
- Assist in mapping a permit-flow and needs for development projects, considering capabilities and software needs.
- Review and document current software utilized by the city's permitting and licensing departments.
- Review and document the City's Land Records and database structures (parcel information, road segment information, GIS information)
- Evaluate the current document management software used by the city and provide recommendations for a streamlined approach.
- Assess the volume of undigitized documents in the permitting, licensing, and violations processes.
- Identify software solutions supporting diverse data types for permitting, plan reviews, project administration, code enforcement, inspections, citizen requests, with seamless GIS integration. Preferred software should include public-facing components such as payment options, online application submission, permit status tracking, inspection requests, and easy permit search functionality.
- Identify potential gaps in software functionality, integration opportunities with existing systems, and any compatibility issues, including but not limited to accounting/invoicing systems that meet each department's needs.
- Provide cost estimates and projected timelines for software adoption, installation, and full integration.
- Offer recommendations on the number of software seats based on user count and frequency of use.
- Develop an RFP on behalf of the City of Norwalk that can be used to select a vendor that will meet the City's needs.
- Continue to work with the city, as an ongoing resource, throughout the adoption and implementation of the selected software. Assist departments in integrating with the adopted software, including the process set up, integrating existing data into the new system, integrating payment capabilities and other elements of the integration.



PROPOSAL

City of Norwalk

Software Project Management Consulting Services (Project Number 4344)

BerryDunn

2211 Congress Street
Portland, ME 04102-1955
207.541.2200

Kevin Price, Project Principal
kprice@berrydunn.com

Austin Nichols, Project Manager
austin.nichols@berrydunn.com

Proposal Due Date:
March 20, 2024 before 2 p.m. EST



March 20, 2024

City of Norwalk Purchasing Department
Attn: Sharon Conners
125 East Avenue, Room 211
Norwalk, CT 06856-5125

Dear Sharon Conners and Members of the Evaluation Team:

On behalf of Berry, Dunn, McNeil & Parker, LLC (BerryDunn), thank you for the opportunity to submit this proposal in response to the City of Norwalk's (the City's) Request for Proposals (RFP) Project Number 4344 for Software Project Management Consulting Services. **We take pride in our history serving the City, having completed its Recreation and Parks Master Plan Update as a subcontractor to Kimley-Horn this past year, and we would welcome the opportunity to partner with the City again by way of this initiative.**

BerryDunn is a nationally recognized independent management and IT consulting firm founded in 1974 and headquartered in Portland, Maine. We have experienced sustained growth throughout our 50-year history by delivering a high level of service to clients in all 50 states—including dozens in the State of Connecticut (the State) and the New England region—Puerto Rico, and Canada. Our Consulting Services Team has been serving state, local, and quasi-governmental agencies for over 30 years, and we have more than 335 consultants with broad specialization across local government.

Proposing as the City's dedicated partner, **BerryDunn's Community Development and Utility Operations Practice (CDUO)** focuses on providing a variety of services related to municipal and county systems, regulations, processes, and fees. This practice brings functional area expertise across permitting, licensing, land management, zoning, inspections, planning, code enforcement, development, work order, asset management, and more. Of note to the City, we have conducted more than 100 system replacement projects and are familiar with all major licensing and permitting systems and their functionalities as a result.

As a principal in our Local Government Practice Group and leader of CDUO, I am authorized to bind BerryDunn to the commitments made herein. I can also positively commit that if chosen to partner with the City on this initiative, we will perform all requested services. Our proposal is a firm and binding offer valid for 90 days following the submission deadline of March 20, 2024. **That said, please consider me your primary point of contact should the City have any questions or updates during the evaluation process.**

Sincerely,

A handwritten signature in blue ink that reads 'Kevin Price'.

Kevin Price, MPP, PMP®, Prosci® CCP, Principal
2211 Congress Street, Portland, ME 04102
207-541-2379 | kprice@berrydunn.com

TABLE OF CONTENTS

Table of Contents	i
Section 1 – Executive Summary	1
Section 2 – Scope of Services	8
Section 3 – Project Team Organization and Staffing	11
Section 4 – Project Approach.....	16
Section 5 – Financial Strength.....	18
Section 6 – References	20
Section 7 – Timeline	28
Section 9 – Other Information	37
Section 10 – Forms	38
Appendix A – Resumes.....	39
Appendix B – Broader Systems Consulting Experience	47

SECTION 1 – EXECUTIVE SUMMARY

Introducing BerryDunn

BerryDunn is a nationally recognized independent management and IT consulting firm focused on inspiring organizations to transform and innovate. As a Limited Liability Company formed in 1974 with 65 principals and 34 owners, **BerryDunn employs more than 875 staff across eight offices, depicted in Figure 1.**

Figure 1: BerryDunn's Office Locations

Portland ME	Bangor ME	Manchester NH	Boston MA	Hartford CT	Charleston WV	Phoenix AZ	San Juan PR
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Our Consulting Services Team has been serving state, local, and quasi-governmental agencies for over 30 years and includes more than 335 staff members. From extensive project experience for more than 650 state, local, and quasi-governmental agencies, our team brings valuable perspectives to every engagement. Our firm provides a full range of professional services that supports our ability to complete tasks outlined by the City on this initiative. These include:

- **Business Process Improvement, Reviews, and Redesign**
- **Software Planning and Procurement**
- **Software Implementation Project Management and Oversight**
- **Organizational Change Management**
- Performance Analyses
- Organizational, Operational, and Staffing Analyses
- Cost of Service and Fee Studies
- IT Assessments and Strategic Planning
- Comprehensive/Master Planning
- Enterprise and Departmental Strategic Planning
- Project Assessments and Remediation
- Leadership and Organization Development

Additionally, our team members have prior experience leading state and local government agencies, providing them with an in-depth understanding of government operations, staffing needs, budgetary constraints, and the business processes required to provide necessary services to the internal divisions and the constituents the City serves.

Figure 2, on the following page, illustrates the overall organization of BerryDunn's Local Government Practice Group. We provide unparalleled expertise and unique insights across these practices, supporting our clients in solving some of their biggest challenges and addressing opportunities to improve and plan.

Figure 2: Local Government Practice Group Specialization



As mentioned, CDUO will serve the City on this initiative. This practice focuses on municipal and county systems, regulations, processes, and fees related to permitting, licensing, land management, zoning, inspections, planning, code enforcement, development, work order, and asset management functions. Our familiarity with these functional areas both in our consulting work and our team members' prior experience serving in the local government landscape will help ensure we effectively assess the City's current environment and prepare for a sounder future licensing and permitting state.

Why Choose the BerryDunn Team?

We would consider it a privilege to serve as the City's partner on this project. We have led dozens of comparable projects in the local government landscape; bring strong functional area expertise; offer a strong presence in the State and the New England region; and possess many other attributes that other proposers would be troubled to match. Below and on the following page, we further describe the value we offer the City on this important effort.



Comfort in working as a team

Not only is our proposed team experienced in delivering relevant consulting services, but they are also experienced in delivering these services together. As a result, they can deliver exceptional outcomes, as our approach is developed to play well to each team member's strengths. To provide a recent example, Kevin Price, Austin Nichols, and Joseph Bergeon are currently serving as part of a project team for City of Denton, Texas as we assist them in selecting a new

software system to manage planning, permitting, inspections, and code enforcement functions. This project has remained on schedule and the software system RFP was released earlier this month.



Highly skilled and knowledgeable project team members

CDUO is composed of highly skilled and knowledgeable project team members who leverage industry best practices and guiding principles in conducting their work. Assigned to the City's project team, we have two individuals certified by the American Institute of Certified Planners (AICPs) and leverage this to help ensure the recommendations we develop align with relevant standards. These AICPs also have familiarity working in the State's local government landscape and bring that firsthand knowledge to the projects they conduct. To complement that, we are including a geographic information system (GIS) subject matter expert (SME). This GIS SME will help to evaluate the City's lands records and databases structures to seamlessly integrate these elements into the City's future solution.



A proactive approach to conducting activities across the system replacement life cycle

Our approach is multifaceted and considers how early activities impact the success of the eventual implementation effort. As we seek to gain a clear understanding as to the full scope of the current environment, we will seek to mitigate challenges that are most common and develop recommendations that will make the strongest impact. We bring familiarity across the full system replacement life cycle, and as a result, we add value at every step and can proactively plan for a more streamlined implementation process.



Independence and objectivity

Central to our identity is the preservation of our independence and objectivity. Our team has many years of large-scale enterprise business process, system advisory, and implementation experience, but our firm does not sell, develop, or provide staff augmentation services for software, hardware, or implementation vendors. Further, we do not have any preferred vendors and the City will not find our name listed as partners, affiliates, or sponsors of any vendor, nor does BerryDunn sell hardware or software products. This—along with our BerryDunn Bridge program—allows us to provide unbiased system consulting services and only work in the City's best interests at all times when procuring for a suitable licensing and permitting system.



A tailored approach rooted in proven methodologies and based on the City's specific needs. Our work for the City will be guided by established project management methodologies and best practices as defined by the Project Management Institute® (PMI®). These methodologies provide a proven framework for leading any type of project—keeping it on time, on

budget, and progressing at a healthy pace. We are also well-versed in business process mapping software—particularly BPMN 2.0—allowing us to visually depict as-is and to-be environments, confirm our understanding of our clients’ current and desired processes, and help ensure optimal efficiency and productivity. We will leverage these and other tools, as well as remain flexible to the nuanced needs of the City, to effectively guide and support this effort.

Relevant Experience

Our Commitment to Serving Clients in the State

As noted in our cover letter, we have extensive experience serving clients in the State and the New England region. **This experience includes a prior project with the City itself.** Just last year, BerryDunn’s specialized Parks, Recreation, Libraries Practice completed the City’s Recreation and Parks Master Plan Update.

Additionally, our proposed planning and development subject matter experts, Khara Dodds and Samuel Eisenbeiser, have extensive experience leading planning, community, and economic development departments in the State.

Khara previously served as:

- Director of Planning and Community Development for the Town of Glastonbury
- Director of Planning and Economic Development for the Town of Plymouth
- Director of Planning for the City of Hartford Department of Development Services.

As such, she understands the local and regional requirements, trends, and best practices that may influence the City’s efforts related to these areas.

Samuel previously served as:

- Economic Development Specialist for the Towns of Groton
- Economic Development Coordinator for North Stonington

In those roles, he facilitated local business retention and expansion across Connecticut, including site finding, administering tax abatement and grant programs, technical assistance, and industry support.

Khara and Sam’s prior local government experience in the State combines with BerryDunn’s recent project experience, shared below, to deliver exceptional outcomes to the City.

- | | |
|--|---|
| • City of Norwalk (as a subcontractor to Kimley-Horn) | • Southern Connecticut State University |
| • City of Waterbury | • Town of Cromwell |
| • State Department of Children and Families | • Town of Greenwich |
| | • Town of Groton |
| | • Town of Manchester |

- State Department of Public Health
- State Department of Social Services
- Silver Fern Healthcare
- University of Saint Joseph
- Wesleyan University

Industry Project Experience Highlights

We take pride in our long history working directly with permitting, land management, development services, community development, planning, and building departments. From this experience, we have gained an in-depth familiarity and understanding of the complexity of the services the City provides, as well as its customers and the systems and processes that support the delivery of services to customers.

Table 1 presents highlights of our relevant experience for the City’s review, particularly projects where permitting and/or licensing were in scope or technology and/or business processes were being modernized. References to Community Development systems refer to systems used to manage planning, permitting, inspection, code enforcement, and licensing processes.

Table 1: Relevant Industry and Project Experience Highlights

Client	Worked Performed
City of Attleboro, MA	Development Review Process Improvement Services
City of Beaverton, OR	Community Development System Selection and Implementation Project Management
City of Boca Raton, FL	Community Development System Selection and Implementation Assistance
City of Boston, MA	Business Process Mapping and Improvement of Right-of-Way Coordination and Management
City of Broken Arrow, OK	Community Development System Selection and Implementation Project Management Assistance
City of Denton, Texas	Community Development
City of Detroit, Michigan	Housing and Revitalization Department Software Needs Assessment and Requirements Development
City of Farmers Branch, TX	Community Development System Selection and Implementation Project Management Assistance
City of Fort Worth, TX	Structural Efficiency Study for Development Services Department
City of Frisco, TX	As-Is Process Diagramming and Improvement Recommendations for Plan Review Processes

Client	Worked Performed
	Electronic Plan Review (EPR) System Selection and Implementation Oversight
City of Hillsboro, OR	Community Development System Selection Assistance
City of Irvine, CA	Community Development Permit Software Needs Assessment and Implementation Project Management Services
City of Leander, TX	Development Process Review
City of Miami Beach, FL	Review of Regulations and Processes Relating to Development Projects
City of Philadelphia, PA	Philadelphia Water Permit Tracking Replacement System
City of Plano, TX	Development Services Solution Selection and Implementation Project Management Assistance
City of Puyallup, WA	As-Is Business Process Diagramming for Community Development Functions
City of Richland, WA	Community Development Business Process Review
City of Rockville, MD	Community Development Business Process Mapping, Analysis, and Training
City of Scottsdale, AZ	Community Development System Selection Assistance
City of Tucson, AZ	Community Development System Selection Assistance and Implementation Support
City of Wilmington, NC	Community Development System Selection and Implementation Project Management
City of Woodinville, WA	Permitting Operations Improvement Implementation
Town of Wells, ME	Permitting Process Review
Village of Schaumburg, IL	Permitting and Inspections Operational Study
Clark County, WA	Environmental Public Health System Selection and Implementation Project Management
Doña Ana County, NM	Community Development System Selection Assistance
Maui County, HI	Needs Refinement and Permit Software Acquisition
Pitkin County, CO	Community Development System Selection and Implementation Assistance
Pitkin County, CO	Community Development Department Process Review

Client	Worked Performed
Sonoma County, CA	Management Study for Permitting and Resource Management Department
Travis County, TX	Consultation Development Review Process and Fees

Our broader local government systems consulting experience is provided in Appendix X for the City's further review and consideration.

SECTION 2 – SCOPE OF SERVICES

Project Understanding

Permitting and licensing are critical functions for the City of Norwalk. The City serves as a leader in attracting new businesses and investment, and efficient and effective permitting and licensing processes are critical in accommodating new developments and minimizing adverse impacts. The City currently issues over 6,000 permits collectively across its Building, Planning and Zoning, Engineering, and Health Departments, as well as conducts several thousand inspections annually. While the focus of this project is to adopt a software solution that will facilitate an efficient and effective permitting and license process for residential and commercial projects, the City also recognizes the importance of integrating its future system with other departments, like the Health Department and others, to help ensure data share is consistent, accessible, reliable, and accurate.

The City seeks partnership with a highly qualified consulting team to guide and support this effort. The ideal consulting team will:

- Review and document the current state
- Infuse understanding and research of City Code, Ordinances, and State Laws in their analysis
- Map relevant business processes
- Provide recommendations for a more streamlined approach
- Develop an RFP
- Analyze and help to identify well-suited future solutions
- Support and advise during selection activities
- Support contract negotiations and implementation efforts

BerryDunn brings extensive experience providing these services and would welcome the opportunity to partner with the City in its licensing and permitting modernization effort.

Work Plan Overview

BerryDunn strives to be flexible when it comes to developing and executing an effective work plan. **We understand that no two projects are exactly alike, and our past clients have appreciated our willingness to adapt to their needs.** This mindset plays a foundational role in how we measure the success of our portfolio of similar projects.

The City can expect our approach to offer the following key benefits:

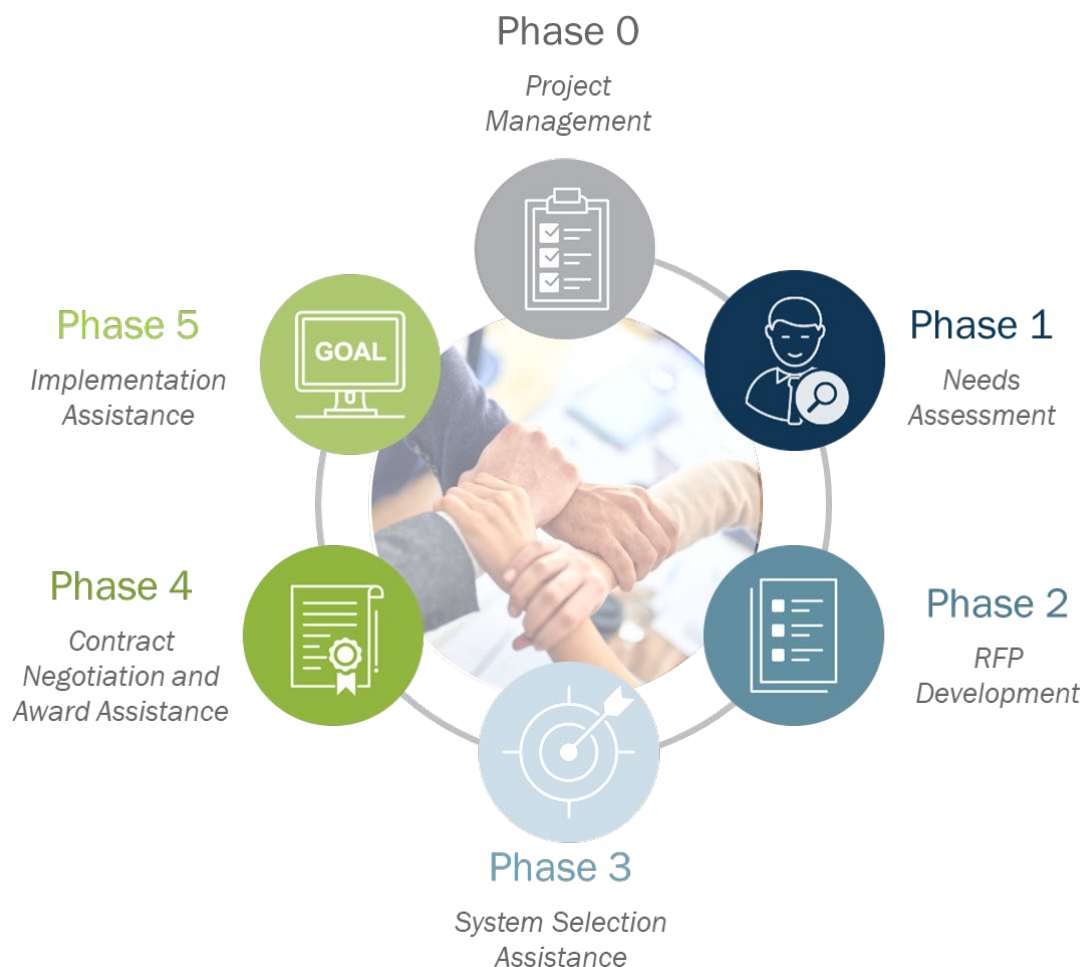
- A methodology based on our extensive experience conducting similar projects
- Quality assurance processes that incorporate the City's review and approval of all deliverables and key milestones
- Built-in project management and change management best practices—focused on keeping the project on time, on budget, and progressing at a healthy pace—for the

City's stakeholders to understand why and how findings and recommendations will improve the current licensing and permitting environment

- A needs assessment that will include all functional areas within scope, and focus on how those areas interact with each other and integrate with existing systems
- Thorough business process improvement activities, helping the City identify root causes of process and/or system deficiencies
- A focus on taking full advantage of the newest technology and harnessing efficiencies by reviewing business practices or implementing technology to enhance existing business processes performed by individual departments and those performed across the City
- An ability to satisfy all requirements set forth in the City's scope of work

Figure 3 presents an overview of our work plan intended to address all elements of the City's requested scope of services.

Figure 3: Project Work Plan Overview



The City's Assigned Support Team

We briefly describe our assigned team's qualifications, emphasizing this project's expertise and our prior association with them, in the narrative that follows.

BerryDunn

2211 Congress Street
Portland, ME 04102

As mentioned, **BerryDunn** brings 30 years of experience and a track record of conducting more than 100 related system replacement projects to the City's initiative. Leveraging our independence and objectivity, we actively guide clients in their modernization efforts, looking closely

at ways in which they can improve business processes or better take advantage of technology to be more efficient and effective in how they operation. BerryDunn previously partnered with the City on its Recreation and Parks Master Plan Update and will leverage existing familiarity as appropriate.

Croswell-Schulte IT Consultants

406 Winners Circle
Frankfort, KY 40601

We have carefully selected a subcontractor for this engagement, **Pete Croswell of Croswell-Schulte IT Consultants**. Pete has a wide array of IT and GIS experience. Pete has worked as an IT user, manager, and consultant for the last 30 years, providing IT and GIS planning, design, and project and program management primarily to public-sector

and utilities organizations. Pete has partnered with BerryDunn on more than 20 IT assessment, planning, and procurement support projects, and is proposed as a GIS and Land Records SME for the City's initiative.

SECTION 3 – PROJECT TEAM ORGANIZATION AND STAFFING

Organizational Structure

We are pleased to propose a project team with in-depth experience leading process improvement initiatives with municipal permitting and licensing departments, as well as multi-disciplinary backgrounds in the public sector. We pride ourselves on project team cohesiveness, and our culture fosters clear communication, an understanding of team members' responsibilities, and the expectation to support each other throughout the project. While our project team members individually bring expertise to this project, as a group they will provide the City with a strong, objective team that establishes credibility, professional trust, and cooperative working relationships with the City's project manager, staff, and internal and external stakeholders alike. **Figure 4 depicts our project team's organizational structure.**

Figure 4: Project Team Organizational Structure



Roles, Responsibilities, and Qualifications

Below, we provide details of our project team members' roles, responsibilities, and key qualifications for the City's further review and consideration. **Full resumes are provided in**

Appendix A. We have included estimated percentages to present how the project effort will be divided among our team members.



Kevin Price | Project Principal

MPP, PMP®, Prosci® CCP

Estimated Time on the Project: 10%

Kevin is a principal in BerryDunn's Local Government Practice Group. He leads CDUO, assisting agencies like the City with business process improvement, system selection and implementation, and fee analysis projects. He has led business process improvement, system selection, and strategic planning projects for some of BerryDunn's most complex local government clients, including the City of Boston, Massachusetts; the City of Philadelphia, Pennsylvania; the City of Detroit, Michigan; and the City of Dallas, Texas. A certified Project Management Professional® (PMP®), Kevin has extensive experience in assessing the business needs and processes of municipal clients for licensing, permitting, inspections, planning, code enforcement, and land management functions. Kevin is also a Lean Six Sigma Green Belt, allowing him to continuously define, measure, analyze, improve, and control projects and environments for his clients.

As **project principal**, Kevin will:

- Have overall responsibility for the services we have proposed to the City
- Help ensure the commitment of our firm and appropriate resource allocation
- Review and approve all deliverables in accordance with BerryDunn's quality assurance processes



Austin Nichols | Project Manager

MPA

Estimated Time on the Project: 25%

Austin is a senior consultant in our Local Government Practice Group and specializes in leading software system replacement projects, both as a consultant and former local government leader. Having led multiple software system replacement projects, Austin excels by developing action plans through understanding stakeholder requirements, setting goals with measurable outcomes, managing project risks and issues, and providing transparent communication throughout the life cycle of the effort. He has successfully managed the implementation of large-scale projects, including enterprise resource planning (ERP) and computer-aided dispatch (CAD)/record management systems (RMS), developed a mobile app to connect citizens to city services, and led a Work Smarter initiative to reduce cost and increase the efficiency of utility and public works departments.

As **project manager**, Austin will:

- Act as the primary liaison with the City

- Be responsible for maintaining a constructive and clear line of communication between the City's staff and BerryDunn
- Monitor project progress
- Track the initiation and completion of tasks and milestones



Joseph Bergeon | Business Analyst

BS

Estimated Time on the Project: 30%

Joseph is a consultant in our Local Government Practice Group and regularly supports CDUO. Joseph brings experience in government and community engagement at the local and federal levels. Joseph is focused on operational management, business process improvement, and analytical review for government institutions in the education, legislative, and community governance fields. Joseph has served in a similar role for the Cities of Denton and Fort Worth, Texas.

As **business analyst**, Joseph will:

- Assist the project team with facilitating meetings, preparing status reports, and developing project deliverables in a timely manner



Kate Offerdahl-Joyce | Procurement Lead

NIGP-CPP

Estimated Time on the Project: 10%

Kate is a senior consultant in our Local Government Practice Group who focuses on procurement and contract analysis—having led more than 30 municipal clients through comparable system selection projects. They bring more than 11 years of procurement, process improvement, and recommendation implementation experience. With a strong background in project management, Kate has hands-on experience working with a wide array of teams and organizations to improve business processes to be more efficient, user-friendly, and time and cost-effective. Kate is also a National Institute of Governmental Purchasing Certified Procurement Professional.

As **procurement lead**, Kate will:

- Oversee the RFP process with the City as well as provide perspective on procurement processes and compliance best practices



Khara Dodds | Planning and Development SME

AICP, MCRP

Estimated Time on the Project: 5%

Khara is a senior consultant in BerryDunn's Local Government Practice Group. She often leads analysis and recommendations development activities on engagements led by CDUO. She is an AICP-certified planner with over 13 years of leadership experience and 20 years of planning and community engagement expertise. Khara has led various departments in planning and land use services, economic development, code enforcement, and inspections services, most recently as the Director of Development Services for the Town of Prosper, Texas, and as Director of Planning and Land Use Services for the Town of Glastonbury, Connecticut. Khara is a member of BerryDunn's Diversity, Equity, Inclusivity, Belonging, and Accessibility (DEIBA) Council, specifically the Systemic Barrier Subcommittee, and she is certified in Equitable Community Change through eCornell University. She offers a unique and critical skillset to every initiative in which she participates, and specializes in planning and implementation, leadership, and process improvement.



Sam Eisenbeiser | Planning and Development SME

MCP, AICP

Estimated Time on the Project: 5%

Sam is a senior consultant in BerryDunn's Local Government Practice Group. An AICP-certified planner with over 20 years of experience, he specializes in fostering economic development at the community level. He believes in the potential of quality planning to build local economies and vibrant places, and he considers community engagement and data analysis as integral to this work. Sam has recent experience as an economic development specialist for the Town of Groton, Connecticut, where he led a branding and marketing effort, including the creation of a digital marketing campaign for the town. He also played an instrumental role in creating a comprehensive economic development strategy (CEDS) for the region which earned recognition from the National Association of Development Organizations as innovative and representative of best practices. Thanks to his recent public-sector experience, Sam has firsthand experience leading communities—including business stakeholders—through challenging situations, whether that's a pandemic or an extreme weather event. He understands how to generate consensus and provide innovative insights that keep communities moving forward.

As **planning and development SMEs**, Khara and Sam will:

- Provide specialized knowledge and assistance on relevant operations within the City, drawing upon their prior public-sector and project experience
- Contribute relevant regional expertise when and where it most benefit the City



Pete Crowell | GIS and Land Records SME

PMP®, GISP, CMS

Subcontractor

Estimated Time on the Project: 15%



Pete has over 40 years of experience in IT requirements assessment, business process evaluation, IT planning, quality assurance, and project management. He began his career as an IT analyst and manager for a local government organization and, for the past 30 years, has worked as a consultant for a wide range of public-sector organizations—including IT-related projects for over 45 local governments in the U.S. and Canada. He combines detailed technical expertise with seasoned management and communication skills. He is a certified PMP® and an author of many professional publications on IT management and technical topics. In addition to his consulting work, Pete is an adjunct instructor for the Penn State University Dutton E-Education Institute teaching courses on IT project management. He has in-depth experience with a range of systems important for local government operations including ERP and financial management, GIS systems and structures, infrastructure asset management, plan/permit management, document management, and public safety dispatch and records management.

As **GIS SME**, Pete will:

- Support our review of the scope and organization of the City's GIS environment
- Support the development of our written deliverables
- Help facilitate fact-finding interviews with stakeholders

SECTION 4 – PROJECT APPROACH

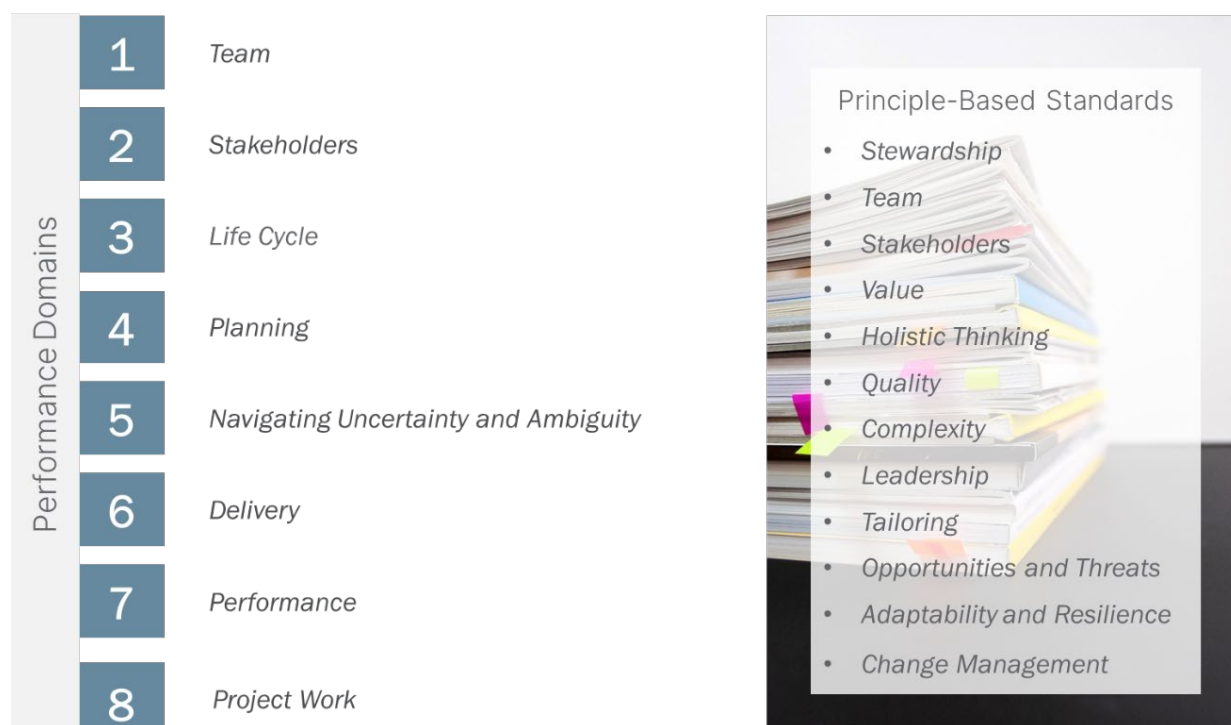
Applied Methodologies

Project Management Methodology

To help ensure that project objectives are met, and initiation and completion of project work are conducted in a timely manner, each BerryDunn project is led by an experienced project manager who understands and utilizes project management best practices. Our Consulting Services Team employs project management best practices from PMI®'s A Guide to the Project Management Body of Knowledge® Guide (PMBOK® Guide). Of note to the City, our proposed project principal, Kevin Price, is a certified PMP® and highly skilled in keeping projects on time, on budget, and progressing at a healthy pace.

Figure 5 illustrates the standards of project management as defined by performance domains and project delivery principles that are critical for effective delivery of project outcomes.

Figure 5: Performance Domains and Project Management Guiding Principles



Change Management Methodology

Stakeholders' willingness to adopt new processes and tools plays a significant role in the success—or failure—of related projects. We have observed resistance to change in virtually all our engagements, and we will work with you to proactively address resistance by:

- Engaging stakeholders at the right level throughout the project to build understanding for the need for change and gain support from the people who will be using the future solutions and who are most familiar with current licensing and permitting processes
- Developing and executing a communications plan that considers the information needs of each stakeholder group
- Documenting business processes and working with stakeholders to understand how their work will be performed in the future environment

We have adopted the Prosci® change management methodology and trained over 100 consultants to become Prosci® Certified Change Practitioners (CCPs). **A central focus of the Prosci® change management approach is the belief that, for change to work in an organization, individuals must be willing to change and understand change.** Additionally, according to research conducted by Prosci®, the likelihood of project success increases significantly and in alignment with the level of change management focus applied to the project. Even small increases in focus on change management are likely to have a positive impact on project success.

Figure 6: Change Management's Impact on Project Success



We proudly tailor our projects to recognize the work our clients do every day. We care about what we do, and we care about the people impacted by our work.

SECTION 5 – FINANCIAL STRENGTH

As a privately held Certified Public Accounting and Consulting firm, BerryDunn is not required to prepare audited or un-audited financial statements; however, the financial information and exhibits provided in this section exemplify the strong financial condition of our firm. BerryDunn has sustained steady growth during our 50-year history.

Should the City require additional information regarding BerryDunn’s financial stability, we would be pleased to provide that at your request. Additionally, for more information on BerryDunn’s financial stability, you may contact William Schad, Vice President, Commercial Lending at TD Bank in Portland, Maine, at 207-761-8612 or by email at william.schad@tdbanknorth.com.

Figure 7 presents BerryDunn’s revenue for the previous 20 fiscal years.

Figure 7: BerryDunn Yearly Revenue (in millions) Previous 20 Fiscal Years

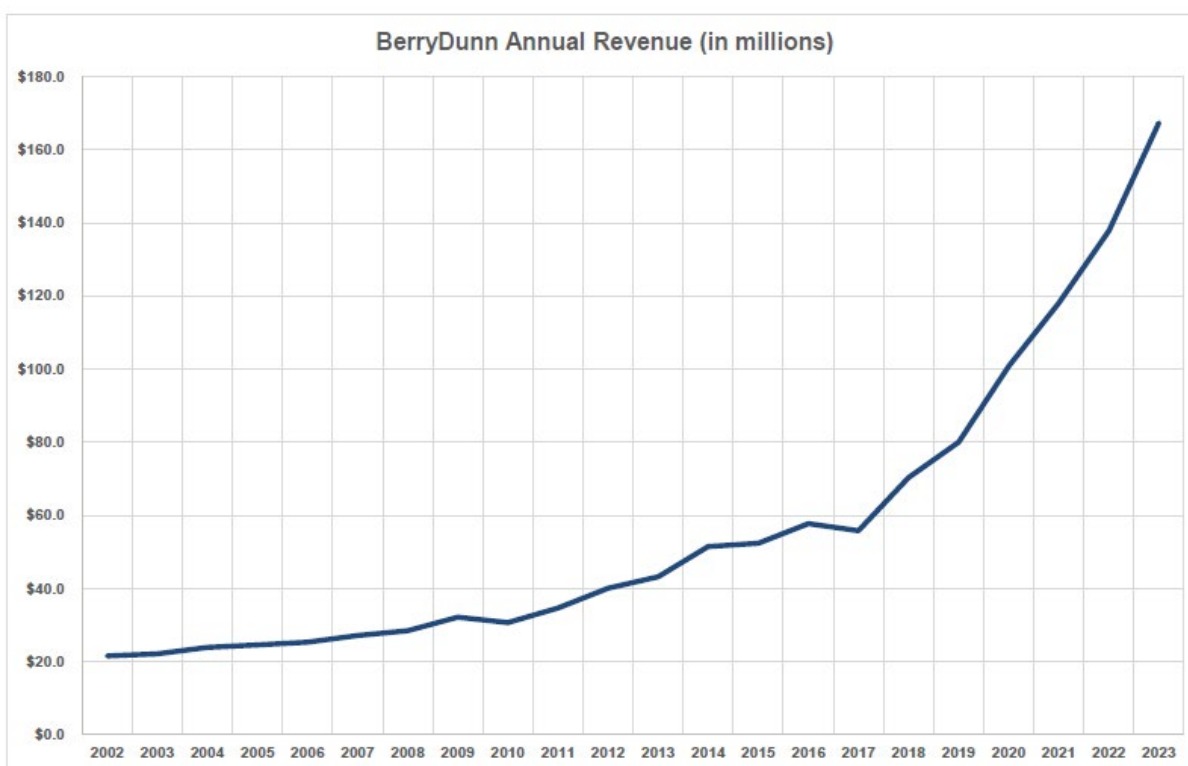


Figure 8 provides BerryDunn's Condensed Financial Information for the previous three fiscal years.

Figure 8: Condensed Financial Information for the Years Ended June 30

Berry Dunn McNeil & Parker Condensed Financial Information For the Years Ended June 30			
	FY21	FY22	FY23
Current Assets	\$ 42,783,489	\$ 38,427,950	\$ 49,042,301
Fixed Assets, Net	6,388,402	8,438,942	7,766,750
	<u>\$ 49,171,891</u>	<u>\$ 46,866,892</u>	<u>\$ 56,809,051</u>
Current Liabilities	20,886,863	13,310,193	15,183,332
Shareholder Equity	28,285,028	33,556,699	41,625,719
	<u>\$ 49,171,891</u>	<u>\$ 46,866,892</u>	<u>\$ 56,809,051</u>
Operating Revenue	118,086,764	137,885,236	167,391,491
Salary & Benefits	(72,173,444)	(90,601,668)	(108,199,321)
Depreciation & Amortization	(1,061,243)	(1,254,131)	(1,743,010)
Interest Expense	(27,998)	(109,232)	(312,742)
All Other Operating Expenses	(23,565,673)	(30,253,836)	(36,055,418)
Net Income	<u>\$ 21,258,406</u>	<u>\$ 15,666,369</u>	<u>\$ 21,081,000</u>
The above information is confidential and proprietary to Berry, Dunn, McNeil & Parker. Any inquiries or requests for additional information should be direct to Sarah Belliveau, CEO.			

SECTION 6 – REFERENCES

Below, we provide five references for whom we provided similar services. We are happy to provide additional information upon request.

Reference 1

Client/Agency Name	City of Scottsdale, Arizona
Contact Name and Title (project manager role preferred), Telephone, and Email	Stacy Westerholm Systems Integrator Supervisor 480-312-3111 swesterholm@scottsdaleaz.gov
Number of Projects Completed for Client/Agency	1
Project Names	Planning, Permitting, and Code Enforcement System Selection Assistance
Project Descriptions	BerryDunn was selected by the City to assess current permitting systems and select a solution for the future. The City was using custom software, much of which was built in-house over 20 years ago. BerryDunn is working with the City to negotiate a contract with their selected vendor. BerryDunn's contract to provide implementation project management during the system implementation is being brought to City Council for approval on April 2.
Project Approach and Methodology	Recognizing a need to modernize, BerryDunn conducted a current environment assessment report, as-is process diagrams, recommendations for improvement report, finalized functional and technical requirements, and an RFP package.
Year of Project and Length of Project	06/2022 to present, planned completion date is 4/2024
Project Budgets and Final Invoiced Amount	\$270,960, \$251,632.64 has been invoiced to-date. The remaining amount is for remaining contract negotiation and award support.
Contractor Personnel Assigned to Project and Project Role:	Kevin Price, Principal Austin Nichols, Project Manager

Reference 2

Client/Agency Name	City of Plano, Texas
Contact Name and Title (project manager role preferred), Telephone, and Email	Elizabeth Johnson Assistant to the City Manager 972-941-5183 ejohnson@plano.gov
Number of Projects Completed for Client/Agency	3, 4 th is in-progress
Project Names	TRAKiT Assessment Building inspections Process Improvement Project Community Development System Selection Project Community Development System Implementation Project Management Support
Project Descriptions	BerryDunn is currently assisting the City of Plano with comprehensive project oversight services for the Development Services Software Replacement project. This includes management and oversight of multiple vendors, creating and maintaining an internal schedule for City staff and implementing organizational change management. BerryDunn previously assisting the City with a Development Services System Replacement Project. This project involved pre-RFP vendor demonstrations, development of functional and technical requirements, RFP development, system selection assistance, and contract negotiation assistance. The City selected Unisys and Avolve to implement the Clariti and ProjectDox systems.
Project Approach and Methodology	TRAKiT Assessment - Assessment of existing software system through document review, staff surveys, and interviews with staff - Analysis of options to upgrade or replace Building inspections Process Improvement Project

Client/Agency Name	City of Plano, Texas
	- Customer engagement - As-Is Process Diagramming - Recommendations for Improvement Community Development System Selection Project - Pre-RFP Demonstration Facilitation - Requirements and RFP Development - System Selection Assistance - Contract Negotiation Support Community Development System Implementation Project Management Support - Project Management support focused on overall risk and issue management - Participation in vendor analysis sessions - Leading a data scoping effort to plan for data not in the current TRAKiT system
Year of Project and Length of Project	TRAKiT Assessment: 04/2021 to 11/2021 Building inspections Process Improvement Project: 09/2021 to 01/2022 Community Development System Selection Project: 01/2022 to present
Project Budgets and Final Invoiced Amount	TRAKiT Assessment: \$39,880 Building inspections Process Improvement Project: \$28,320 Community Development System Selection Project: \$96,750 Community Development System Implementation Project Management Support: \$923,950, \$223,986.26 invoiced to-date
Contractor Personnel Assigned to Project and Project Role:	Kevin Price, Principal Austin Nichols, Project Manager

Reference 3

Client/Agency Name	City of Denton, Texas
Contact Name and Title (project manager role preferred), Telephone, and Email	Erin Matheson IT Project Manager 940-349-7183 erin.matheson@cityofdenton.com
Number of Projects Completed for Client/Agency	1, 3 are in-progress
Project Names	Citywide IT Strategic Plan Land Management System Selection Project
Project Descriptions	BerryDunn worked with the City of Denton to develop an IT Strategic Plan focused on elements such as IT department policies, practices, standards, and risk profiles; as well as the organization's technology services and solutions— developing recommendations for these areas to align with best practices and the City's mission, vision, and goals. As an outcome of the IT Strategic Plan project, the City opted to move ahead with a Land Management System Selection Project to replace the system currently used for managing planning, permitting, code compliance, inspections, and licensing processes. BerryDunn is currently assisting the City with this project and will be supporting the City through the selection phase and is under contract to provide project management during the implementation phase.
Project Approach and Methodology	The final IT Strategic Plan identified existing challenges and strategically planned projects and initiatives to address those challenges over five years of planned improvements. For the Land Management System Selection Project, BerryDunn is currently assisting the City with completion of the needs assessment phase and will be proceeding with requirements and RFP development in January 2023.
Year of Project and Length of Project	Citywide IT Strategic Plan: 08/2021 to 08/2022

Client/Agency Name	City of Denton, Texas
	Land Management System Selection Project: 08/2023 to present
Project Budgets and Final Invoiced Amount	Citywide IT Strategic Plan: \$74,840 Land Management System Selection Project: \$106,940, \$63,670.75 invoiced to-date
Contractor Personnel Assigned to Project and Project Role:	Kevin Price, Principal Austin Nichols, Project Manager Joseph Bergeon, Business Analyst

Reference 4

Client/Agency Name	City of Tempe, Arizona
Contact Name and Title (project manager role preferred), Telephone, and Email	Ryan Hile Business Systems Supervisor 480-350-8332 ryan_hile@tempe.gov
Number of Projects Completed for Client/Agency	1
Project Names	EPR Process Diagramming and System Selection
Project Descriptions	In late 2022, the City of Tempe sought implementation of an EPR system with its current Accela permitting software system. In advance of this effort, the City selected BerryDunn to conduct business process diagramming for the Community Development Department's existing planning, permitting, plan review, inspection, and code enforcement processes; provide recommendations for improvements; and develop requirements for the new EPR system.
Project Approach and Methodology	We provided the City with functional and technical requirements and prepared the City for the RFP stage of the software selection process.

Client/Agency Name	City of Tempe, Arizona
Year of Project and Length of Project	11/2022 to 07/2023
Project Budgets and Final Invoiced Amount	\$79,540
Contractor Personnel Assigned to Project and Project Role:	Kevin Price, Project Principal Austin Nichols, Project Manager Kate Offerdahl-Joyce, Procurement Lead

Reference 5

Client/Agency Name	City of Boca Raton, Florida
Contact Name and Title (project manager role preferred), Telephone, and Email	Sandra Stevens Director of Information Technology 561-393-7724 sstevens@myboca.us
Number of Projects Completed for Client/Agency	2
Project Names	ERP System Selection and Implementation Assistance Community Development System Selection and Implementation Assistance
Project Descriptions	Enterprise Resource Planning System Selection and Implementation Assistance: BerryDunn assisted the City of Boca Raton in evaluating its needs with respect to replacement ERP, community development, and utility billing (UB) systems. The City also awarded BerryDunn a contract for additional project phases to include requirements definition, development of system RFPs, system selection, and negotiation of the system contracts. We are provided implementation project management for the City's implementation of Oracle ERP, Advanced Utilities UB and CIS, and EnerGov Community Development. In March 2021, the

Client/Agency Name	City of Boca Raton, Florida
	City contracted BerryDunn to assist with the needs assessment, procurement, and implementation oversight of a golf management system as part of the ERP engagement. In May 2021, the City contracted BerryDunn to assist with the needs assessment, procurement, and contract negotiations for a pension management software solution as part of the ERP engagement. Community Development System Selection and Implementation Assistance: BerryDunn assisted the City in replacing its community development system, which included planning, permitting, inspections, business licensing, and code enforcement functional areas. Following the selection of the preferred vendor, the City contracted with BerryDunn to provide project management during the system implementation. BerryDunn has also assisted the City with the replacement of its ERP, utility billing, community development, pension management, and golf management systems.
Project Approach and Methodology	Enterprise Resource Planning System Selection and Implementation Assistance: BerryDunn assisted the City with a current environment assessment and the development of three separate RFPs (ERP, Community Development, and UB). BerryDunn then assisted with the evaluation and selection of replacement software systems and then provide project management services during the system implementations. Community Development System Selection and Implementation Assistance: Our work involved requirement development, RFP development, system selection assistance, and contract negotiation assistance.
Year of Project and Length of Project	ERP System Selection and Implementation Assistance: 06/2015 to 03/2023 Community Development System Selection and Implementation Assistance: 07/2023 to 03/2023
Project Budgets and Final Invoiced Amount	ERP System Selection and Implementation Assistance: \$733,000

Client/Agency Name	City of Boca Raton, Florida
	Community Development System Selection and Implementation Assistance: \$489,510
Contractor Personnel Assigned to Project and Project Role:	Kevin Price, Project Principal

SECTION 7 – TIMELINE

Detailed Scope of Work

Below and on the following pages, we outline the key steps and milestones the City can expect from our approach. We will approach this project with a focus on developing recommendations that align fact-finding outcomes, assessment results, stakeholder feedback, and more.



Phase 0: Project Management

0.1 Conduct initial project planning and a project kickoff call. We will conduct an initial project planning and project kickoff teleconference with the City's project management team to introduce key team members, clarify goals and objectives, identify known project constraints, and refine dates and/or tasks, as appropriate. We will discuss our approach for managing communications, scope, risks, and resources. We will also request names and contact information for the appropriate City staff members involved in the project.

0.2 Develop a Project Work Plan and Schedule. Based on the information gathered from our initial project planning and project kickoff teleconference, we will develop the Project Work Plan and Schedule. In addition to the components gathered from Task 0.1, the Project Work Plan and Schedule will address our approach to providing the services requested by the City, the agreed-upon time frame for each task, and agreed-upon procedures between our project team and the City's related to project control, including quality management and deliverable submission/acceptance management.

➞ Deliverable 1 – Project Work Plan and Schedule

0.3 Develop Biweekly Project Status Updates. Throughout the project, our project manager, Austin Nichols, will provide Biweekly Status Updates that describe the activities and accomplishments for the reporting period, plans for the upcoming month, risks or issues encountered during the reporting period, and anticipated problems that might impact any project deliverable. We will meet with the City's project manager to review the status updates.

➞ Deliverable 2 – Biweekly Project Status Updates



Phase 1: Needs Assessment

1.1 Develop and issue a web survey and an information request. We will develop and distribute a web survey to City staff to understand issues and challenges with current business processes. We anticipate that this survey will be issued to the core department stakeholders and used to help determine the current challenges and areas for improvement. Prior to issuing the web survey, we will review the

questions with the City's project team to solicit feedback before finalizing. We will use the survey results as one of many data points in developing our evaluation of the current environment.

Additionally, prior to conducting our work, we will provide the City's project team with an information request sheet to help gather available documentation to support the work effort (e.g., organizational charts, documentation on existing systems, and policy documentation). We will respectfully request that the City's project team provide the documentation prior to the project kickoff presentation and Fact-Finding Meetings, as reviewing this information in advance of our work will enable us to be more efficient, become more knowledgeable of the current environment, and make best use of City personnel's time.

1.2 Review the results of the web survey and information request. We will review the results of the web survey and the information request once completed. As mentioned, this preliminary work will help us to establish a foundational understanding of the City's current environment and inform upcoming Fact-Finding Meetings. It will also minimize the time needed to familiarize our team to the City's business processes, thereby limiting the burden on City staff.

1.3 Facilitate a project kickoff presentation. We will prepare for and facilitate a project kickoff presentation with City project stakeholders that will serve as an opportunity to introduce our project team members, discuss goals, present our project approach and methodology, review the schedule of key project dates, and answer questions. As part of this presentation, the City's project sponsor is expected to participate and speak to the goals and objectives of the initiative.

1.4 Facilitate current environment Fact-Finding Meetings. Following the project kickoff presentation, we will conduct a series of Fact-Finding Meetings with the City's departmental representatives by functional area. These meetings may take the form of interviews with staff, process observation, field ride-alongs, and as desired, sessions with customers. We anticipate exploring the following functional areas in our Fact-Finding Meetings:

- Permitting
- Plan reviews
- Project administration
- Code enforcement
- Inspections
- Public portal
- Land Records and GIS
- Information Technology

These meetings will allow us to understand the current systems and processes used to support each relevant function in the City. Our discussions will be a key factor as we identify recommendations for the City's future systems state and prioritize them among competing priorities and potential resource constraints.

1.5 Conduct follow-up to Fact-Finding Meetings as needed. We will conduct Fact-Finding Meetings follow-up as needed to confirm and clarify our understanding of the City’s current state. It is our goal to be thorough in this process to help ensure the future state is reflective of and addresses current needs.

➞ Deliverable 3 – Fact-Finding Meetings

1.6 Prepare for and conduct as-is process diagramming. Based on the information collected during Fact-Finding Meetings, we will work with the City’s project team to identify the critical processes that should be diagrammed—up to 20 business processes. We will also develop a diagramming schedule and prepare materials to support diagramming activities. During the diagramming process, we will diagram the processes as they are currently conducted, noting points in the process where there are deviations and workarounds. These deviations and workarounds will help to define opportunities for improvement in the process. Diagramming will also include an understanding of tools and technology used in the process and explore opportunities to increase the use of technology and automation.

1.7 Conduct follow-up to as-is process diagramming as needed. We will conduct follow-up as needed to clarify our understanding of the City’s current business processes.

1.8 Review As-Is Process Diagrams with the City’s project team to finalize. We will conduct as-is process diagramming work sessions via videoconference with the City to review the diagrams before updating them to final based on the City’s feedback. It will be important to validate our understanding as it will be the basis for developing recommendations for improving the City’s licensing and permitting environment.

➞ Deliverable 4 – As-Is Process Diagrams

1.9 Develop a Current State Analysis and Recommendations Report. We will draft a Current State Analysis and Recommendations Report that will include a full review of business operations. We will explore:

- Current system use
- Reporting needs
- Supporting systems and tools (e.g., Excel, paper)
- Volume of undigitized documents
- Challenges
- Interfaces
- Data conversion and associated requirements
- Opportunities for improvement
- Potential vendors for the City to consider
- Possible gaps in functionality with a replacement system
- Cost and timeline estimates
- Recommendations for adoption of a new system and changed processes

Upon completion, we will facilitate a work session with the City's project team to review the report and its contents and solicit feedback before updating it to final.

➡ Deliverable 5 – Current State Analysis and Recommendations Report



Phase 2: RFP Development

2.1 Conduct a procurement planning meeting. Our team will meet with City's purchasing agent and/or other procurement representatives to review and confirm the approach to planning for and developing the resulting RFP Document. We will seek to understand the City's procurement program and processes in this meeting, as well as review any possible policies and templates. Our team recognizes that each RFP process and software planning project is unique, and the City can expect our team to speak directly to the unique considerations that come along with a large initiative such as the City's.

2.2 Facilitate pre-RFP demonstrations. We will facilitate pre-RFP demonstrations to provide an opportunity for up to eight vendors to provide information on the capabilities of the systems on the marketplace for two hours each. We will provide these vendors with a format to follow for ease of comparison. By holding these sessions, the City will be better informed when finalizing requirements for the future solution. At the conclusion of these sessions, we will conduct a debrief survey to solicit feedback from participants of desired functionality to be included in the RFP for a future system.

2.3 Develop Preliminary Functional and Technical Requirements. BerryDunn has developed a database of functional and technical requirements based on our experience with other governmental agencies and our knowledge of software system functionality and best practices. Drawing from this database, we will make refinements for those processes that are critical or unique to the City.

These requirements will support supplemental functionality requirements with key reporting, interface, and conversion enhancements. In our recent experience, those areas have significantly differentiated vendors' solutions and required a specific focus in the selection activities. Our analysis typically results in about 75% of the requirements being defined upfront for most of our clients.

➡ Deliverable 6 – Preliminary Functional and Technical Requirements

2.4 Conduct joint requirements planning (JRP) work sessions to update the requirements to final. We will facilitate a series of JRP work sessions with City stakeholders and our project team members to review the preliminary requirements. We will reconvene many of the same stakeholders, organized by functional area that met during fact-finding activities to discuss the future system capabilities. These sessions will also include one focused on the technical aspects involved with the City's project. Using the preliminary list, we will review and confirm each item and assign a relative criticality to communicate to vendors

responding to the list as part of their RFP responses. We will also facilitate similar meetings to review potential interfaces and data conversion objects. Once these have been reviewed, we will update the list to final.

Our role in facilitating the JRP work sessions is to contribute our focused knowledge of the vendor marketplace and align the items requested in the list with the goals and objectives of the project. For example, we might comment that functionality being requested is beyond the core capabilities of vendors and might represent a cost increase. Conversely, we can help recommend requirements to include that might be commonplace today, but beyond the familiarity of City stakeholders.

➞ Deliverable 7 – Final Functional and Technical Requirements

2.5 Develop an RFP Document and support response development to vendor inquiries. We will develop a draft RFP Document using a proven format that incorporates information pertaining to the history of the project; a high-level description of the City's current licensing and permitting environment, desired approach to implementing a new solution, and functional and technical requirements; and a structured list of points for vendors to address in their responses. Our project team will also work with the City to develop objective evaluation criteria to include in the RFP. We will then prepare a scoring matrix to track significant strengths and limitations of each proposal reviewed. Upon completion, we will coordinate a work session with the City's project team to review the draft RFP Document and collect any feedback or additional terms for inclusion before updating to final. We will provide the final RFP to the City's project team for distribution through standard channels. For added guidance in distribution, we will provide a list that includes most of the major vendors in the market.

Our project team will also assist the City's project team in responding to vendor questions in response to the RFP Document and developing corresponding answers and addenda as needed.

➞ Deliverable 8 – RFP Document



Phase 3: System Selection Assistance

3.1 Analyze vendor proposals received and develop a Proposal Summary Memo. We will facilitate the proposal review process, compiling them into a single Proposal Summary Memo. The memo will identify key areas for consideration by the City's evaluation team related to each vendor's ability to meet minimum requirements and their alignment with the evaluation criteria within the RFP. This memo will also include a comparison of vendor responses to the Functional and Technical Requirements.

3.2 Facilitate round one scoring. We will meet with the evaluation team to review the proposal summaries, discuss each proposal received, assist in the scoring process, and

collect scores to identify the top preferred vendors to invite for demonstrations. We will clarify any open items with these short-list vendors before issuing invitations for demonstrations.

➞ Deliverable 9 – Proposal Summary Memo and Short List identification

3.3 Prepare for and facilitate demonstrations. We will meet with the City’s project team to discuss the format of vendor demonstration scripts. We will develop a draft demonstration script template and provide it to the City’s project team for review. After finalizing an approved version, we will provide the appropriate scripts to each vendor in advance of their demonstrations.

Then, one of our project team members will attend demonstrations and assist the City’s project team with facilitation for a period of four and a half days, anticipating one and a half days per vendor. Our project team’s extensive background in the demonstration process will provide the City’s project team with a unique perspective on how to score, prepare, evaluate, and participate in vendor demonstrations.

3.4 Facilitate round two scoring. We will participate in the second round of vendor scoring immediately following the final demonstration to identify the vendor or vendors that the City’s project team should perform its reference checks on.

3.5 Prepare the City for reference checks and site visits. We will assist the City’s project team with identifying tasks that should be accomplished prior to meeting at each site visit. We will also coordinate with the City’s project team to discuss the suggested approach for the reference checks.

3.6 Facilitate final scoring. We will participate in the final scoring meeting via teleconference following the completion of reference checks and site visits. The objective will be to identify a preferred vendor and a second-choice vendor should contract negotiations with the first be unsuccessful.

➞ Deliverable 10 – Demonstration Facilitation and Preferred Vendor Identification



Phase 4: Contract Negotiation and Award Assistance

4.1 Assist with the contract negotiations and award process. At the conclusion of final scoring activities, we anticipate supporting the City with the contract negotiations and award process when and where it will benefit the City most. We have been involved in this process from the client, vendor, and independent consultant perspectives and understand how the associated support needs vary and how the contract impacts the eventual implementation process. In conducting contract approval and negotiations activities, we will draw on these experiences to help ensure the City’s best interests are met and project goals and objectives are achieved.

Working collaboratively with the City’s project team, legal counsel, and preferred vendor, among other stakeholders, we will take part in various activities, including, but not limited to:

- Developing a draft contract, using the City’s contracting procedures and the vendor’s proposal as starting points
- Reviewing the contract documents with the City’s project team to help ensure that requirements are clearly defined and to establish that the City agrees to the schedule, implementation process, fee arrangement, scope of services, vendor resources, deliverables, costs, acceptance criteria, and terms and conditions
- Participating during negotiations with the preferred vendor
- Supporting presentation development and delivery to City leadership as it relates to receiving approval and contract execution

Should it become clear at any point during contract approval and negotiations that the preferred vendor’s solution or contract terms will not meet the needs of the City, we might recommend halting the process with that vendor and commencing efforts with the second-choice vendor.

In recognition of the many variables not yet known related to the contract approval and negotiation timeline and work effort, we plan to commit up to 40 hours, billed as incurred.

➞ Deliverable 11 – Contract Negotiations and Award Assistance



Phase 5: Implementation Assistance

5.1 Provide project management services during the City implementation.

We are prepared to offer two potential levels of assistance during the City’s implementation.

Table 2, below and on the following page, describes these two potential service levels for the City’s further review and consideration. Our clients most commonly contract with us for these services on a time and materials basis, where we only bill for actual hours expended on the project. Actual level of involvement will vary based on the selected vendor’s implementation approach, implementation timeline, and the specific areas of support requested by the City.

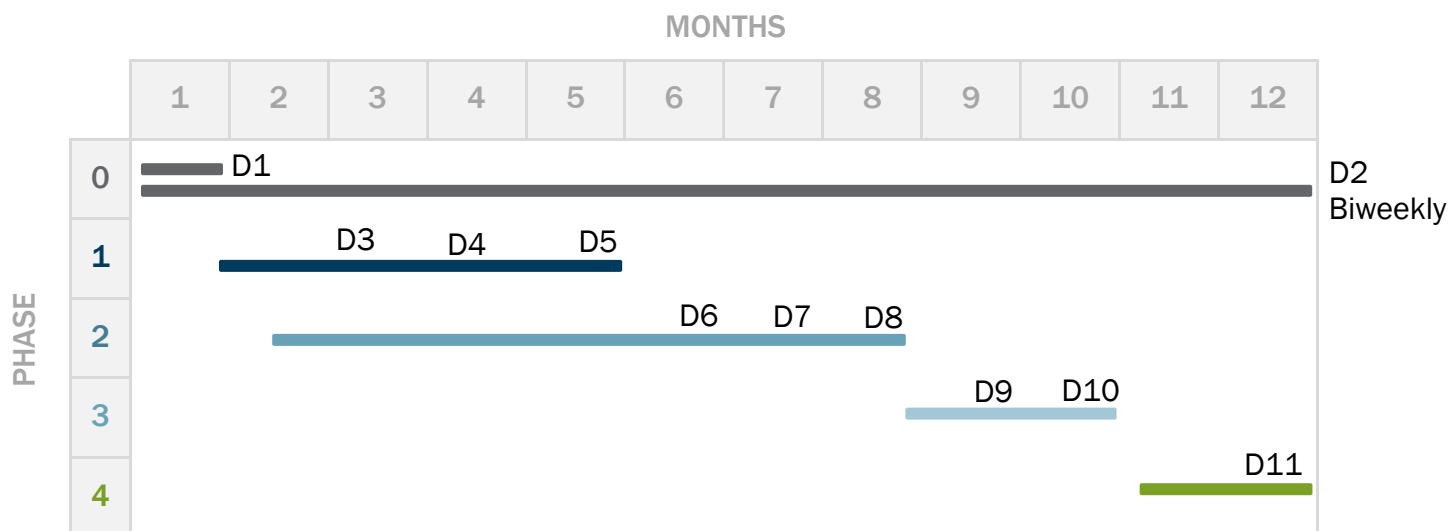
Table 2: System Implementation Potential Service Levels

Level	Description	Estimated Monthly Staff Hours
Full-Time Implementation	With this level of service, our project team will act as the implementation project manager. In this role, we will identify project risks and issues, monitor project	120

Level	Description	Estimated Monthly Staff Hours
Project Management	activities, provide recommendations to mitigate risks, and lead the coordination of vendor activities. There will be minimal project management tasks owned by the City stakeholders. This level of service assumes the City will provide a project management team that we will oversee.	
Implementation Oversight	With this level of service, we will act as an active advisor to an individual the City designates as project manager. We will also lead select implementation activities we mutually agreed upon. These will likely include project plan reviews, configuration and analysis support, testing, training, and production cutover support.	60

Anticipated Timeline

Below, we outline our anticipated timeline to conduct Phases 0 – 4 of the City’s initiative. Due to the many unknowns associated with Phase 5, including the system to be implemented, BerryDunn’s level of involvement in the implementation work effort, and the implementation plan to be followed, we can only provide an estimate at this time of 12 – 24 months. It is important to note that we will remain flexible to the City’s specific needs and identify key dates in coordination with the City when developing the final schedule during initial project planning.



Fee Proposal

BerryDunn's fixed fee for conducting the City's project is \$137,550. Table 3 presents a breakdown of our proposed fees by deliverable.

Our proposed fee reflects the level of effort we believe is required to complete the requested scope. Other factors that contributed to this fee include:

- Our staffing plan and resource allocation, which provides the City with the appropriate number of resources and a level of expertise to complete the tasks defined in the scope of work
- Our experience conducting projects of similar scope and size
- Our proposed team's experience working together on similar projects

Table 3: BerryDunn's Proposed Fees by Deliverable

Phase	Fee
D1. Project Work Plan and Schedule	\$ 6,090
D2. Biweekly Project Status Updates	\$ 11,340
D3. Fact-Finding Meetings	\$ 24,360
D4. As-Is Process Diagrams	\$ 12,600
D5. Current State Analysis and Recommendations Report	\$ 18,480
D6. Preliminary Functional and Technical Requirements	\$ 8,820
D7. Final Functional and Technical Requirements	\$ 11,550
D8. RFP Document	\$ 10,290
D9. Proposal Summary Memo and Short List Identification	\$ 11,340
D10. Demonstration Facilitation and Preferred Vendor Identification	\$ 14,280
D11. Contract Negotiation and Award Assistance	\$ 8,400
Total Services Cost	\$ 137,550
Travel Expense Estimate	\$ 12,000

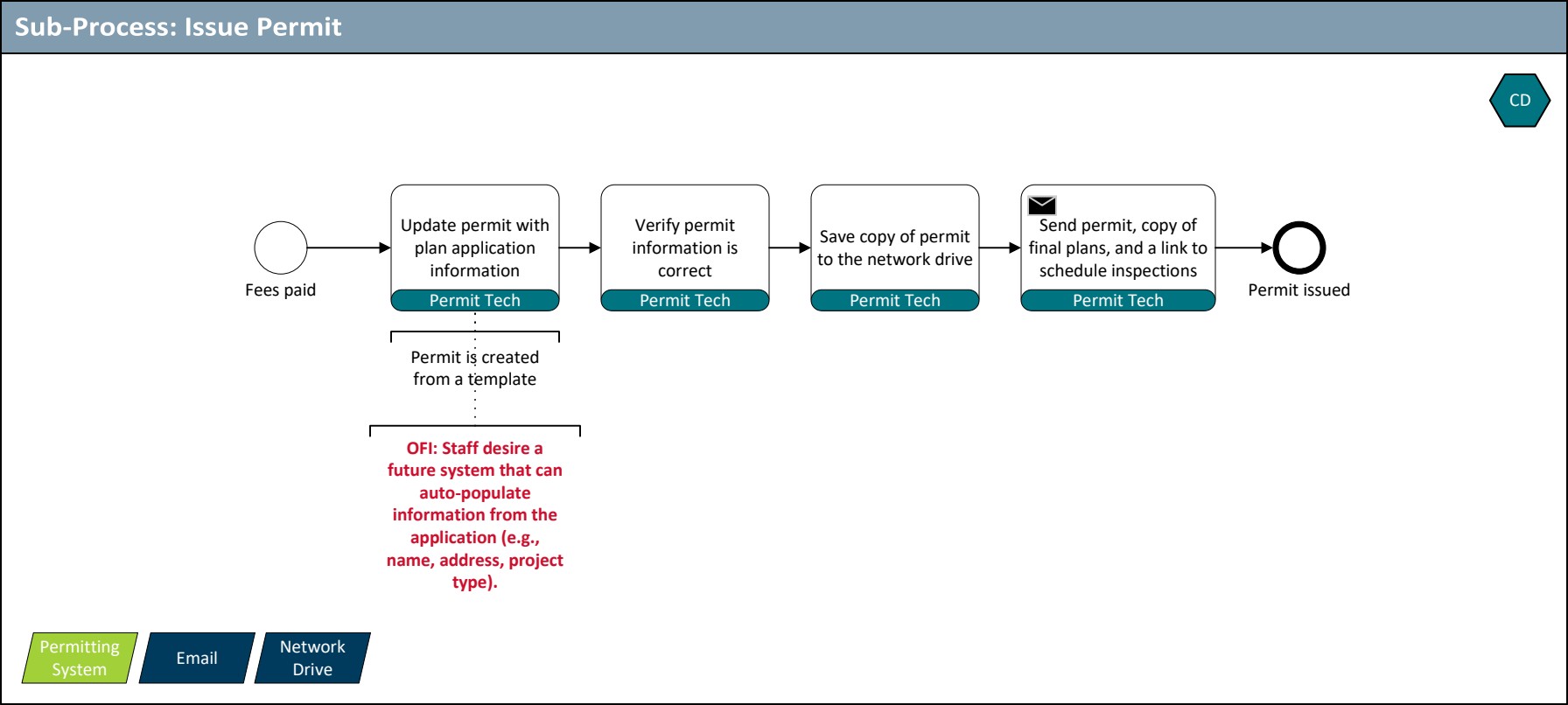
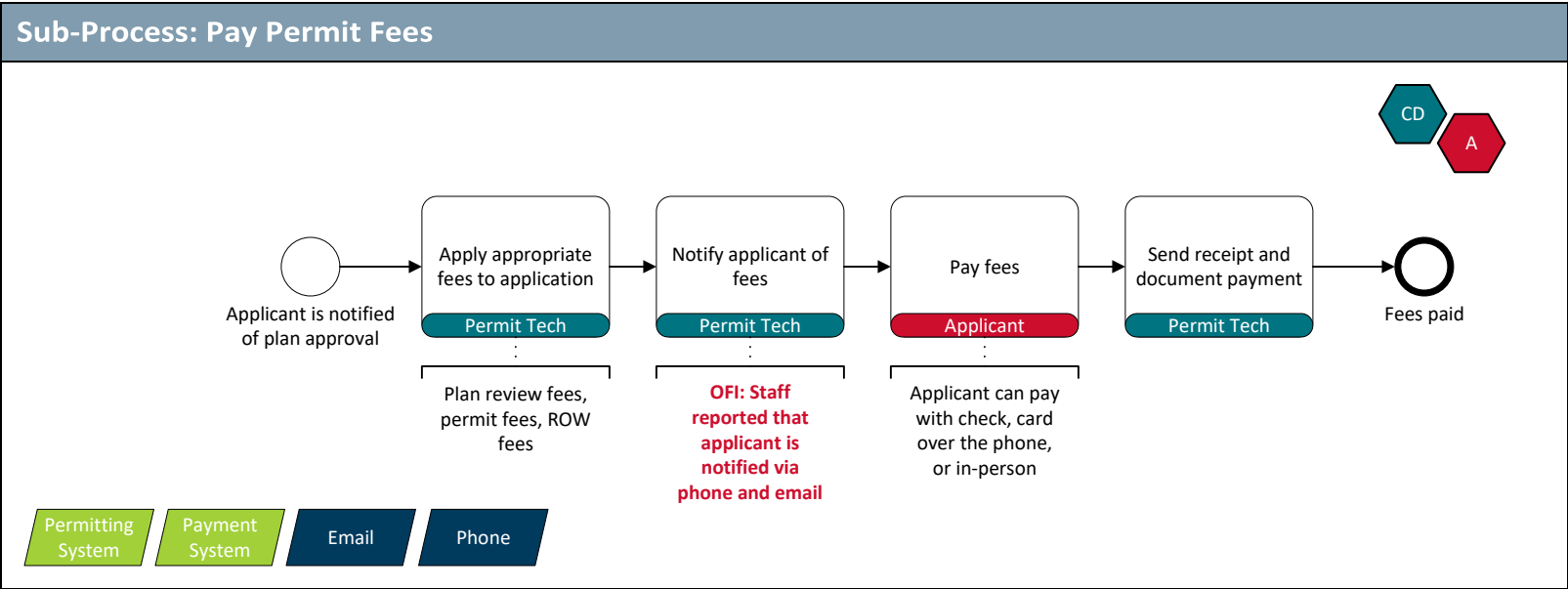
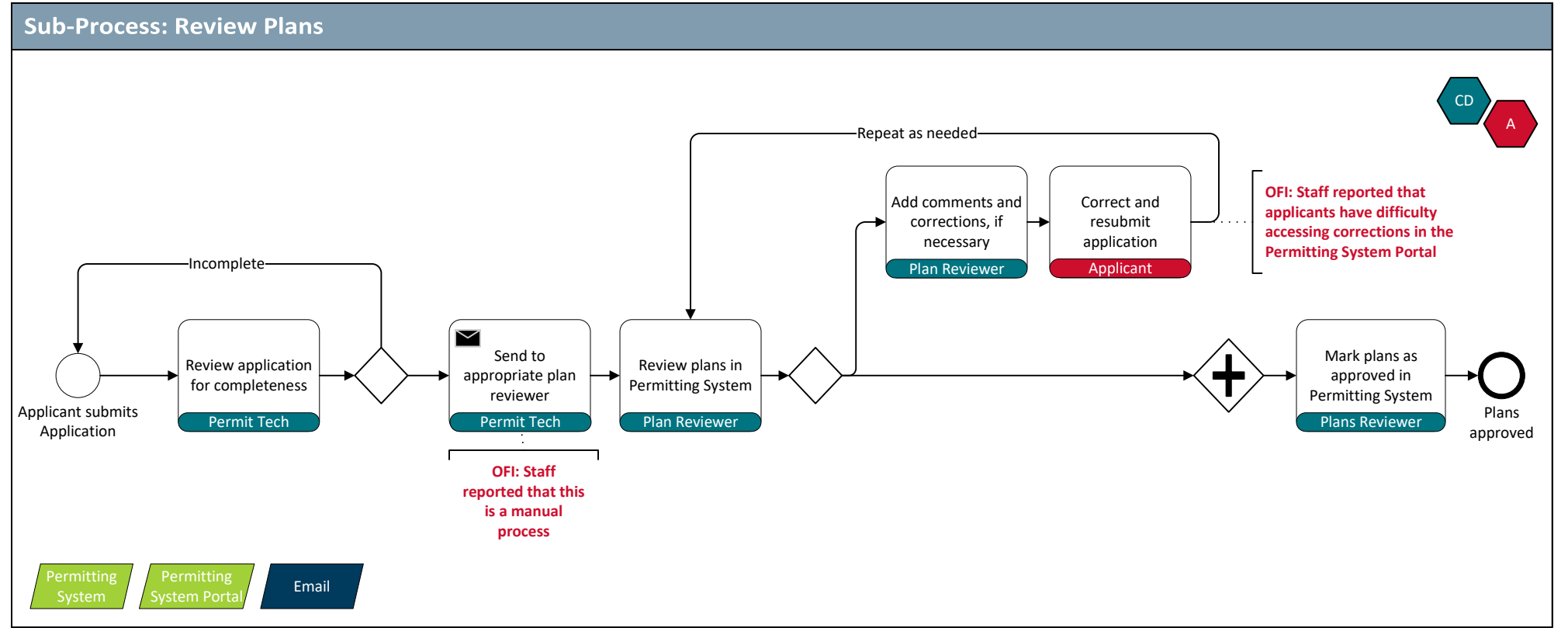
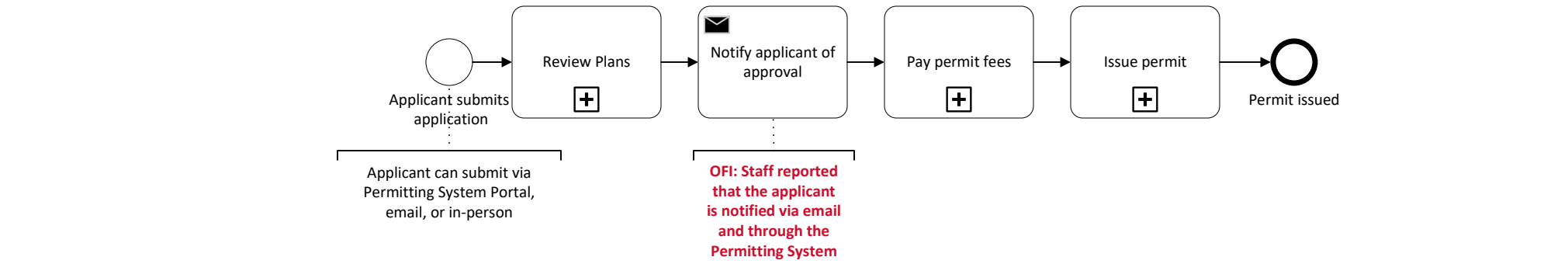
Our fee proposal assumes that satisfying a deliverable is based on the City's signed acceptance. We will work with the City's project manager to update our deliverables as required until they are accepted by the City. The City will not incur any additional costs associated with the process of reaching deliverable acceptance.

Project:

Business Process:

Permit Process Diagram





SECTION 10 – FORMS

**CITY OF NORWALK
PURCHASING DEPARTMENT
PROPOSER'S INFORMATION AND ACKNOWLEDGMENT FORM**

Proposer's Name

Street Address

City	State	Zip

Business Telephone:

Email Address:

Printed Name and Title of Individual Submitting Proposal

The undersigned acknowledges that the terms, conditions and specifications of this RFP are understood and unconditionally accepted.	
	
Signature	Date

CITY OF NORWALK
PURCHASING DEPARTMENT

Exceptions: Note any vendor(s) responding to this proposal shall indicate any/all exceptions (if any) taken to language in this proposal. **BIDDERS MAY NOT TAKE EXCEPTION TO SUBSTANTIVE TERMS OF STANDARD CONTRACT FORMS PROVIDED IN THE RFP/RFQ/ITB.** Exceptions must be declared below in order to be considered by the City:

[illegible]

CITY OF NORWALK PURCHASING DEPARTMENT

1.1 PROPOSAL RESPONSE FORM

Vendor Name -		
Address -		
Phone -	Fax -	Email -
Manager -		Fed ID#

The undersigned hereby declares that he has or they have carefully examined the plans, specifications and project sites and has satisfied themselves as to all the quantities and conditions, and understands that in signing this proposal he waives all right to plead any misunderstanding regarding the same.

The undersigned further understands and agrees that he will furnish and provide all the necessary material, machinery, implements, tools, labor, services, and other items of whatever nature, and to do and perform all the work necessary under the aforesaid conditions, to carry out the contract and to accept in full compensation therefore the amount of the contract as agreed to by the Contractor and the City.

It is further understood and agreed that all information included in, attached to, or required by the Request for Proposal shall be public record upon delivery to the City.

A. PROPOSED FEES

Total Lump Sum Fee	\$
Total Lump Sum Fee in Writing	

B. CERTIFICATION

Submitted By:	Signature: 
Authorized Agent of Company (Name & Title):	
	Date:

C. The above signatory acknowledges receipt of the following addenda issued during the bidding period and understands that they are a part of the bidding documents (if applicable):

Addendum #		Dated		Addendum #		Dated	
Addendum #		Dated		Addendum #		Dated	

CITY OF NORWALK

PURCHASING DEPARTMENT

1.2 STATEMENT OF QUALIFICATIONS

Please answer the following questions regarding your company's past performance. Failure to reply to this instruction may be regarded as justification for rejecting a bid.

1.	Number of years in business:		
2.	Number of personnel employed:	Part Time	Full Time

3. List six contracts of this type/size your firm has completed within the last four years:			
Project	Date	Contact Person	Phone No.

4. **SUBCONTRACTORS:** If subcontractors are to be used, please list firm name, address, name of principal, and phone number below or on a separate sheet. Also indicate portion or section of work subcontractor will be performing.

COMPANY NAME	ADDRESS	PRINCIPAL	PHONE	PORTION/SECTION OF WORK

CITY OF NORWALK

PURCHASING DEPARTMENT

5. ORGANIZATIONAL STRUCTURE OF BIDDER (check which applies)	general partnership		
	limited partnership		
	limited liability corporation		
	limited liability partnership		
	corporation doing business under a trade name		
	individual doing business under a trade name		
	other (specify)		
6. STATUS OF THE BUSINESS AND ITS CURRENT STANDING WITH THE SECRETARY OF STATE'S OFFICE; e.g., are all required filings current and in good standing or has the entity been withdrawn or canceled	<u>Connecticut corporations</u> - Will the Secretary of State be able to issue a Certificate of Good Standing within 30 days of the bid opening?	Yes	No
	<u>Out-of -State corporations</u> - Do you have a valid license to do business in the State of Connecticut? (Evidence in the form of a Certificate of Authority from the Connecticut Secretary of State will be required within 30 days of the bid opening.)	Yes	No
7. CT eLICENSE (https://www.elicense.ct.gov) / Business Registration (https://business.ct.gov/?language=en_US) :			
8. Is your local organization an affiliate of a parent company? If so, Indicate the principal place of business of your company and the name of the agent for service <u>if different from what has been indicated on the response form</u>:			
Business Name			
Address			
City, State & Zip			
Name of Agent			

CITY OF NORWALK PURCHASING DEPARTMENT

NOTE: In the case of a Limited Liability Corporation or a Limited Liability Partnership a certified copy of the Articles of Organization certified as valid and in effect as of the date of the bid opening will be required within 30 days of the bid opening. A listing of the corporate officers, in the case of a corporation; the general or managing partners, in the case of a partnership; or the managers and members in the case of either a limited liability partnership or company will be required within 30 days of the bid opening.

9. Your company may be asked to submit the following information relative to your company's financial statements prior to receiving an award. This information will not be part of the public bidding record and will remain confidential.

All information should be supported with appropriate audited financials

- a. Book Value (Total Assets (-) Total Liabilities)
- b. Working Capital (Current Assets (-) Current Liabilities)
- c. Current Ratio (Current Assets/Current Liabilities)
- d. Debt to Equity Ratio (Long Term Debt/Shareholder's Equity)
- e. Return on Assets (Net Income/Total Assets)
- f. Return on Equity (Net Income/Shareholder's Equity)
- g. Return on Invested Capital (Net Income/Long Term Debt + Shareholders' Equity)

All responses to this questionnaire are understood to be proprietary to the vendor, and will be considered confidential.

Additional information may be requested subsequent to your responding to this bid request.

10. Identify your businesses' supplier diversity classification and provide certification:

DIVERSITY CLASSIFICATION	CHECK ALL THAT APPLY
Women Business Enterprise (WBE)	
Minority Business Enterprise (MBE)	
Disadvantage Business Enterprise (DBE)	
Veteran-owned Small Business (VOSB)	
Small Business (SBE)	
Other (please explain)	

CITY OF NORWALK

PURCHASING DEPARTMENT

1.3 CITY OF NORWALK VENDOR RECORDS

If you have not done business with the City of Norwalk as a vendor, your business information needs updating or your City of Norwalk vendor record has not been updated over three (3) years. Please complete and include the latest Internal Revenue Service (IRS) W-9 Form with your submission. Here is the URL to the IRS website:

<https://www.irs.gov/forms-pubs/about-form-w-9>

1.4 INSURANCE

Insurance Agency Name:	Tel:
Agency Address:	Email:

Request for Taxpayer Identification Number and Certification

Give Form to the
requester. Do not
send to the IRS.

► Go to www.irs.gov/FormW9 for instructions and the latest information.

Print or type.
See Specific Instructions on page 3.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank. Berry, Dunn, McNeil & Parker LLC		
2 Business name/disregarded entity name, if different from above BerryDunn		
3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes. ☐ Individual/sole proprietor or single-member LLC ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate ☒ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ► P Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner. ☐ Other (see instructions) ►	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ (Applies to accounts maintained outside the U.S.)	
5 Address (number, street, and apt. or suite no.) See instructions. 2211 Congress Street	Requester's name and address (optional)	
6 City, state, and ZIP code Portland, ME 04102		
7 List account number(s) here (optional)		

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number								
			-			-		
or								
Employer identification number								
0	1	-	0	5	2	3	2	8 2

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign
Here

Signature of
U.S. person ►

Elinorah Tepalt

Date ►

01/03/2024

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.



BERRDUN-03

HCTALBOT

CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

12/26/2023

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER Clark Insurance 1945 Congress Street, Bldg A PO Box 3543 Portland, ME 04104-3543	CONTACT NAME: Heather Caston-Talbot, AAI, CIIP, CIC PHONE (A/C, No, Ext): (207) 523-2235 FAX (A/C, No): E-MAIL ADDRESS: heather.caston-talbot@marshmma.com	
	INSURER(S) AFFORDING COVERAGE	NAIC #
	INSURER A : Hanover American	36064
	INSURER B : Massachusetts Bay	22306
	INSURER C : The Hanover Insurance Company	22292
	INSURER D : Maine Employers Mutual Ins Co	11149
	INSURER E : Travelers Property Casualty Co. of America	25674
	INSURER F :	

COVERAGES

CERTIFICATE NUMBER:

REVISION NUMBER:

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	☒ COMMERCIAL GENERAL LIABILITY ☐ CLAIMS-MADE ☒ OCCUR ☒ ISO form CG 00 01 GEN'L AGGREGATE LIMIT APPLIES PER: ☐ POLICY ☒ PROJECT ☒ LOC OTHER:			ZZP D240054	4/30/2023	4/30/2024	EACH OCCURRENCE \$ 1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 1,000,000 MED EXP (Any one person) \$ 15,000 PERSONAL & ADV INJURY \$ 1,000,000 GENERAL AGGREGATE \$ 2,000,000 PRODUCTS - COMP/OP AGG \$ 2,000,000
B	☐ AUTOMOBILE LIABILITY ☐ ANY AUTO OWNED AUTOS ONLY ☒ HIRED AUTOS ONLY ☐ SCHEDULED AUTOS ☒ NON-OWNED AUTOS ONLY			ADPD240058	4/30/2023	4/30/2024	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ Hired Auto P.D. \$ 50,000
C	☒ UMBRELLA LIAB ☒ OCCUR ☐ EXCESS LIAB ☐ CLAIMS-MADE DED ☒ RETENTION \$ 0			UHP D240055	4/30/2023	4/30/2024	EACH OCCURRENCE \$ 8,000,000 AGGREGATE \$ 8,000,000
D	☒ WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y / N N	N / A	5101800149	1/1/2024	1/1/2025	☒ PER STATUTE ☐ OTH-ER E.L. EACH ACCIDENT \$ 1,000,000 E.L. DISEASE - EA EMPLOYEE \$ 1,000,000 E.L. DISEASE - POLICY LIMIT \$ 1,000,000
E	Employee Theft			105608076	4/30/2023	4/30/2024	Limit 5,000,000
E	Employee Theft			105608076	4/30/2023	4/30/2024	Of Client Prop Limit 5,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)
30 day notice of cancellation with 10 days notice for non-payment of premium, if required by written contract/agreement.

CERTIFICATE HOLDER

CANCELLATION

Berry Dunn McNeil & Parker 2211 Congress Street Portland, ME 04102	SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.
	AUTHORIZED REPRESENTATIVE <i>Heather Caston-Talbot</i>



CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)
04/01/2023

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER Affinity Insurance Services 1100 Virginia Drive, Suite 250 Fort Washington, PA 19034	CONTACT NAME: Gretchen McCole	
	PHONE (A/C, No, Ext): 215-773-4600	FAX (A/C, No):
INSURED Berry, Dunn, McNeil & Parker, LLC 2211 Congress Street Portland, ME 04102	E-MAIL ADDRESS: gretchen.mccole@aon.com	
	INSURER(S) AFFORDING COVERAGE	
	INSURER A: Continental Casualty Company	
	INSURER B:	
	INSURER C:	
	INSURER D:	
INSURER E:		
INSURER F:		

COVERAGES **CERTIFICATE NUMBER:** **REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
	COMMERCIAL GENERAL LIABILITY						EACH OCCURRENCE \$
	☐ CLAIMS-MADE ☐ OCCUR						DAMAGE TO RENTED PREMISES (Ea occurrence) \$
							MED EXP (Any one person) \$
							PERSONAL & ADV INJURY \$
	GEN'L AGGREGATE LIMIT APPLIES PER:						GENERAL AGGREGATE \$
	☐ POLICY ☐ PRO-JECT ☐ LOC						PRODUCTS - COMP/OP AGG \$
	OTHER:						\$
	AUTOMOBILE LIABILITY						COMBINED SINGLE LIMIT (Ea accident) \$
	☐ ANY AUTO						BODILY INJURY (Per person) \$
	☐ OWNED AUTOS ONLY ☐ SCHEDULED AUTOS NON-OWNED AUTOS ONLY						BODILY INJURY (Per accident) \$
	☐ HIRED AUTOS ONLY						PROPERTY DAMAGE (Per accident) \$
							\$
	UMBRELLA LIAB						EACH OCCURRENCE \$
	☐ EXCESS LIAB ☐ CLAIMS-MADE						AGGREGATE \$
	☐ DED ☐ RETENTION \$						\$
	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY						PER STATUTE ☐ OTH-ER ☐
	ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH)						E.L. EACH ACCIDENT \$
	If yes, describe under DESCRIPTION OF OPERATIONS below						E.L. DISEASE - EA EMPLOYEE \$
							E.L. DISEASE - POLICY LIMIT \$
A	Professional Liability			APL-188112791	04/01/2023	04/01/2024	Per Claim/Aggregate Limit \$1,000,000 / \$1,000,000 Limits shown are as requested. SIR applies per policy terms and conditions.

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

CERTIFICATE HOLDER

Berry Dunn McNeil & Parker, LLC 2211 Congress Street Portland, ME 04102	SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.
	AUTHORIZED REPRESENTATIVE

City of Norwalk Vendor Questionnaire

IT Information Security

Rev 8.4.22

1. **Third-Party Contact Information (please provide the POC for follow-up questions to this questionnaire):**
Vendor Name, Address, Point-of-Contact Name, Phone Number and Email

2. **Description of Services/Products:** Please provide a detailed description of services/products your organization aims to provide to the City?

3. **System and Equipment Access:** Will your organization use your own systems and equipment to perform the services, or will your organization need access to the City's systems, equipment and network? (Yes or No, If Yes, please explain)

YES ☐ NO ☐

4. **Description of Data:** Are you using data from the City in order provide the services/product to the City (Yes or No, if Yes proceed to 3.1)

a. What data is needed to provide the services/products to the City?

Example: Name, Social Security Number, Trade Information, Source Code, Payroll or Accounts Payable data, student or patient data, Law Enforcement data, any Personally Identifiable Information (PII), etc.

YES ☐ NO ☐

If your answers to Questions 3 and 4 are BOTH “NO”, thank you for completing the IT Information Security Questionnaire.

If one or both questions are “YES”, please complete the remaining questions.

5. **Office Locations:** How many office locations does your organization have? *Please include the locations of your organization.*

6. **Data Center Locations:** How many data centers does your organization utilize to provide services/products to the City? *Please include the locations of the data centers utilized by your organization.*

7. **Business Entity:** What is your business entity type?
**Example: Sole Proprietorship, Partnership, C Corporation, S Corporation, Limited Liability Corporation (LLC), Limited Liability Partnership (LLP)*

8. **How many employees and contingent workers do you have in your organization?**

1-10 ☐ 10-50 ☐ 50-100 ☐ 100-500 ☐ 500-1000 ☐ 1000 or more ☐

9. **Physical Access:** Does your organization need to be onsite or offsite to provide services/products to the City?

YES ☐ NO ☐

10. **Access to Data:** How is your organization accessing City data?

**Example: Is the data supposed to be sent to your organization via email or will the data need to be uploaded to an application?*

**Note: For third-parties that are providing an application to perform the services, please specify whether the application will be an internally hosted solution, cloud-based solution (i.e. SaaS, IaaS, PaaS), or a traditional web-based application (i.e. eBay, WebEx, online banking application)*

11. **Data Storage:** Does your organization outsource data storage or does your organization utilize its own databases to store data? Does your organization store data outside of the United States?

YES ☐ NO ☐

12. **Segregation of Data:** Does your organization's database structure allow segregation of sensitive client data?

YES ☐ NO ☐

13. **Independent Attestations:** Does your organization have independent attestations such as (i.e. ISO 27001, SSAE-18 SOC-1, SOC-2, PCI- DSS, ISO 9001)?

14. Information Security

- a. Does your organization have written information security policies and procedures (WISP)?

YES ☐ NO ☐

- b. How often are the information security policies and procedures reviewed and updated?

- c. Who in the organization is responsible for reviewing and updating the information security policies and procedures?

- d. Does your organization have privacy policies and procedures?

YES ☐ NO ☐

- e. How often are the privacy policies and procedures updated?

- f. Who in the organization is responsible for reviewing and updating the privacy policies and procedures?

- g. What methods of encryption are utilized for data at rest and in transit?

h. Are the encryption methods utilized FIPS 140-2 approved?

YES ☐ NO ☐

i. Does your organization utilize firewalls to filter incoming data and information from the internet into your company network?

YES ☐ NO ☐

j. Does your organization perform penetration testing at least once per year to determine if unauthorized access to the computer network and malicious activity is possible externally?

YES ☐ NO ☐

k. Does your organization perform vulnerability testing at least once per year in order to identify vulnerabilities within the internal network?

YES ☐ NO ☐

l. Does your organization perform background checks on employees and contingent workers prior to onboarding them? Describe the nature of these background checks (i.e., criminal, credit, international, etc.).

YES ☐ NO ☐

m. Does your organization utilize multi-factor authentication?

YES ☐ NO ☐

n. Does your organization utilize scan cards or biometric scans to grant employees and contingent workers access to the building and data centers where data is stored?

YES ☐ NO ☐

o. If offering a technology product, does the organization utilize software development life cycle (SDLC) or Agile to build and maintain technological product?

YES ☐ NO ☐

p. Does the technological product undergo information security testing and quality assurance testing prior to deployment?

YES ☐ NO ☐

q. Does the Vendor provide annual Cybersecurity Awareness training to their employee?

YES ☐ NO ☐

r. Does the Vendor provide annual phishing simulations for their employee?

YES ☐ NO ☐

s. Have users been educated on how to report suspected security violations or vulnerabilities?

YES ☐ NO ☐

t. Does the Vendor have an employee identified as the Chief Information Security Officer?

YES ☐ NO ☐

u. Are all the Vendor laptops encrypted?

YES ☐ NO ☐

v. Are all Vendor computers (workstations, notebooks) required to join the Company's domain and receive Group Policies?

YES ☐ NO ☐

w. Does the Vendor meet the NIST 800-63 password guidelines?

YES ☐ NO ☐

15. Risk Management

- a. Does your organization have an enterprise risk management framework implemented at your organization?

YES ☐ NO ☐

- b. Does your organization have documented enterprise risk management policies and procedures?

YES ☐ NO ☐

- c. Who in the organization is responsible for reviewing the enterprise risk management policies and procedures?

- d. Does your organization utilize an outside third-party to provide services/products to the client?

YES ☐ NO ☐

- e. Does your organization have a third-party risk management program (TPRM)?

YES ☐ NO ☐

f. Does your organization include right-to audit clauses in contracts with third parties?

YES ☐ NO ☐

g. Does your organization have a certificate of insurance (COI)? *Please attach a copy of your COI.*

YES ☐ NO ☐

Business Continuity/Disaster Recovery

a. Does your organization have a business continuity plan?

YES ☐ NO ☐

b. How often is the business continuity plan updated?

c. Does your organization conduct business continuity tests once per year?

YES ☐ NO ☐

d. Does your organization have a disaster recovery plan?

YES ☐ NO ☐

e. How often is the disaster recovery plan updated?

f. Does your organization conduct disaster recovery tests once per year?

YES ☐ NO ☐

g. Does your organization have business continuity and/or disaster recovery sites?

YES ☐ NO ☐

h. Are the business continuity/disaster recovery sites located in the United States or outside the United States? *Please include the locations of business continuity/disaster recovery sites?*

YES ☐ NO ☐



CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)
06/13/23

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER Affinity Insurance Services 1100 Virginia Drive, Suite 250 Fort Washington, PA 19034	CONTACT NAME:	
	PHONE (A/C, No, Ext):	FAX (A/C, No):
INSURED Berry, Dunn, McNeil & Parker, LLC 2211 Congress Street Portland, ME 04102	E-MAIL ADDRESS:	
	INSURER(S) AFFORDING COVERAGE	
	INSURER A: Columbia Casualty Company	
	INSURER B:	
	INSURER C:	
	INSURER D:	
	INSURER E:	
INSURER F:		

COVERAGES **CERTIFICATE NUMBER:** **REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
	COMMERCIAL GENERAL LIABILITY						EACH OCCURRENCE \$
	☐ CLAIMS-MADE ☐ OCCUR						DAMAGE TO RENTED PREMISES (Ea occurrence) \$
							MED EXP (Any one person) \$
							PERSONAL & ADV INJURY \$
	GEN'L AGGREGATE LIMIT APPLIES PER:						GENERAL AGGREGATE \$
	☐ POLICY ☐ PRO-JECT ☐ LOC						PRODUCTS - COMP/OP AGG \$
	OTHER:						\$
	AUTOMOBILE LIABILITY						COMBINED SINGLE LIMIT (Ea accident) \$
	☐ ANY AUTO						BODILY INJURY (Per person) \$
	☐ OWNED AUTOS ONLY ☐ SCHEDULED AUTOS NON-OWNED AUTOS ONLY						BODILY INJURY (Per accident) \$
	☐ HIRED AUTOS ONLY						PROPERTY DAMAGE (Per accident) \$
							\$
	UMBRELLA LIAB						EACH OCCURRENCE \$
	☐ EXCESS LIAB ☐ CLAIMS-MADE						AGGREGATE \$
	☐ DED ☐ RETENTION \$						\$
	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY						PER STATUTE ☐ OTH-ER ☐
	ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH)						E.L. EACH ACCIDENT \$
	If yes, describe under DESCRIPTION OF OPERATIONS below						E.L. DISEASE - EA EMPLOYEE \$
	A Media, Network Security, Privacy Liability			652108915	05/31/2023	05/31/2024	E.L. DISEASE - POLICY LIMIT \$
							Aggregate Limit \$10,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

CERTIFICATE HOLDER

CANCELLATION

Berry, Dunn, McNeil & Parker, LLC 2211 Congress Street Portland, ME 04102	SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.
	AUTHORIZED REPRESENTATIVE

APPENDIX A – RESUMES



Kevin Price, MPP, PMP®, Prosci® CCP

Principal

EDUCATION AND CERTIFICATIONS

Master's degree, Public Policy and Management, Concentration in Financial Management, University of Southern Maine

Bachelor's degree, Economics and Political Science, University of Maine

Project Management Professional® (PMP®), Project Management Institute®

Prosci® Certified Change Practitioner

Lean Six Sigma Green Belt Certified

MEMBERSHIPS

City of Westbrook, ME Planning Board, 2023 – present

City of Westbrook, ME Sewer Commission – Member, 2021 – present

Kevin Price is a principal in BerryDunn's Consulting Services Team. In this role, he assists local government clients with business process improvement, strategic and comprehensive planning, fee analysis, system selection, and implementation projects. He has extensive experience assessing the business needs and processes of municipal clients for permitting, inspections, planning, code enforcement, and land management functions.

RELEVANT EXPERIENCE

Project Management: Kevin has managed large projects for some of BerryDunn's most complex local government clients. He is adept at keeping projects on track and on schedule while meeting the dynamic and sometimes evolving needs of clients. [He previously led BerryDunn's Engagement Management and Vehicle Blight Projects for the City of San José, California.](#)

System Selection and Implementation: Kevin has assisted BerryDunn clients with every stage of system replacement and implementation projects, from needs assessment to requirements definition, RFP development, proposal evaluation, facilitation of vendor demonstrations, contract negotiation, and implementation project management. [Most recently, he assisted the City of Plano, Texas, with the selection of a new permitting system.](#)

Process Analysis and Improvement: Kevin has assisted BerryDunn clients with process improvement projects as part of system replacement projects and as standalone projects. [Kevin has previously led the process improvement projects with the Cities of Rockville, Maryland; Scottsdale, Arizona; Philadelphia, Pennsylvania; and Frisco, Texas. He also led the mapping of Community Development and Utility Operations processes for the City of Richland, Washington.](#)



Austin Nichols, MBA

Project Manager | Senior Consultant

EDUCATION AND CERTIFICATIONS

MBA, University of Texas
Arlington

Bachelor's degree, Texas
Tech University

REPRESENTATIVE CLIENTS

- ▶ City of Amarillo, TX
- ▶ City of Aventura, FL
- ▶ City of Big Spring, TX
- ▶ City of Denton, TX
- ▶ City of Irvine, CA
- ▶ City of Frisco, TX
- ▶ City of Lubbock, TX
- ▶ City of Plano, TX
- ▶ City of Philadelphia, PA
- ▶ City of Scottsdale, AZ
- ▶ City of St. Charles, MO
- ▶ City of Tempe, AZ
- ▶ City of Weatherford, TX
- ▶ Jefferson Parish, LA
- ▶ Metropolitan Government of Nashville and Davidson County, TN

Austin Nichols is a senior consultant in our Local Government Practice Group. Having led multiple software system replacement projects, Austin excels by developing action plans through understanding stakeholder requirements, setting goals with measurable outcomes, managing project risks and issues, and providing transparent communication throughout the life cycle of the effort. He has successfully managed the implementation of large-scale projects, including enterprise resource planning (ERP) and computer-aided dispatch (CAD)/record management systems (RMS), developed a mobile app to connect citizens to city services, and led a Work Smarter initiative to reduce cost and increase the efficiency of utility and public works departments.

RELEVANT EXPERIENCE

Business Analysis Project Management: Austin managed the implementation of an ERP software project including finance, human resources, and utility billing modules as well as a CAD/RMS software project to modernize the operational processes of the City of Weatherford, Texas Police and Fire Departments. Having analyzed business processes across multiple functional departments to help ensure maximum effectiveness of operations, he recommended solutions to executive leaders by prioritizing technical and functional requirements of City departments. He has experience coordinating training operations for 400+ employees.

Process Improvement: Austin leads many of our process improvement projects. He conducts as-is and to-be process diagramming to thoroughly understand a system's current state and to identify future features and processes that will best support the end users. This objective analysis helps stakeholders identify and prioritizes upgrades and improvements.

Leadership: Austin leverages his ability to set goals, formulate effective action plans, and translate executive directives to line-level employees in his managing multimillion-dollar project and departmental budgets. He is adept at interdepartmental coordination and communication and managing effective change.



Joseph Bergeon

*Business Analyst |
Consultant*

EDUCATION AND CERTIFICATIONS

BS, Global Business and
Economics, Salve Regina
University

IC3 Digital Literacy
Certification Global
Standard 5 – Microsoft Key
Applications

MEMBERSHIPS

Senator George J. Mitchell
Institute Scholar

United States Senate Youth
Scholar

Pell Honors Program and McAuley
Scholar

Sigma Beta Delta, Business
Honor Society

Omicron Delta Epsilon, Business
Honor Society

Joseph Bergeon is a consultant in BerryDunn's Consulting Services Team. Joseph brings experience in government and community engagement at the local and federal levels. Joseph is focused on operational management, business process improvement, and analytical review for government institutions in the education, legislative, and community governance fields.

RELEVANT EXPERIENCE

Government: Joseph has experience working in the U.S. Senate as well as supporting municipal planning and regional school administration. He has worked with policy makers at local and federal levels. In these roles, he excelled at processing information from the community and disseminating data to executive leaders. He served as point of contact for cases with agencies including the Internal Revenue Service, the Department of Veterans Affairs, the Social Security Administration, and the Centers for Medicare & Medicaid Services.

Consulting: Joseph is experienced in developing project deliverables for clients. He regularly supports fact-finding interviews, business process improvement, and public engagement. He collaborates with managers and senior consultants to manage client meetings and public engagement sessions on comprehensive planning, cost recovery analysis, systems selection and implementation projects, IT management and operations assessments, and data management and governance strategies.

Community Involvement: Joseph has experience in student government and various community service organizations. He represented student interests on a regional board of school directors for two years, affecting policy change and contributing to strategic planning. He also served for two years on a municipal comprehensive planning committee in Maine.

REPRESENTATIVE CLIENTS

- ▶ City of Denton, TX
- ▶ City of Midland, TX
- ▶ City of Vancouver, WA
- ▶ City of Wichita Falls, TX
- ▶ Mobile County Health Department, AL
- ▶ Town of Prescott Valley, AZ



Kate Offerdahl-Joyce, NIGP-CPP

*Procurement Lead |
Senior Consultant*

EDUCATION AND CERTIFICATIONS

BA, History, University of
MN – Twin Cities

Master's Certificates in
Government Contracting,
Commercial Contracting,
and IT/Information
Security Project
Management, Villanova
University

National Institute of
Governmental Purchasing
Certified Procurement
Professional (NIGP-CPP)

Kate Offerdahl-Joyce is a senior consultant in the Local Government Practice Group who focuses on procurement and contract analysis. They bring more than 15 years of procurement, process improvement, and recommendation implementation experience. With a strong background in project management, Kate has hands-on experience working with a wide array of teams and organizations to improve business processes to be more efficient, user-friendly, and time- and cost-effective. Kate is also a National Institute of Governmental Purchasing Certified Procurement Professional.

RELEVANT EXPERIENCE

Government Procurement: Kate has over 13 years of experience with state and local government procurement. This experience includes RFP writing, vendor evaluation, and response development. They also are well-versed in eProcurement, reporting, and process improvement. While the IT Project Manager for National Association of State Procurement Officials (NASPO) ValuePoint, they worked with many public-sector offices, departments, and organizations, leading the implementation of a national eProcurement software as a service (SaaS) solution, improving business processes, and supporting onboarding and training activities.

Project Management: Kate's project management experience is extensive and wide-reaching. They have worked in various capacities, including across departments, with IT and supporting sales and product development. In their project management engagements, Kate has led all aspects of project management, including inception, discovery, planning, implementation, and execution. In all that they do, they seek to identify opportunities to improve, implement effective change, and help ensure successful partnerships.

REPRESENTATIVE CLIENTS

- ▶ City of Aventura, FL
- ▶ City of Cedar Falls, IA
- ▶ City of Irvine, CA
- ▶ City of Jacksonville, NC
- ▶ City of Lakeville, MN
- ▶ City of St. Charles, MO
- ▶ City of Tempe, AZ
- ▶ City of Wilmington, NC
- ▶ Harford County, MD
- ▶ Jefferson Parish, LA
- ▶ Omaha-Council Bluffs
Planning Agency, NE
- ▶ Scott County, IA



Khara Dodds, AICP, MCRP

*Planning and
Development SME |
Senior Consultant*

EDUCATION AND CERTIFICATIONS

Master's degree, City and
Regional Planning,
Rutgers University

Bachelor's degree, Urban
Studies/Africana Studies,
Rutgers University

The American Institute of
Certified Planners (AICP)

Equitable Community
Change Certificate,
eCornell

MEMBERSHIPS

BerryDunn CEO Council
on Diversity, Equity,
Inclusion, Belonging, and
Accessibility (DEIBA),
Systemic Barriers
Subcommittee

BerryDunn's Taskforce on
Environmental, Social

Khara Dodds is a senior consultant in BerryDunn's Local Government Practice Group. She is an AICP-certified planner with more than 13 years of leadership experience and 20 years of planning and community engagement experience. She believes in the potential of community development to empower communities and positively impact quality of life. Khara leverages her experience in city and regional planning to assist clients as they assess existing policies and processes, collect and evaluate stakeholder input, and identify and implement recommendations for improvement.

RELEVANT EXPERIENCE

Process Analysis and Improvement: Khara has managed the plan review process of large-scale development projects and ensured coordination with staff and municipal leadership throughout the process. She has initiated the planning process for affordable housing; collaborated with stakeholders to develop incentive programs; negotiated policy and map amendments on behalf of municipalities in the state planning process; and prepared local planning documents including development studies and annual planning reports.

Project Management: Khara is currently serving as a project manager in organizational and process improvement projects in Texas, including a staffing study for the City of Pearland's Facilities Management Division and a structural and efficiency study for the Development Services Department for the City of Fort Worth. She is also a project manager for the Town of Mountain View, Colorado, as they update their comprehensive plan. She utilizes her clear communication skills to engage with and lead the project team day-to-day, helping ensure the projects she leads remain on schedule while developing the highest-quality deliverables for the client.

Planning and Development: Khara has led various departments in development, planning and land use services, and economic development. She led the Town of Prosper, Texas, through multiple town strategic planning initiatives that improved town operations and procedures as well as enhanced the quality of life for residents and businesses. She prepared design guidelines, regulation amendments, and a

Responsibility, and
Governance (ESG)

American Planning
Association (APA)

APA Texas Chapter,
Member of the Diversity,
Equity, and Inclusion (DEI)
Committee

Texas Association of
Community Development
Corporations

APA Connecticut Chapter,
Member of the Executive
Board 2010 – 2020, DEI
Committee Chair, and
Diana Donald Scholarship
Committee Chair

Sustainable CT, Board
Member, 2017 – 2021

multi-faceted community engagement program to get input from residents, the development community, property owners, and board/commission members. Khara also completed major city initiatives including a Capital City Parks Master Plan and Downtown North Master Plan for the City of Hartford, CT. She leverages her experience managing stakeholders through the planning process from organizing capital improvement to implementing grant funds to assisting communities pursuing state and federal grants.

Zoning and Land Use Regulation: Serving as director of planning and land use services for the Town of Glastonbury, Connecticut, Khara oversaw four divisions, including the Offices of Health, Fire Marshall, Building Official/Zoning Enforcement, and Planning. She also led the Community Development Department through the COVID-19 pandemic, resulting in major shifts in department services, with many business practices and procedures transformed to digital processes.

REPRESENTATIVE CLIENTS

- ▶ City of Bangor, ME
- ▶ City of Ellsworth, ME
- ▶ City of Fort Worth, TX
- ▶ City of Pearland, TX
- ▶ City of Leander, TX
- ▶ City of Miami Beach, FL
- ▶ City of Woodinville, WA
- ▶ Town of Falmouth, ME
- ▶ Town of Mountain View, CO
- ▶ Sonoma County, CA



**Samuel K.
Eisenbeiser, MCP,
AICP**

*Planning and Development
SME | Senior Consultant*

**EDUCATION AND
CERTIFICATIONS**

Master of Community
Planning, University of
Rhode Island

Bachelor of Science,
Management, U.S. Coast
Guard Academy

**MEMBERSHIPS AND
AFFILIATIONS**

American Institute of
Certified Planners (AICP)

American Planning
Association (APA)

Connecticut Economic
Development Association

International Council of
Shopping Centers (ICSC)

**REPRESENTATIVE
CLIENTS**

- ▶ City of Ellsworth, ME
- ▶ Town of Bridgton, ME

Samuel Eisenbeiser is a senior consultant in BerryDunn's Local Government Practice Group. An AICP-certified planner with over 20 years of experience, he is a strong believer in the power of community planning to build strong local economies and vibrant places. He specializes in economic development, market analysis, and project management, with expertise in advanced public engagement techniques and decision-support tools. Both highly analytical and creative, he is skilled at helping divergent stakeholder groups find common ground and explaining technical concepts to diverse audiences. He is well-versed in market, fiscal and real estate analysis, community outreach, land use planning, and public opinion survey administration and interpretation.

RELEVANT EXPERIENCE

Economic Development Strategy: Samuel is accomplished in analyzing data and trends related to socioeconomics, labor and industry, and real estate supply and demand. He has experience as a family-owned business manager and eight years in economic development specialist positions, including economic development specialist and coordinator for the Towns of Groton and North Stonington, Connecticut, respectively. In those roles, he facilitated local business retention and expansion across Connecticut. This included site finding, administering tax abatement and grant programs, technical assistance, and industry support. By conducting industry analyses and formulating targeted strategies, he fostered growth within key sectors of his communities, even throughout the COVID-19 pandemic.

Transportation and Land Use Planning Expertise: Samuel has a strong understanding of the complexities of land use and transit planning, with a focus on promoting walkable, neighborhood-based development. As principal planner at FHI Studio in Hartford, Connecticut, he managed various land use and transportation planning projects, including corridor studies, downtown circulation plans, and multi-modal transportation studies. He also conducted demographic and economic analysis, including land use and transportation impact analyses.



Pete Croswell, MA, PMP®, CISP, CMA

*GIS and Land Records SME
| Subcontractor*

EDUCATION AND CERTIFICATIONS

MA, Geography and
Geology, Western Illinois
University

BA, Geography and Math,
SUNY Albany

Information technology
certificate program in the
University of Louisville
Delphi Center (IT system
administration and
management; networking;
Web design/development;
database management)

IT Professional Certificate,
University of Louisville

Certified Project
Management Professional®
(PMP®), Project
Management Institute®

ASPRS Certified Mapping
Scientist

Pete Croswell is president and lead consultant for Croswell-Schulte IT Consultants. He is also a former board member and president for the Urban and Regional Information Systems Association. He has over 40 years of experience in IT requirements assessment, business process evaluation, IT planning, quality assurance, and project management. He began his career as an IT analyst and manager for a local government organization and, for the past 30 years, has worked as a consultant for a wide range of public-sector organizations. He combines detailed technical expertise with seasoned management and communication skills. He is a certified PMP® and an author of many professional publications on IT management and technical topics. In addition to his consulting work, Pete is an adjunct instructor for the Penn State University Dutton E-Education Institute teaching courses on IT project management.

RELEVANT EXPERIENCE

GIS Technologies and Governance: Pete has an in-depth understanding of municipal government programs, including property assessment, management of real property transactions, infrastructure asset management, land planning and development, and GIS program evaluation, design, and planning. He has authored several papers, special publications, and books on GIS and IT planning and implementation, including the recently published *GIS Management Handbook*, which covers concepts and best practices for GIS program and project planning, implementation, and operations.

Most Pete's consulting experience has been for local government and utility organizations throughout the U.S. and Canada. He has worked with BerryDunn on a large number of local government consulting projects over the past 10 years. Some clients are listed below:

- ▶ City of Worcester, MA
- ▶ City of Philadelphia, PA
- ▶ Cuyahoga County, OH
- ▶ Loudon County VA
- ▶ City of Rio Rancho, NM
- ▶ City of Sioux Falls, SD
- ▶ City of Rochester, NY
- ▶ City of Alexandria, VA
- ▶ Glynn County, GA
- ▶ City of Raleigh, NC

APPENDIX B – BROADER SYSTEMS CONSULTING EXPERIENCE

Table 4, on the following pages, is a summary of public-sector system consulting projects with which our firm has assisted **in the last three years**. We also provide population data to offer additional context regarding our experience.

Table 4: Systems Consulting Experience Across the Full Life Cycle

	BerryDunn's Involvement						
	Needs Assessment	Requirements Definition	RFI/RFP Development	Evaluation Criteria	Vendor Selection	Contract Negotiations	Implementation Assistance
Counties and Regional Governments							
Berks County, Pennsylvania (415,000)	●	●	●	●	●	●	
Chesterfield County, Virginia (353,000)	●	●	●	●	●	●	
Clark County, Washington (488,000)	●	●	●	●	●	●	●
Coconino County, Arizona (140,000)						●	●
Doña Ana County, New Mexico (218,000)	●	●	●	●	●	●	
Ellis County, Texas (185,000)	●	●	●	●	●	●	●
Guilford County, North Carolina (537,000)							●
Hamilton County, Indiana (338,000)	●	●	●	●	●	●	●
Henrico County, Virginia (325,000)	●	●	●	●	●		

	BerryDunn's Involvement						
	Needs Assessment	Requirements Definition	RFI/RFP Development	Evaluation Criteria	Vendor Selection	Contract Negotiations	Implementation Assistance
Kaua'i County, Hawai'i (72,000)	●	●	●	●	●		
Maui County, Hawai'i (167,000)	●	●	●	●	●	●	
Lafayette Consolidated Government, Louisiana (242,000)	●	●	●	●	●	●	
Louisville/Jefferson County Metro, Kentucky (740,000)	●	●	●	●	●	●	●
Mobile County, Alabama (415,000)	●	●	●	●	●	●	●
Monroe County, Florida (74,000)	●	●	●	●	●	●	●
Montgomery County, Pennsylvania (831,000)	●	●	●	●	●	●	●
Outagamie County, Wisconsin (184,000)	●	●	●	●	●	●	●
Peoria County, Illinois (179,000)	●	●	●	●	●	●	●
Person County, North Carolina (39,000)							●
Saginaw County, Michigan (191,000)	●	●	●	●	●	●	●
Scott County, Iowa (166,000)	●	●	●	●	●	●	●
Yamhill County, Oregon (107,000)	●	●	●	●	●	●	●
Municipalities							

	BerryDunn's Involvement						
	Needs Assessment	Requirements Definition	RFI/RFP Development	Evaluation Criteria	Vendor Selection	Contract Negotiations	Implementation Assistance
City of Alameda, California (79,000)							●
City of Amarillo, Texas (199,000)	●	●	●	●	●	●	●
City of Aurora, Colorado (369,000)	●	●	●	●	●	●	●
City of Avondale, Arizona (85,000)	●	●	●	●	●	●	●
City of Beaverton, Oregon (97,000)	●	●	●	●	●	●	●
City of Boca Raton, Florida (91,000)	●	●	●	●	●	●	●
City of Broken Arrow, Oklahoma (112,000)	●	●	●	●	●	●	●
City of Cedar Falls, Iowa (41,000)	●	●	●	●	●	●	
City of Coral Springs, Florida (128,000)	●	●	●	●	●	●	●
City of Danville, Virginia (41,000)	●	●	●	●	●	●	
City of DeSoto, Texas (53,000)	●	●	●	●	●	●	
City of Detroit, Michigan (675,000)	●	●	●	●	●	●	●
City of Dover, Delaware (37,453)	●	●	●	●	●	●	●
City of Edina, Minnesota (52,000)	●	●	●	●	●	●	●

	BerryDunn's Involvement						
	Needs Assessment	Requirements Definition	RFI/RFP Development	Evaluation Criteria	Vendor Selection	Contract Negotiations	Implementation Assistance
City of Fargo, North Dakota (122,000)	●	●	●	●	●	●	
City of Farmers Branch, Texas (35,000)	●	●	●	●	●	●	●
City of Fort Collins, Colorado (165,000)	●	●					
City of Fountain Valley, California (56,000)	●	●	●	●	●	●	●
City of Frisco, Texas (177,000)	●	●	●	●	●	●	●
City of Gaithersburg, Maryland (68,000)	●						
City of Grand Prairie, Texas (193,837)							●
City of Helena, Montana (32,000)	●	●	●	●	●	●	●
City of Independence, Missouri (117,000)	●	●	●	●	●	●	●
City of Irvine, California (273,000)	●	●	●	●	●	●	●
City of Irving, Texas (230,000)	●	●	●	●	●	●	●
City of Lakeville, Minnesota (64,000)	●	●	●	●	●	●	●
City of Lawrence, Kansas (96,000)	●	●	●	●	●	●	●
City of Livermore, California (90,000)	●	●	●	●	●	●	

	BerryDunn's Involvement						
	Needs Assessment	Requirements Definition	RFI/RFP Development	Evaluation Criteria	Vendor Selection	Contract Negotiations	Implementation Assistance
City of Long Beach, California (470,000)							•
City of Mansfield, Texas (70,000)	•	•	•	•	•	•	
City of McKinney, Texas (181,000)	•	•	•	•	•	•	•
City of Midland, Texas (119,000)	•	•	•	•	•	•	•
City of Minot, North Dakota (48,000)						•	•
City of Ormond Beach, Florida (42,000)							•
City of Philadelphia, Pennsylvania (1,581,000)	•	•					
City of Plano, Texas (287,000)	•	•	•	•	•	•	
City of Puyallup, Washington (41,000)						•	•
City of Redding, California (92,000)	•	•	•	•	•	•	•
City of Richland, Washington (53,000)	•	•	•	•	•	•	•
City of San Leandro, California (90,000)	•	•	•	•	•	•	
City of Simi Valley, California (126,000)							•
City Spokane Valley, Washington (98,000)	•	•	•	•	•	•	•

	BerryDunn's Involvement						
	Needs Assessment	Requirements Definition	RFI/RFP Development	Evaluation Criteria	Vendor Selection	Contract Negotiations	Implementation Assistance
City of St. Charles, Missouri (70,000)	●	●	●	●	●	●	
City of Sugar Land, Texas (89,000)			●	●	●	●	●
City of Tampa, Florida (388,000)	●	●	●	●	●	●	●
City of Tucson, Arizona (525,000)	●	●	●	●	●	●	●
City of Weatherford, Texas (31,000)	●	●	●	●	●	●	●
City of Wheat Ridge, Colorado (31,000)	●	●	●	●	●	●	
City of Wilmington, North Carolina (117,000)	●	●	●	●	●	●	●
City of Worcester, Massachusetts (185,000)	●	●	●	●	●	●	●
Village of Downers Grove, Illinois (49,000)	●	●	●	●	●	●	●
Village of Oak Park, Illinois (52,000)	●	●	●	●	●	●	●
K-12 Public Education							
Laramie County School District One, Wyoming (14,000 students)	●	●	●	●	●	●	
Syracuse City School District, New York (20,000 students)					●	●	●

	BerryDunn's Involvement						
	Needs Assessment	Requirements Definition	RFI/RFP Development	Evaluation Criteria	Vendor Selection	Contract Negotiations	Implementation Assistance
Regional and Special Purpose							
Chicago Metropolitan Agency for Planning, Illinois (CMAP) (2,710,000)	●	●	●	●	●	●	●
Omaha-Council Bluffs Metropolitan Area Planning Agency, Nebraska (968,000)	●	●	●	●	●	●	
Tri-County Health Department, Colorado (1,400,000)	●	●	●	●	●	●	●
Waste Commission of Scott County, Iowa	●	●	●	●	●	●	
State Agencies and Divisions							
Massachusetts Development Finance Agency	●			●	●	●	●
Missouri Office of Administration, IT Services Division							●
Vermont Agency of Administration			●	●	●	●	●

03/20/2024

NORWALK PURCHASING DEPARTMENT

RESPONSE SUMMARY - PROJECT #4344

Software Project Management Consulting Services

Thank you for your response to our RFP. The following pages are a summary of the responses received.

VENDOR	ELECTRONIC SUBMISSION (ATTACHED)	HARD COPY SUBMISSION
Berry, Dunn, McNeil & Parker, LLC	Yes	Yes
Trinity Consulting LLC	Yes	Yes
Remedy Healthcare Consulting LLC	Yes	Yes

*Non-conforming bid: did not submit a Bid Security and/or did not submit the other required forms and/or submission requirements



4344 Software Project Management Consulting Services

Submissions

Supplier	Date Submitted	Name	Email	Confirmation Code
Remedy HealthCare Care Consulting LLC	Mar 16, 2024 6:22 AM EDT	Sheila Richmeier	sheila@remedyhc.com	NDA5ODEy
BerryDunn	Mar 18, 2024 10:05 AM EDT	Kevin Price	rfps@berrydunn.com	NDEwMDIx
Trinity Consulting LLC	Mar 18, 2024 12:06 PM EDT	Robin Ford	robin@trinityconsult.com	NDEwMTY1