

THE PLANNING COMMITTEE OF THE COMMON COUNCIL

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

TO: MEMBERS, PLANNING COMMITTEE OF THE COMMON COUNCIL
FROM: JOHN KYDES, CHAIRMAN
DATE: MAY 28, 2020
RE: MEETING NOTICE

The next scheduled meeting of the Planning Committee of the Common Council will be held on Thursday, June 4, 2020 at 6:00pm. Please note the earlier time. 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 can call in and listen to a meeting. They will not be able to speak or see any of the meeting participants. Each meeting will use a unique Meeting/Webinar ID. Please find the information using the link above.



Members of the public who wish to provide "live comments" will need to register in advance and 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 on by the host of the meeting during the public comment section. 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 read into the record, they should be submitted at least three hours in advance of the meeting start time. Please email Sabrina Church at schurch@norwalkct.org to provide written public comment prior to the meeting.

**PLANNING COMMITTEE OF THE COMMON COUNCIL
REGULAR MEETING
June 4, 2020
6:00PM
AGENDA**

CALL TO ORDER

ROLL CALL

PUBLIC HEARING – Neighborhood Assistance Act Tax Credit Program

Applications can be viewed at the following link: <https://www.norwalkct.org/1709/Neighborhood-Assistance-Act-Tax-Credit-P>

PUBLIC HEARING – CDBG-CV Applications

Applications can be viewed at the following link:
<https://www.norwalkct.org/1412/Community-Development-Block-Grant>

PUBLIC PARTICIPATION

I. ADMINISTRATION

- a. Approval of the Minutes of the May 7, 2020 Regular Meeting.

II. NEW BUSINESS

- a. Neighborhood Assistance Act Tax Credit Program
 - 1. Advance the recommended applications to the Common Council for approval of their inclusion in the 2020 NAA tax credit program.
- b. Community Development Block Grant – COVID-19 Funds
 - 1. Approve scheduling a public hearing at the August 6, 2020 meeting on the amended PY45 AAP and Citizen Participation Plan to advance the documents to the Common Council.
- c. Community Development Block Grant
 - 1. Advance the final 5-year Consolidated Plan (ConPlan) and PY46 Annual Action Plan (AAP) to the Common Council for its approval and authorize the Mayor to execute any and all documents associated with the submission of the ConPlan/PY46 AAP to HUD and all documents consistent with the approved ConPlan/PY46 AAP.
- d. Industrial Zones Study
 - 1. Authorize the Mayor, Harry W. Rilling, to execute an Agreement with Utile, Inc. to conduct an Industrial Zones Study, in an amount not to exceed \$100,000.

III. OLD BUSINESS

ADJOURNMENT

**CITY OF NORWALK
PLANNING COMMITTEE
REGULAR MEETING
MAY 7, 2020**

The next scheduled meeting of the Planning Committee of the Common Council will be held on Thursday, May 7, 2020 at 7:00 p.m.

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 can call in and listen to a meeting. They will not be able to speak or see any of the meeting participants. Each meeting will use a unique Meeting/Webinar ID. Please find the information using the link above.

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ATTENDANCE: John Kydes, Chair; Mayor Harry Rilling; Thomas Keegan;
Thomas Livingston; Barbara Smyth; George Tsiranides;
Darlene Young; Lisa Shanahan (7:05 p.m.)

STAFF: Sabrina Church, Director of Business Development and Tourism;
Henry Dachowitz, Chief Financial Officer; Angela Fogel, Director
of Management and Budgets;

OTHERS: Gregory Burnett, David Heuvelman, Dominique Johnson, Common Council Members; Brian Bidoli, Executive Director Norwalk Redevelopment Agency; Christine Bradley, Library Director; Anthony Carr, Chief of Operations and Public Works; Jessica Casey, Chief of Economic and Community Development; Lamond Daniels, Chief of Community Services; Karen DelVecchio, Director of Information Technology; Gino Gatto, Fire Chief; Thomas Hamilton, CFO, Norwalk Public Schools; Bill Hodel, Director of Facilities, Norwalk Public Schools; Kathryn Hebert, Chief of Transportation Mobility Parking; Anna Keegan, Acting Director of Human Relations and Fair Rent; Steven Kleppin, Director of Planning and Zoning; Thomas Kulhawik, Chief of Police; Nicholas Roberts, Director of Recreation and Parks; David Westmoreland, Historical Commission

CALL TO ORDER

Mr. Kydes called the meeting to order at 7:02 p.m.

ROLL CALL

Mr. Kydes called the Roll as indicated above.

PUBLIC HEARING

Draft PY46 Action Plan (2020-2021) and 5-year ConPlan (2020-2024)

The draft plan can be viewed at the following link:

<https://www.norwalkct.org/1412/Community-Development-Block-Grant>

Mr. Kydes opened the public hearing and Mr. Bidolli gave an overview of the plans.

The Committee members did not have any questions and no questions were submitted by the public.

Mr. Kydes closed the public hearing.

PUBLIC HEARING

Amendment of the Citizen Participation Plan to include a 5-day comment period to accommodate deployment of CDBG-CV Funding Program application for CDBG-CV funds can be found at the following link:

https://www.norwalkct.org/DocumentCenter/View/15850/CARES-Act_CDBG-CV-Application

Mr. Kydes opened the public hearing.

The Committee members did not have any questions and no questions were submitted by the public.

Mr. Kydes closed the public hearing.

PUBLIC PARTICIPATION

No public comments were submitted.

Ms. Shanahan joined the meeting at 7:05 p.m.

I. ADMINISTRATION

a. Approval of the Minutes of the March 5, 2020 Regular Meeting.

**** MS. SMYTH MOVED TO APPROVE THE MINUTES AS SUBMITTED
** MOTION PASSED UNANIMOUSLY BY ROLL CALL VOTE (MR. KEEGAN; MR. KYDES; MR. LIVINGSTON; MS SHANAHAN; MS. SMYTH; MR. TSIRANIDES; MS. YOUNG)**

II. NEW BUSINESS

a. FY2021 Capital Budget

**** MS. SMYTH MOVED TO APPROVE ADVANCEMENT OF THE FY2021 CAPITAL BUDGET TO THE COMMON COUNCIL**

Police Chief Kulhawik provided an overview of the requests made by the Norwalk Police Department.

Fire Chief Gatto provided an overview of the requests made by the Norwalk Fire Department.

Mr. Carr provided an overview of the requests made by the Public Works and Recreation and Parks departments.

Ms. Smyth asked about the \$1.5 million ask for Cranbury Park. Mr. Roberts explained that the ask is for restorations at the mansion. Mr. Kydes asked about the \$50,000 request for sidewalks and paving. Mr. Roberts explained that is for paving in the parks. Mr. Kydes asked if they piggyback on City contracts. Mr. Roberts said they combine the bids to get the most competitive price.

Mr. Ready gave a brief overview of the requests made by the Building Department.

Mr. Carr gave an overview of the requests made by the WPCA. Mr. Dachowitz noted that the WPCA is an Enterprise Fund and charges user fees. The pricing is designed to break even.

Ms. Hebert gave an overview of the requests made by Transportation, Mobility and Parking. She noted they are working on Safe Routes to School and have a request related to Rowayton and George Avenue sidewalks. She said she has one small change request to move \$40,000 from the Transportation Master Plan to the fleet to replace a critical department vehicle. one account to another.

Ms. Hebert reviewed the Transportation Master Plan.

Mr. Kleppin provided an overview of the requests made by the Planning and Zoning Departments.

Ms. Church gave an overview of the three requests made by the Economic and Community Development department.

Ms. Church reviewed the \$50,000 request made by the Arts Commission for art installation around the Dr. Martin Luther King Drive corridor.

Ms. Hebert reviewed the three requests made by the Parking Authority and noted they are an Enterprise Fund.

Mr. Westmoreland reviewed the requests made by the Historical Commission.

Mr. Daniels reviewed the request to upgrade security at the Health Department building related to their clinics.

Ms. Keegan explained the request by Human Relations and Fair Rent is for ADA compliance.

Ms. Bradley reviewed the requests made by the Library. She said one is for the laptop dispensaries. Another is to digitize *The Norwalk Hour* newspapers between 1929-1950. She discussed the plans to renovate the Auditorium. She said it has gotten a lot of use over the past couple of years. Mr. Daniels added that the space brings in a modest revenue.

Mr. Bidolli reviewed the Norwalk Redevelopment Agency's requests for funding for affordable housing and the general façade program.

Ms. DelVecchio gave an overview of the requests made by the IT department. She said they are for public safety, Library projects and City-wide initiatives. Mr. Kydes noted that this department was tasked with COVID-19 related projects and asked if those additional expenses were taken into account. Ms. DelVecchio explained that this budget was created before that. Mr. Dachowitz said the City had to order some laptops for staff. He described the additional expenses related to the work process.

Due to a potential conflict of interest, Ms. Smyth left the meeting. She said she was pleased to see support for Silvermine and Cranbury Schools and school security.

Ms. Shanahan also left the meeting.

Mr. Hamilton gave an overview of the Board of Education's projects. The top priority is Cranbury School and the second is the Norwalk High School project. He explained that last year it became apparent there was an opportunity for the State to pick up a substantial part of the Norwalk High School project that could be positioned as a pilot for the State of Connecticut. This concept would be an exchange of students and the P-tech model is based upon providing a high school degree with an Associates degree.

The P-tech model is intended to serve underserved students and the arts academy may serve another type of student. It is believed that a number of school districts will be interested in these programs. He noted that details have to be worked out, but believes it will be a one for one student.

Mr. Keegan asked if there is currently a list of students to get into the P-tech program. Mr. Hamilton said it is currently fully subscribed. Mr. Keegan asked if it would be possible that Norwalk students may not get into the program. Mr. Hamilton said Norwalk students would have first preference to attend the program.

Mr. Livingston said the Legislature adjourned without making a decision on funding. He said that Senator Duff said they may have a special session in June or July.

Mr. Hamilton reviewed the kitchen renovation requests at Naramake School and said it has been deemed a high priority project by their school Council.

Mr. Hodel reviewed the plans for removing 11 fuel tanks.

Mr. Hamilton reviewed the Silvermine School driveway improvement plan. Mr. Dachowitz said that in the first year, \$80,000 is for the design and \$1 million is in the subsequent year budget for construction.

Mr. Hodel reviewed the air conditioning program. He said they would like to do two schools per year. Mr. Hamilton said that they put in full air conditioning when they do a major construction/renovation. This request is for those other schools.

Mr. Hodel reviewed the request for funding asbestos abatement. He said this is a continuation of the asbestos management and removal process.

Mr. Hamilton discussed the request for new furniture at Ponus Ridge Middle School. He said this is an issue coming from the school community. He said Mayor Rilling is not recommending funding.

Mr. Hodel reviewed the air quality program at Brien McMahon High School. He said they take this very seriously and this is a continuation of the program. He added that he believes there will be more requests going forward.

Mr. Hamilton reviewed the request for enhancements to school security.

Mr. Hamilton explained that the request for institutional technology is to fund technology at various schools.

Mr. Dachowitz presented slides of the project/budget schedules. He also presented the bonding capacity and said it was determined that \$400 million is the amount they can borrow and keep their AAA rating. He said that currently they have debt service where they can re-pay about \$20 million each year.

Mr. Dachowitz said that going forward they are looking at \$118 million of previous authorized capital projects that have not yet been bonded. New project authorizations net \$129 million. He said they are closing out the existing Norwalk High School project.

Mr. Dachowitz said what needs to be done is an examination of the projects that have been authorized and tough decisions have to be made. He said they were able to get through FY 20/21 and authorize everything, but they are using future capacity and the operating budget will be under tremendous losses. He said we are in a major recession and wants to limit the mill rate.

Mr. Livingston asked Mr. Dachowitz if he was saying that the typical \$5 million paving project is problematic. Mr. Dachowitz said everyone has a need and wish list and they are all wonderful, but they have to be re-evaluated. The best way to do that is to stretch things out and make do. If the grand list grows after the recession, some of that can be translated into capital projects. Mr. Dachowitz said they have to be very careful and cautious going forward.

Mr. Livingston asked how the request for technology for the Board of Education would be dealt with. Mr. Dachowitz said he and Mr. Hamilton have a good working relationship and they are all in this together.

**** MR. LIVINGSTON MOVED TO AMEND THE CAPITAL BUDGET AND APPROVE THE TRANSFER OF \$40,000 FROM THE TRANSPORTATION MASTER PLAN TO FLEET EQUIPMENT**

**** MOTION PASSED UNANIMOUSLY BY ROLL CALL (VOTE (MR. KEEGAN; MR. KYDES; MR. LIVINGSTON; MR. TSIRANIDES; MS. YOUNG)**

**** MR. LIVINGSTON MOVED TO APPROVE THE CAPITAL BUDGET AS AMENDED**

**** MOTION PASSED BY ROLL CALL VOTE WITH SIX (6) VOTES IN FAVOR (MR. KYDES; MR. LIVINGSTON; MR. TSIRANIDES; MS. YOUNG) AND ONE (1) VOTE IN OPPOSITION (MR. KEEGAN)**

Ms. Smyth rejoined the meeting.

b. Neighborhood Assistance Act Tax Credit Program

**** MR. TSIRANIDES MOVED TO APPROVE SCHEDULING A PUBLIC HEARING ON THE 2020 NAA TAX CREDIT PROGRAM APPLICATIONS TO BE HELD DURING THE JUNE 4, 2020 PLANNING COMMITTEE MEETING**

Mr. Bidoli explained that applications are available for the NAA Tax Credit program.

**** MOTION PASSED UNANIMOUSLY BY VOICE VOTE**

c. Enterprise Zone

**** MS. SMYTH MOVED TO** Approve the advancement of the expansion of the Enterprise Zone Ordinance to include Census Tract 437 to the Ordinance Committee of the Common Council.

Ms. Casey presented an overview of the Enterprise Zone and reviewed the projects that received Enterprise Zone tax abatements. She said she was seeing action to approve advancement of the expansion of the Enterprise Zone.

Mr. Kydes asked Ms. Casey if she saw any issues with getting State approval if she gets approval from the City. Ms. Casey said she did not see an issue.

Mayor Rilling thanked Ms. Casey for her informative presentation. He said he fully supports this initiative. He noted that there has been a lot of misinformation spreading that homeowners are subsidizing businesses.

Mayor Rilling noted that we are in an economic downturn, and will be looking at projects that create jobs. He said he hopes local contractors will be put to work. He said they need to jump start the Wall Street area, that has struggled since the flood of 1955. He said that of all the projects built, three took advantage of the Enterprise Zone and two more will be taking advantage of the Enterprise Zone.

**** MOTION PASSED UNANIMOUSLY BY ROLL CALL VOTE (MR. KEEGAN; MR. KYDES; MR. LIVINGSTON; MS. SMYTH; MR. TSIRANIDES; MS. YOUNG)**

d. Update on the East Norwalk Train Station proposed improvements and additional transit-oriented initiatives. She also presented slides showing short term, medium term and long term opportunities.

Mr. Kleppin gave a presentation on the East Norwalk Train Station proposed improvements. He said the Committee has been working on the plan for over a year. He said that in the areas of Charles Street and Osborne Avenue, they are looking at a façade improvement program and looking to relocate the Public Works garage and repurpose that property.

The idea is to pull the commercial properties closer to the train station. Existing business will be grandfathered, but if they convert to a residential use, they will not be able to go back to a business use.

Mr. Kleppin said that Liberty Square and the Cove Avenue areas will be separate districts. The plan includes installing a promenade to connect South Norwalk to East Norwalk. Mr. Kleppin described other initiatives including the addition of outdoor gathering areas, creating rain gardens and sculptures.

Mr. Kleppin reviewed the designs and guidelines. Mr. Kydes thanked Mr. Kleppin for keeping the public informed.

OLD BUSINESS

There was no old business discussed this evening.

ADJOURNMENT

**** MR. KEEGAN MOVED TO ADJOURN**
**** MOTION PASSED UNANIMOUSLY**

There was no further business and the meeting was unanimously adjourned at 10:22 p.m.

Respectfully submitted,

Rosemarie Lombardi
Telesco Secretarial Services

TO: MEMBERS, PLANNING COMMITTEE OF THE COMMON COUNCIL
FROM: STAFF OF THE NORWALK REDEVELOPMENT AGENCY
RE: 2020 NEIGHBORHOOD ASSISTANCE ACT (NAA) TAX CREDIT PROGRAM
DATE: MAY 27, 2020

The Neighborhood Assistance Act Tax Credit Program (NAA-TCP) provides a tax credit to business firms that make cash investments in qualifying community programs conducted by tax exempt or municipal agencies. A tax credit equal to 100% of the cash invested is available to business firms that invest in energy conservation projects and a tax credit equal to 60% of the cash invested is available to business firms that invest in programs that provide for example: Neighborhood assistance, employment and job training, education, community services, crime prevention, Community-based alcoholism prevention or treatment and any other program which serves a group of individuals where at least 75% of the individuals are at an income not exceeding 150% of the poverty level for the year immediately preceding the year during which the tax credit is to be granted.

The Norwalk Redevelopment Agency obo City of Norwalk, received 14 applications for Connecticut's 2020 NAA-TCP. Accompanying this memo is an electronic binder showcasing each NAA-TCP application. Please note:

- This is not a Norwalk grants program, nor are any funds controlled by the City of Norwalk involved.
- 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 the State's Department of Revenue Services.

Under statute, the non-profit, tax-exempt organizations with 501c3 status must be referred by the local legislative body following a public hearing which was held at the beginning of this meeting. Note: Applicants are not making presentations on their NAA-TCP applications. Following the public hearing, the Committee is asked to advance to the Common Council any or all of the following applications received. The full applications are posted here: <http://www.norwalkct.org/1709/Neighborhood-Assistance-Act-Tax-Credit-P>

Organization	Program Title	Amount Requested	Credit % Requested
Triangle Community Center	Mental Health Counseling, Case Management & Educations	\$24,500	60%
ElderHouse	Adult Day Svcs for low-income persons w/Alzheimer's Disease	\$50,000	60%
Junior Achievement of Greater Fairfield County, Inc.	Supplimental Financial Literacy Programs	\$33,000	60%
Human Services Council, Inc.	Energy Conservation – Improvements to 40 S Main St., Supportive Housing	\$86,503	100%
Maritime Aquarium at Norwalk	Energy Conservation – Replacement of Air Handling Units (Phase 1)	\$150,000	100%
Open Door Shelter	Employment First Job Placement Program	\$75,000	60%
Open Door Shelter	Energy Efficient Windows for supportive housing for homeless	\$40,000	100%
Liberations Programs, Inc.	Substance use Disorder Treatment	\$142,125	60%
Domestic Violence Crisis Ctr	Security System for the Norwalk SafeHouse	\$10,000	60%
Star CT	Smart Home Showcase for People with Disabilities	\$24,500	100%
Saturday Academy	Girls in Tech: Build a take home laptop	\$22,300	60%

Keystone House	Energy Efficient Generator at St. John Street Group Home	\$6,664	100%
Broad River Homes	Window Replacement	\$90,000	100%
Stepping Stones Musuem	Open Arms Accessibility Initiative	\$150,000	100%

REQUESTED ACTION:

1. Advance the recommended applications to the Common Council for approval of their inclusion in the 2020 NAA tax credit program.

To run on May 28, 2020

LEGAL NOTICE

Neighborhood Assistance Act Tax Credit Program – 2020 Public Hearing

The Planning Committee of the Norwalk Common Council will hold a **virtual public hearing** to secure public comment regarding 2020 Neighborhood Assistance Act Tax Credit Program Applications on **Thursday, June 4, 2020 at 6:00PM.**

Applications submitted by local nonprofit organizations are available online at the following location: <http://www.norwalkct.org/1709/Neighborhood-Assistance-Act-Tax-Credit-P> on the City's Website.

Anyone may access the meeting by either telephone, Zoom and/or the City of Norwalk YouTube Channel. To join the meeting register here:

https://us02web.zoom.us/webinar/register/WN_Ca0p9g3xTGuRCtSL7DGu3w

Additional instructions for public access are available at:

https://www.norwalkct.org/DocumentCenter/View/15695/7---PublicGuidance_ZoomMeetings---462020docx

Telephone Access (Listening Only) Dial: 646-558-8656 Enter Webinar ID: 992 5817 0999

Viewing Access (Listening Only) A live stream will be available on the City of Norwalk CT YouTube Channel at <https://www.norwalkct.org/youtube>.

Members of the public are encouraged to speak. Persons unable to attend, may submit written comments for the record no later than 12:00PM on Thursday, June 4, 2020 to Lori Ellyn Guttman at lguttman@norwalkct.org.



NEIGHBORHOOD ASSISTANCE ACT TAX CREDIT PROGRAM 2020

NORWALK  **DEVELOPMENT AGENCY**

TABLE OF CONTENTS

1	Broad River House – Energy Conservation – Window Replacement
2	Domestic Violence Crisis Center – Security System for the Norwalk SafeHouse
3	Elder House – Adult Day Services for low-income persons with Alzheimer’s Disease
4	Human Services Council, Inc. – Energy Conservation – Improvements to 40 S Main St Supportive Housing
5	Junior Achievement of Greater Fairfield County, Inc. – Supplemental Financial Literacy Programs
6	Keystone House – Energy Efficient Generator at St. John Street Group Home
7	Liberation Programs – Substance use disorder treatment
8	Maritime Aquarium at Norwalk – Energy Conservation – Replacement of Air Handling Units (Phase 1)
9	Open Door Shelter – Employment First Job Placement Program
10	Open Door Shelter – Energy Efficient Windows for supportive housing for the homeless
11	Saturday Academy – Girls in Tech: Build a take home laptop
12	Star, Inc. – Girls in Tech: Build a take home laptop
13	Stepping Stones Museum – Open Arms Accessibility Initiative
14	Triangle Community Center – Mental Health Counseling, Case Management & Education

BROAD RIVER HOMES



Municipality: Norwalk

Form NAA-01

2020 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: Window Replacement at Broad River Homes - continued

Name of contact person: Gerry Stuhlman

Telephone number: (203) 846-3700

Email address: BroadRiver@ehmchm.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 90,000.00

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: _____

This is a continuation of a multi-year project. We have 48 apartments rented to low income elderly and disabled, who pay 30% of their income for rent. We also serve 2 meals per day, 365 days per year. We have about 80 folks on our waiting list. With these funds we will continue to replace our 1982 era windows, in true need of replacement. With NAA funds, Community Development Block Grants and from our own reserves, we have replaced over 110 windows in recent years. We have about 90 windows more to replace.

Need for program:

Lots of heat and cooled air escape though our old windows, adding to our energy consumption - and expenses. There is also a host of operational difficulties with them. These include problems with opening, closing, sliding and locking. In addition to presenting challenges and frustrations to our tenants, they are a potential problem in the event of an emergency. In addition to our own decision to take on this project, problems with our windows have been flagged for attention in an independent building inspection mandated by our contracts with HUD.

Neighborhood area to be served: _____

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

Plan to implement the program: _____

We would anticipate receipt of NAA donations during December, 2020. As this project is good weather dependent, work would likely begin in spring of 2021. Having had significant experience with replacement of well over 100 windows already at our site, required planning for and supervision of project will be handled by the site Administrator and Super.

Timetable:Program start date: May 15, 2021Program completion date: October 31, 2021

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

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

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

Sources of Revenue:NAA funds requested \$90,000.00

Other funding sources - itemized sources:

a) Replacement Reserves in place \$56,000.00b) In-kind personnel services \$2,500.00

c) _____

d) _____

Total Funding: \$148,500.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Contract for selected window replacement \$132,500.00b) Reserve for change orders to scope of work \$5,000.00

c) _____

d) _____

Administrative expenses - itemized description:

a) Professional fund raising fee \$7,500.00b) Post project review by CPA firm \$1,000.00c) In-kind on-site Administrative supervision of project \$1,000.00d) In-kind on-site Superintendent supervision of project \$1,500.00**Total Proposed Expenditures:** \$148,500.00

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:	Lori Ellyn Guttman, Director of Community Development Planning
Telephone number:	203-854-7810 x46781
Fax number:	_____
Email address:	lguttman@norwalkct.org

Post-Project Review
Is a post-project review required for this proposal?
☒ Yes ☐ No
If Yes , date post-project review due:
11/15/2021
Date

Return of Organization Exempt From Income Tax

OMB No. 1545-0047

2018**Open to Public Inspection**Department of the Treasury
Internal Revenue Service

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.

A For the 2018 calendar year, or tax year beginning 11/1/2018, and ending 10/31/2019																		
B Check if applicable:	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td colspan="2">C Name of organization NORWALK CONGREGATE HOMES FOR THE ELDERLY, INC.</td> <td rowspan="2">D Employer identification number 06-1019968</td> </tr> <tr> <td colspan="2">Doing business as BROAD RIVER HOMES</td> </tr> <tr> <td colspan="2">Number and street (or P.O. box if mail is not delivered to street address) C/O EHM 127 WASHINGTON AVE</td> <td>Room/suite 5TH FL EAST</td> </tr> <tr> <td>City or town NORTH HAVEN</td> <td>State CT</td> <td>ZIP code 06473-1715</td> </tr> <tr> <td colspan="2">Foreign country name</td> <td>Foreign province/state/county</td> </tr> <tr> <td colspan="2"></td> <td>Foreign postal code</td> </tr> </table>	C Name of organization NORWALK CONGREGATE HOMES FOR THE ELDERLY, INC.		D Employer identification number 06-1019968	Doing business as BROAD RIVER HOMES		Number and street (or P.O. box if mail is not delivered to street address) C/O EHM 127 WASHINGTON AVE		Room/suite 5TH FL EAST	City or town NORTH HAVEN	State CT	ZIP code 06473-1715	Foreign country name		Foreign province/state/county			Foreign postal code
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Doing business as BROAD RIVER HOMES																		
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Foreign country name		Foreign province/state/county																
		Foreign postal code																
☐ Address change																		
☐ Name change																		
☐ Initial return																		
☐ Final return/terminated																		
☐ Amended return																		
☐ Application pending																		
E Telephone number 203-230-4809																		
G Gross receipts \$ 1,379,014																		
F Name and address of principal officer: CHRISTOPHER JARBOE 65 EAST AVENUE, 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: NONE																		
H(c) Group exemption number																		
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 INCOME 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	10
	4	Number of independent voting members of the governing body (Part VI, line 1b)	4	10
	5	Total number of individuals employed in calendar year 2018 (Part V, line 2a)	5	0
	6	Total number of volunteers (estimate if necessary)	6	10
	7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	0
b	Net unrelated business taxable income from Form 990-T, line 38	7b	0	
Revenue	8	Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
	9	Program service revenue (Part VIII, line 2g)	28,060	64,254
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	1,173,343	1,184,798
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	16,604	19,229
	12	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)	1,218,007	1,268,281
Expenses	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)	426,674	428,884
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	0	0
	b	Total fundraising expenses (Part IX, column (D), line 25)	0	0
	17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	699,674	718,103
	18	Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25)	1,126,348	1,146,987
	19	Revenue less expenses. Subtract line 18 from line 12	91,659	121,294
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)	2,310,733	2,370,134
	22	Net assets or fund balances. Subtract line 21 from line 20	2,020,280	1,933,521
	22	Net assets or fund balances. Subtract line 21 from line 20	290,453	436,613

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		
	CHRISTOPHER JARBOE, PRESIDENT			
Type or print name and title				
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check ☒ if self-employed
	ALAN J TUCKER, CPA	ALAN J TUCKER, CPA	2/3/2020	PTIN P00129141
	Firm's name	Firm's EIN		
	ALAN J TUCKER, CPA	30-0689675		
Firm's address			Phone no.	
26 HONEY HILL RD, NORWALK, CT 06851			203-847-1323	

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** (2018)

DOMESTIC VIOLENCE CRISIS CENTER



Municipality: City of Norwalk

Form NAA-01

2020 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: _____
Domestic Violence Crisis Center

Address: _____
1111 Summer Street, Suite 203, Stamford, CT 06905
16 River Street, 1st Floor, Norwalk, CT 06850

Federal Employer Identification Number: 06-1057356

Program title: Security System for the Norwalk SafeHouse

Name of contact person: Suzanne Adam, Executive Director

Telephone number: (203) 588-9100

Email address: SAdam@dvccct.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 10,000.00

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 security system to be installed includes automatic locking doors that can be opened by keypad, motion sensors on all exterior doors and windows, panic buttons that will immediately alert either the police or fire departments, and security cameras that will record to a secure server off site. There will also be an integrated smoke and carbon monoxide alarm system that will alert the fire department if either is detected.

Need for program:

DVCC's Norwalk SafeHouses is staffed 24/7/365. There are three shifts (morning, evening, and night) with one employee on duty per shift. With only one employee on duty it is imperative they have access to an advanced working security system so the appropriate authorities can be contacted immediately when a situation calls for it. Examples could be: an abuser finds a SafeHouse, break-ins/theft, fire, etc. The SafeHouse employees not only have to secure their safety, but the safety of up to 15 clients who could be residing in the SafeHouse as well.

Neighborhood area to be served: _____

Domestic violence or intimate partner violence (IPV) will directly affect one in four women in any community in her adult lifetime. The target population for the project is victims of domestic violence in Stamford, primarily low to moderate income residents, as well as chronically under-served populations, including immigrants, undocumented persons, non-English speaking persons, persons with disabilities, and victims living in deep poverty or forced into poverty by domestic violence.

Plan to implement the program: _____

As soon as funding is secured, we will contact our security company to start ordering and installing the new security system. Due to the current climate due to COVID-19, we cannot give an exact time-line of the work to be completed as there may be some delays. However, all work will be completed by the end of our fiscal year on June 30, 2021.

Timetable:Program start date: July 1, 2020Program completion date: June 30, 2021

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

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

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

Sources of Revenue:NAA funds requested \$10,000.00

Other funding sources - itemized sources:

a) _____

b) _____

c) _____

d) _____

Total Funding: \$10,000.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Labor & Parts \$10,000.00

b) _____

c) _____

d) _____

Administrative expenses - itemized description:

a) _____

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$10,000.00

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:	Lori Ellyn Guttman, Director of Community Development Planning
Telephone number:	203-854-7810 x46781
Fax number:	_____
Email address:	lguttman@norwalkct.org

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

Return of Organization Exempt From Income Tax

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

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

G Go to www.irs.gov/Form990 for instructions and the latest information.**2018****Open to Public Inspection**Department of the Treasury
Internal Revenue Service

A For the 2018 calendar year, or tax year beginning <u>7/01</u> , 2018, and ending <u>6/30</u> , 2019	
B Check if applicable: ☐ Address change ☐ Name change ☐ Initial return ☐ Final return/terminated ☐ Amended return ☐ Application pending	C DOMESTIC VIOLENCE CRISIS CENTER 1111 SUMMER STREET #203 STAMFORD, CT 06905 F Name and address of principal officer: SAME AS C ABOVE
D Employer identification number 06-1057356 E Telephone number 203-588-9100 G Gross receipts \$ <u>2,404,664.</u>	
I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) () ☐ H (insert no.) ☐ 4947(a)(1) or ☐ 527 J Website: G <u>WWW.DVCCCT.ORG</u> K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other G L Year of formation: <u>1982</u> M State of legal domicile: <u>CT</u>	
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 <u>G</u>	

Part I Summary

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: <u>SEE SCHEDULE O</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	13
	4 Number of independent voting members of the governing body (Part VI, line 1b).....	4	13
	5 Total number of individuals employed in calendar year 2018 (Part V, line 2a).....	5	66
	6 Total number of volunteers (estimate if necessary).....	6	272
Expenses	7 a Total unrelated business revenue from Part VIII, column (C), line 12.....	7a	-2,069.
	b Net unrelated business taxable income from Form 990-T, line 38.....	7b	0.
	8 Contributions and grants (Part VIII, line 1h).....	Prior Year	Current Year
	9 Program service revenue (Part VIII, line 2g).....	2,971,317.	2,159,855.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d).....	67,992.	73,079.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e).....	156,168.	133,071.
	12 Total revenue * add lines 8 through 11 (must equal Part VIII, column (A), line 12).....	3,195,477.	2,366,005.
	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3).....		
	14 Benefits paid to or for members (Part IX, column (A), line 4).....		
	15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10).....	1,667,595.	1,944,492.
Net Assets or Fund Balances	16 a Professional fundraising fees (Part IX, column (A), line 11e).....		
	b Total fundraising expenses (Part IX, column (D), line 25) G <u>74,214.</u>		
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e).....	655,214.	529,351.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25).....	2,322,809.	2,473,843.
	19 Revenue less expenses. Subtract line 18 from line 12.....	872,668.	-107,838.
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).....	1,484,705.	1,385,664.
	22 Net assets or fund balances. Subtract line 21 from line 20.....	87,695.	114,405.
		1,397,010.	1,271,259.

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	A Signature of officer		Date		
	A DAVID STONE		TREASURER		
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
	KATHRYN PERRY, CPA	KATHRYN PERRY, CPA			P00044857
	Firm's name	G JUMP, PERRY AND COMPANY, L.L.P.			Firm's EIN G 22-2264838
	Firm's address	G 12 LEXINGTON AVENUE TOMS RIVER, NJ 08753-7545			Phone no. (732) 240-7377

May the IRS discuss this return with the preparer shown above? (see instructions) ☒ Yes ☐ No**BAA For Paperwork Reduction Act Notice, see the separate instructions.**

TEEA0101L 08/20/18

Form 990 (2018)

ELDERHOUSE



Municipality: City of Norwalk

Form NAA-01
2020 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: _____
ElderHouse, Inc.

Address: 7 Lewis Street, Norwalk, CT 06851

Federal Employer Identification Number: 06-0963343

Program title: Adult Day Care

Name of contact person: Denise Cesareo, Executive Director

Telephone number: (203) 847-1998

Email address: dcesareo@ElderHouse.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): Adult Day Services for low-income persons with Alzheimer's disease

Description of program: _____

See attachment

Need for program: _____

See attachment

Neighborhood area to be served: _____

ElderHouse serves the City of Norwalk, Darien, New Canaan, Wilton, Westport and Weston.

Plan to implement the program: _____

See attachment

Timetable:Program start date: 7/1/2020Program completion date: 6/30/2021

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

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

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

Sources of Revenue:NAA funds requested \$50,000.00

Other funding sources - itemized sources:

a) Government \$40,597.00b) Foundations & Corporations \$56,993.00c) Fundraising Events \$17,000.00

d) _____

Total Funding: \$114,590.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Nurse (medical monitoring) \$48,600.00b) Health Aides (personal care) \$34,900.00c) Recreation Leaders (therapeutic recreation) \$44,730.00d) Van Driver (client door-through-door transportation) \$16,560.00

Administrative expenses - itemized description:

a) Administration & Overhead \$19,740.00

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$164,530.00

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: _____

13 Belden Avenue, Norwalk CT 06850

Name of municipal liaison: Lori Ellyn Guttman, Director of Community Development Planning

Telephone number: ~~XXXXXXXX~~ 203-854-7810 x46781

Fax number: _____

Email address: lguttman@norwalkct.org

Post-Project Review

Is a post-project review required for this proposal?

☐ Yes

☒ No

If Yes, date post-project review due:

Date

Program Title - Adult Day Services for Persons with Alzheimer's Disease

Total NAA funding request - \$50,000

Description of program

ElderHouse is a non-profit medical model adult day care center whose mission is to provide frail aging seniors with a safe, nurturing environment where they can share time with others while receiving the care they need. Our accredited program improves quality of family life by stabilizing the health and providing supervision to older adults with chronic conditions, while affording caregivers peace of mind.

For over 40 years, ElderHouse has been providing comprehensive daytime center-based care and services to lower Fairfield County's older adults living with memory loss and other cognitive and physical impairments. ElderHouse provides a safe place where older seniors, who if left home without supervision may be at risk for falls, wandering, overmedicating, self-neglect and depression, benefit daily from peer socialization and engagement with a team of memory and elder care specialists.

Six days per week older adults are offered door-through-door transportation to ElderHouse receiving these services to help improve health outcomes:

- Nursing Services – On-site nursing, medication administration, coordination with personal physician, help with hygiene from certified nursing assistants
- Memory Care - Staff trained in dementia, personal care, individualized engagement, memory enhancement programs, daily supervision in a safe and secure facility
- Recreation Programs - Daily exercise, art and leisure activities, pet therapy, modified sports, concerts and performances
- Meals - Nutritious lunch, healthy snacks, dietary monitoring
- Caregiver Support - Weekday respite until 5:00pm, Saturday hours, counseling and support groups

Need for program

NAA funds will help make a difference in the lives of low-income seniors living with Alzheimer's and dementia, and their caregivers who need respite services in order to work and maintain a stable home environment for their elderly family member.

Living with Alzheimer's is a challenging journey. This disease diminishes a person's capacity to think, to communicate and to remember, and eventually, the ability to carry out simple activities of daily life. Those effected often show signs of confusion and depression and are at risk for wandering and falls. As the disease progresses, they become totally dependent on others for their daily needs. The weight of the care most often falls on a family caregiver who must provide round-the-clock care and supervision.

When it comes to low-income families, the burden is especially great as they lack the financial resources to secure needed help: the average cost of a home health aide is \$30/hour. Many families who cannot afford to engage outside assistance often try to manage the care of their loved one by themselves. This creates a dire situation that is unsafe for the senior and unmanageable for the caregiver.

In a Long-Term Care Needs Assessment conducted by the CT Commission on Aging, family caregivers reported a significant lack of affordable care options for their frail loved ones. The Commonwealth Fund, a national policy think tank reported 31% of older adults with high needs experience greater cost barriers to receiving medical and social care. More than 20% of this population does not receive assistance of any kind because of cost.

As a not-for-profit, ElderHouse's adult day center provides services regardless of a person's ability to pay. For one low daily fee, based on a sliding scale, ElderHouse provides a safe environment where those suffering from memory loss can enjoy therapeutic activities designed to improve cognitive functioning, encourage social engagement and build friendships. Participants also benefit from personal care services, nutritional guidance and on-site medical monitoring, as well as door-through-door transport from home to the center.

For those with Alzheimer's, regular participation at ElderHouse results in healthier, more medically stable clients who continue to live with purpose, social connection and belonging, as well as less stressed caregivers and a better quality of life for both as reported by 98% of caregivers in ElderHouse's 2019 Caregiver Survey.

At ElderHouse, currently 76% of our chronically ill clients live at or below national poverty levels (\$12,490 for one adult) and are unable to pay market care rates. We predict this number will rise considerably as we move through the coronavirus crisis.

Increasingly more low-income families turn to ElderHouse to access affordable, high quality adult day supervision and memory care for their elderly family members. Currently 56% of our clients who are diagnosed with Alzheimer's live at or below Federal poverty levels (\$24,490 for one adult) and are unable to pay market care rates. We predict this number will rise considerably due to the economic impact of the coronavirus.

NAA funds will help:

- 1) Enable up to 40 eligible clients with Alzheimer's to attend ElderHouse at little or no cost through our Financial Assistance Program.
- 2) Provide respite services to family caregivers so they can return to work, continue working or obtain employment needed to maintain a stable home for their elderly loved one.

Plan to implement the program

ElderHouse's Adult Day Services targeting older adults with Alzheimer's will be executed through accomplishment of the following goals:

Goal 1- Re-open post-Coronavirus - Once health officials determine ElderHouse may reopen, we will be prepared with staff in place to resume duties.

Goal 2- Enroll seniors in need of care regardless of income – To support clients on the lowest income scale, ElderHouse will raised funds through public and private resources to provide financial aid to 40 or more clients, enabling them to attend our adult day center regardless of their economic means.

Goal 2 – Provide respite and support services to family caregivers. The hours of regularly scheduled relief from caregiving duties will enable caregivers to return to work, continue working or obtain needed employment. ElderHouse will also offer support services including counseling, educational programs, and information and referrals.

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

2018

Open to Public Inspection

A For the 2018 calendar year, or tax year beginning **JUL 1, 2018** and ending **JUN 30, 2019**

B Check if applicable: ☐ Address change ☐ Name change ☐ Initial return ☐ Final return/terminated ☐ Amended return ☐ Application pending	C Name of organization ELDERHOUSE, INC. Doing business as Number and street (or P.O. box if mail is not delivered to street address) Room/suite 7 LEWIS STREET City or town, state or province, country, and ZIP or foreign postal code NORWALK, CT 06851 F Name and address of principal officer: DENISE CESAREO SAME AS C ABOVE	D Employer identification number 06-0963343 E Telephone number (203) 847-1998 G Gross receipts \$ 1,360,114. 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.ELDERHOUSE.ORG		
K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other		
L Year of formation: 1978 M State of legal domicile: CT		

Part I Summary

1	Briefly describe the organization's mission or most significant activities: ELDERHOUSE ADULT DAY CENTER IS COMMITTED TO PROVIDING AGING SENIORS WITH A SAFE, NURTURING		
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	15
4	Number of independent voting members of the governing body (Part VI, line 1b)	4	15
5	Total number of individuals employed in calendar year 2018 (Part V, line 2a)	5	21
6	Total number of volunteers (estimate if necessary)	6	50
7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
b	Net unrelated business taxable income from Form 990-T, line 38	7b	0.
8	Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
9	Program service revenue (Part VIII, line 2g)	427,605.	439,433.
10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	590,899.	584,145.
11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	31,626.	47,974.
12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	-30,022.	-30,460.
13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	1,020,108.	1,041,092.
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)	844,333.	810,902.
b	Total fundraising expenses (Part IX, column (D), line 25) 43,330.	0.	0.
17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	270,657.	315,568.
18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	1,114,990.	1,126,470.
19	Revenue less expenses. Subtract line 18 from line 12	1,114,990.	1,126,470.
20	Total assets (Part X, line 16)	-94,882.	-85,378.
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	2,016,566.	1,929,133.
		38,969.	59,292.
		1,977,597.	1,869,841.

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 DENISE CESAREO, EXECUTIVE DIRECTOR Type or print name and title	Date 1/29/2020
Paid Preparer Use Only	Print/Type preparer's name GARRETT M. HIGGINS Preparer's signature GARRETT M. HIGGINS Date 01/29/20 Firm's name PKF O'CONNOR DAVIES, LLP Firm's address 3001 SUMMER STREET, 5TH FLOOR, EAST STAMFORD, CT 06905 Firm's EIN 27-1728945 Phone no. 203-323-2400	Check ☐ if self-employed PTIN P00543209

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

HUMAN SERVICES COUNCIL



Municipality: Norwalk

Form NAA-01

2020 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: _____
Human Services Council, Inc.

Address: One Park Street, Norwalk, CT. 06851

Federal Employer Identification Number: 06-6102160

Program title: Energy Efficient Improvements to 40 South Main Street, Supportive Housing Units

Name of contact person: Anthony DiLauro

Telephone number: (203) 849-1111

Email address: adilauro@hscct.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 86,502.95

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 40 South Main Street Supportive Housing units are in need of energy efficient improvements including an entirely new HVAC system that hasn't been replaced in many years. Additionally, the lighting is very outdated and non-energy efficient and there improvements would create a tremendous cost savings for the building and therefore savings our agency significant expenses in the future as well.

Need for program:

40 South Main Street Supportive Housing provides one room flats for adults living in Norwalk who are homeless or at risk of homelessness. In 1996, the Human Services Council and Concerned neighbors decided to rehabilitate and revitalize the building to house Norwalk area homeless and imminently homeless in need of safe affordable housing and supportive services. Consisting of 44 single occupancy units, 40 South main Street provides residents with the dignity and responsibility that stable housing provides. Residents may access services relating to medical care, substance abuse prevention counseling, nutrition, employment, etc.

Neighborhood area to be served: _____

Residents of the 40 South Main Street Supportive Housing units in Norwalk, CT. All residents are from the Greater Norwalk Community.

Plan to implement the program: _____

We have acquired professional bids from two licensed businesses to do the work to our building as soon as the funds are approved and become available we will collect three new competing bids and start the project.

* Please note, 2018 and 2019 we applied for the project and only received a small portion of the funding (2018 \$4,579.05) and (2019 \$4080.00). We would like to have the funds to complete some of the work in the quotes. This is why we are applying for the same project. Also, we have talked to a few companies that seem

Timetable:Program start date: 10/01/2020Program completion date: 10/01/2021

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

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

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

Sources of Revenue:

NAA funds requested	<u>\$86,502.95</u>
Other funding sources - itemized sources:	
a) Replace HVAC system (detailed quotes attached)	<u>\$67,997.00</u>
b) Replace interior lighting (detailed quote attached)	<u>\$27,165.00</u>
c) Funding recieved in 2018	<u>-\$4,579.05</u>
d) Funding recieved in 2019	<u>-\$4,080.00</u>
Total Funding:	<u>\$95,342.00</u>

Proposed Program Expenditures:

Direct operating expenses - itemized description:	
a) _____	_____
b) _____	_____
c) _____	_____
d) _____	_____
Administrative expenses - itemized description:	
a) _____	_____
b) _____	_____
c) _____	_____
d) _____	_____
Total Proposed Expenditures:	<u>\$95,342.00</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 06851
Name of municipal liaison:	Lori Ellyn Guttman, Director of Community Development Planning
Telephone number:	203-854-7810 x 46781
Fax number:	_____
Email address:	lguttman@norwalkct.org

Post-Project Review Is a post-project review required for this proposal? ☒ Yes ☐ No If Yes, date post-project review due: 10/15/2021 _____ Date
--

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

2018

Open to Public
Inspection

A For the 2018 calendar year, or tax year beginning JUL 1, 2018 and ending JUN 30, 2019

B Check if applicable: ☐ Address change ☐ Name change ☐ Initial return ☐ Final return/terminated ☐ Amended return ☐ Application pending	C Name of organization HUMAN SERVICES COUNCIL, INC		D Employer identification number **-***2160
	Doing business as		E Telephone number 203-849-1111
	Number and street (or P.O. box if mail is not delivered to street address)	Room/suite	G Gross receipts \$ 1,888,892.
	1 PARK 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 06851		H(b) Are all subordinates included? ☐ Yes ☐ No If "No," attach a list. (see instructions)
F Name and address of principal officer: ANTHONY DILAURO ONE PARK STREET, NORWALK, CT 06851			H(c) Group exemption number
I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c)() (insert no.) ☐ 4947(a)(1) or ☐ 527			
J Website: WWW.HSCCT.ORG			
K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other			
L Year of formation: 1944 M State of legal domicile: CT			

Part I Summary

Activities & Governance	1 Briefly describe the organization's mission or most significant activities. THE ORGANIZATION HELPS THE COMMUNITY RECOGNIZE AND UNDERSTAND ITS HUMAN SERVICES NEEDS.		
	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	20
	4 Number of independent voting members of the governing body (Part VI, line 1b)	4	20
	5 Total number of individuals employed in calendar year 2018 (Part V, line 2a)	5	30
	6 Total number of volunteers (estimate if necessary)	6	0
Revenue	7a Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
	b Net unrelated business taxable income from Form 990-T, line 38	7b	0.
	8 Contributions and grants (Part VIII, line 1h)	Prior Year 1,064,121.	Current Year 906,648.
	9 Program service revenue (Part VIII, line 2g)	967,336.	947,441.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	643.	397.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	12,095.	14,612.
	12 Total revenue. Add lines 8 through 11 (must equal Part VIII, column (A), line 12)	2,044,195.	1,869,098.
	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)	1,331,333.	1,328,619.
Expenses	16a Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
	b Total fundraising expenses (Part IX, column (D), line 25) 2,097.		
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	831,296.	819,240.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	2,162,629.	2,147,859.
	19 Revenue less expenses. Subtract line 18 from line 12	-118,434.	-278,761.
Net Assets or Fund Balances	20 Total assets (Part X, line 16)	Beginning of Current Year 3,252,188.	End of Year 2,898,343.
	21 Total liabilities (Part X, line 26)	2,531,362.	2,456,278.
	22 Net assets or fund balances. Subtract line 21 from line 20	720,826.	442,065.

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
	ANTHONY DILAURO, EXECUTIVE DIRECTOR Type or print name and title		
Paid Preparer Use Only	Print/Type preparer's name KIMBERLY NAPP	Preparer's signature	Date
	Firm's name WHITTLESEY PC	Firm's EIN **-***3326	PTIN P01390521
	Firm's address 280 TRUMBULL ST 24TH FL HARTFORD, CT 06103	Phone no. 860.522.3111	

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

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III

☒ X

1 Briefly describe the organization's mission:

THE HUMAN SERVICES COUNCIL CREATES AND FOSTERS PROGRAMS THAT EDUCATE, SAFEGUARD AND EMPOWER THE PEOPLE OF OUR COMMUNITIES.

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ?

☐ Yes ☒ No

If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services?

☐ Yes ☒ No

If "Yes," describe these changes on Schedule O.

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported

4a (Code _____) (Expenses \$ **524,536.** including grants of \$ _____) (Revenue \$ **130,025.**)
SCHOOL BASED HEALTH CENTERS PROVIDE QUALITY HEALTH CARE FOR HIGH SCHOOL STUDENTS. IMPROVE OVERALL HEALTH OF STUDENTS TO MAXIMIZE THEIR EDUCATIONAL EXPERIENCE AND POTENTIAL. THIS PROGRAM SERVED APPROXIMATELY 990 STUDENTS, TOTALING 5,380 GROUP VISITS, DURING THE FISCAL YEAR 2018-2019.

4b (Code _____) (Expenses \$ **443,322.** including grants of \$ _____) (Revenue \$ **408,512.**)
HOUSING: 40 SOUTH MAIN PROVIDES STABLE, SAFE AND QUALITY HOUSING FOR TENANTS TO ADVANCE AND ACHIEVE INDEPENDENCE AND WHO WOULD OTHERWISE BE HOMELESS OR AT-RISK OF HOMELESSNESS. RESIDENTS MAY ACCESS SERVICES RELATING TO MEDICAL CARE, NUTRITION, EMPLOYMENT AND EDUCATION SUCH AS SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM (SNAP), GED AND LITERACY PROGRAMS, EMPLOYMENT SEARCH SUPPORT, ACCESS TO MEDICAL CARE AND NEEDED MEDICATIONS, COMMUNITY ROOM AND COURTYARD FOR HOLIDAY CELEBRATIONS AND TENANT EVENTS.

4c (Code _____) (Expenses \$ **158,355.** including grants of \$ _____) (Revenue \$ **142,814.**)
HSC COMMUNITY SERVICES CENTER: THE C.S.S WILL PROVIDE AN OPPORTUNITY FOR AGENCIES TO INCREASE THEIR EFFICIENCY AND BETTER SERVE THE COMMUNITY WHILE ADDRESSING INCREASING RENT AND OVERHEAD EXPENSES IN AN EFFECTIVE MANNER.

4d Other program services (Describe in Schedule O.)

(Expenses \$ **726,263.** including grants of \$ _____) (Revenue \$ **265,990.**)4e Total program service expenses **1,852,476.**

Form 990 (2018)



**HEATING & AIR CONDITIONING
SALES - SERVICE - INSTALLATION - AUTOMATION**

License #: HTG.0303791-S1

125 Robert Jackson Way, Unit A - Plainville, CT 06062

Phone: (860) 846-0735 - Fax: (860) 846-0739

www.p-temp.com

CLIENT	PROPOSAL
Name: FORTY SOUTH MAIN ST, LP	Date: 4/10/2018 Proposal #: 3603
Attn: THOMAS / LATOYA / KIM	Email:
Address: 40 SOUTH MAIN STREET NORWALK, CT 06854	Job Name: BOILER ROOM UPGRADES
Phone: (203) 604-1125	Job Location: SAME
	Fax: (203) 854-9444

PERFECTEMP INC. WILL PROVIDE AND/OR INSTALL THE FOLLOWING:

* SCOPE: REPLACEMENT OF HOT WATER HEATER, COMBUSTION LOUVERS AND MIXING VALVE

- ~ ISOLATE, DRAIN DOWN, DISCONNECT AND REMOVE EQUIPMENT FROM THE SITE
- ~ (1) AO SMITH MODEL GWH750N WATER HEATER
- ~ (1) LEONARD MIXING VALVE MODEL LV982 LF
- ~ (2) RUSKIN MODEL ELC445D COMBUSTION AIR LOUVER WITH MOTORIZED DAMPERS WITH ACT.
- ~ ALL NECESSARY PIPE, VALVES, AND FITTINGS LOCAL TO THE EQUIPMENT
- ~ ALL NECESSARY WIRING LOCAL TO THE EQUIPMENT
- ~ NEW FLUE OVER TO THE BREECHING
- ~ RIGGING
- ~ START AND TEST ALL EQUIPMENT
- ~ INSURANCES INCLUDED

Note: Any work required outside of this proposal will be quoted separately

EXCLUDE:	ADD:
FREIGHT TAXES PERMITS	N/A
WARRANTIES: MANUFACTURER'S ON EQUIPMENT 1 YEAR LABOR	Extended warranties available upon request
TERMS: PROGRESSIVE PAYMENTS	TOTAL JOB COST FOR PROPOSAL: <u>BUDGET \$27,687.00</u>
Quote Valid for 30 days SATISFACTION GUARANTEED	_____ Authorized Signature



**HEATING & AIR CONDITIONING
SALES - SERVICE - INSTALLATION -- AUTOMATION**

License #: HTG.0303791-51

125 Robert Jackson Way, Unit A - Plainville, CT 06062

Phone: (860) 846-0735 - Fax: (860) 846-0739

www.p-temp.com

CLIENT	PROPOSAL
Name: FORTY SOUTH MAIN ST, LP	Date: 4/10/2018 Proposal #: 3604
Attn: THOMAS / LATOYA / KIM	Email:
Address: 40 SOUTH MAIN STREET NORWALK, CT 06854	Job Name: REPLACE MAKE UP AIR UNIT
Phone: (203) 604-1125	Job Location: SAME
	Fax: (203) 854-9444

PERFECTEMP INC. WILL PROVIDE AND/OR INSTALL THE FOLLOWING:

* SCOPE: REPLACEMENT OF MAKE UP AIR UNIT ON THE ROOF

- ~ DISCONNECT AND REMOVE EQUIPMENT FROM THE SITE
- ~ (1) TRANE MODEL GRCA30GCKFO GAS FIRED MAKE UP AIR UNIT
- ~ ALL NECESSARY GAS PIPE , VALVES , AND FITTINGS LOCAL TO THE EQUIPMENT
- ~ ALL NECESSARY WIRING LOCAL TO THE EQUIPMENT
- ~ NEW FLUE
- ~ RIGGING
- ~ START AND TEST ALL EQUIPMENT
- ~ FREIGHT AND INSURANCES INCLUDED

Note: Any work required outside of this proposal will be quoted separately

EXCLUDE:

TAXES
PERMITS

ADD:

N/A

WARRANTIES:

Extended warranties available upon request

MANUFACTURER'S ON EQUIPMENT

1 YEAR LABOR

TERMS:

PROGRESSIVE PAYMENTS

TOTAL JOB COST FOR PROPOSAL:

BUDGET \$23,588.00

Quote Valid for 30 days
SATISFACTION GUARANTEED

Authorized Signature



HEATING & AIR CONDITIONING
SALES - SERVICE - INSTALLATION - AUTOMATION

License #: HTG.0303791-S1

125 Robert Jackson Way, Unit A – Plainville, CT 06062

Phone: (860) 846-0735 – Fax: (860) 846-0739

www.p-temp.com

CLIENT	PROPOSAL
Name: FORTY SOUTH MAIN ST, LP	Date: 4/10/2018
Attn: THOMAS / LATOYA / KIM	Proposal #: 3605
Address: 40 SOUTH MAIN STREET	Email:
NORWALK, CT 06854	Job Name: REPL. (2) CAB. UNIT HEATERS
Phone: (203) 604-1125	Job Location: SAME
	Fax: (203) 854-9444

PERFECTEMP INC. WILL PROVIDE AND/OR INSTALL THE FOLLOWING:

* SCOPE: REPLACEMENT OF TWO CABINET UNIT HEATERS

- ~ DISCONNECT AND REMOVE EQUIPMENT FROM THE SITE
- ~ (2) MODINE MODEL CW00396ALLR15OS00 CABINET UNIT HEATERS
- ~ ALL NECESSARY PIPE , VALVES , AND FITTINGS LOCAL TO THE EQUIPMENT
- ~ ALL NECESSARY WIRING LOCAL TO THE EQUIPMENT
- ~ REUSE THE CONTROLS
- ~ RIGGING
- ~ START AND TEST ALL EQUIPMENT
- ~ FREIGHT AND INSURANCES INCLUDED

Note: Any work required outside of this proposal will be quoted separately

EXCLUDE:

TAXES
PERMITS

ADD:

N/A

WARRANTIES:

Extended warranties available upon request

MANUFACTURER'S ON EQUIPMENT

1 YEAR LABOR

TERMS:

PROGRESSIVE PAYMENTS

TOTAL JOB COST FOR PROPOSAL:

BUDGET \$7,763.00

Quote Valid for 30 days
SATISFACTION GUARANTEED

Authorized Signature _____



HEATING & AIR CONDITIONING
SALES - SERVICE - INSTALLATION - AUTOMATION

License #: HTG.0303791-51

125 Robert Jackson Way, Unit A - Plainville, CT 06062

Phone: (860) 846-0735 - Fax: (860) 846-0739

www.p-temp.com

CLIENT	PROPOSAL	
Name: FORTY SOUTH MAIN ST, LP	Date: 4/10/2018	Proposal #: 3606
Attn: THOMAS / LATOYA / KIM	Email:	
Address: 40 SOUTH MAIN STREET	Job Name: REPLACE ONE TWO ZONE A/C	
NORWALK, CT 06854	Job Location: SAME	
Phone: (203) 604-1125	Fax: (203) 854-9444	

PERFECTEMP INC. WILL PROVIDE AND/OR INSTALL THE FOLLOWING:

* SCOPE: REPLACEMENT OF (1) TWO ZONE DUCLESS SYSTEM

- ~ RECLAIM THE GAS , DISCONNECT AND REMOVE EQUIPMENT FROM THE SITE
- ~ (1) PANASONIC MODELRE18SKUA WITH (2) MATCHING WALL HUNG 9K BTU UNITS
- ~ ALL NECESSARY A/C AND CONDENSATE PIPING
- ~ ALL NECESSARY WIRING LOCAL TO THE EQUIPMENT
- ~ RIGGING
- ~ START AND TEST ALL EQUIPMENT
- ~ FREIGHT AND INSURANCES INCLUDED

Note: Any work required outside of this proposal will be quoted separately

EXCLUDE:		ADD:
CUTTING & PATCHING	TAXES PERMITS	N/A
WARRANTIES: Extended warranties available upon request MANUFACTURER'S ON EQUIPMENT 1 YEAR LABOR		
TERMS: PROGRESSIVE PAYMENTS		TOTAL JOB COST FOR PROPOSAL: <u>BUDGET \$8,959.00</u>
Quote Valid for 30 days SATISFACTION GUARANTEED		Authorized Signature _____

10

BLECK & SALUATO
ELECTRIC, INC.
FOUR FM., 1ST FLOOR
EAST NORWALK, CT 06854
(103) 838-1900 FAX: (103) 4203-8H-IM70

Proposal

#1830rev-1

40 South Main Norwalk U.C
40 South Main Street
Norwalk, CT 06854

April 12, 2018

RE: ledcon, tition

Bleck & Saluato Electric, Inc. is pleased to present you with our proposal to furnish labor, material, and equipment to replace existing lighting to led lighting.

We propose hereby to furnish material and labor - complete in accordance with the specifications below for the sum of:

Twenty-Seven Thousand One Hundred Sixty-Five and 00/100 dollars(\$27,165.00)

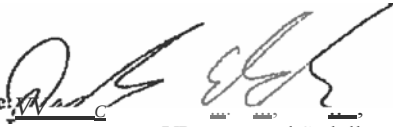
Includes:

- 95 Suficce lights in Rprtrments\$10,850.00
- HJO t-8 strip lixturea\$14,100.00
- 30 rcces.-tcd clm light l l\$2,215.00

Payment to be made as follows:

30% before start of work, Balance due upon completion.

All material is guaranteed to be as specified. All work to be completed in a professional manner. A 10% retention of payment from above: specifications involving extra cost will be executed only upon written orders, and will become an extra charge over and above the contract. All agreements contingent upon 10% of the contract, or delay beyond our control. Owner to carry fire, theft, and other necessary insurance. Our workers are fully covered by Worker's Compensation Insurance.

Authorized Signature:  Date: 1.1.17
as Bleck VP Bleck and Saluato Electric Inc.

Note: This proposal may be withdrawn by us if not accepted within 30 days.

Acceptance of Proposal: The above prices, specifications, and conditions are: satisfactory and the same have been accepted. We are authorized to do the work. Specified Payment will be made as outlined above.

Authorized Signature: _____ Date of acceptance: _____

t/

JUNIOR ACHIEVEMENT OF GREATER FAIRFIELD COUNTY



Municipality: Norwalk

Form NAA-01

2020 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 Economic Empowerment Programs

Name of contact person: Rachel Andoh

Telephone number: (203) 382-0180

Email address: grants@jagfc.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 33,000

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 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. Through a dedicated volunteer network, JA's research-driven educational curriculum provides relevant, hands-on experiences that focus on financial literacy, college/career preparedness and entrepreneurship for K-12 students. All programs are provided free of charge to schools and students.

Need for program:

Students continue to leave high school without the basic understanding of either personal economics or the world of work. 91% of Millennials wish they had greater access to entrepreneurial education. 49% of US employers recognize that talent shortages impact their ability to serve clients and customers. Junior Achievement programs encourage students to identify realistic career options, set personal and professional goals, and secure the skills necessary to achieve them. Now more than ever, the skills taught through Junior Achievement are relevant to the financial and ethical decisions that will be made by our future leaders.

Neighborhood area to be served: _____

The Norwalk school population in grades K through 12.

Plan to implement the program: _____

JA engages volunteers from the community to deliver our curriculum while sharing their experiences with students. All of our programs are grade-level appropriate and follow the common core curriculum. While specific JA programs for the remainder of the school year may not occur due to schools being closed, we are dedicated to supporting our students however possible through these unprecedented times. We are working to provide digital assets to educators and parents in an effort to reach students with interactive and meaningful content to further their understanding of how money works, how to prepare for their future careers, and how to

Timetable:Program start date: 7/1/2020Program completion date: 6/30/2021

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

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

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

Sources of Revenue:NAA funds requested \$33,000

Other funding sources - itemized sources:

a) Corporate, foundations, individual gifts \$54,000

b) _____

c) _____

d) _____

Total Funding: \$87,000**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Salaries, benefits, payroll taxes \$58,272.09b) Program materials and supplies \$6,131.03c) Travel, mileage, training \$997.17d) Scholarships, awards, recognition \$718.66

Administrative expenses - itemized description:

a) Insurance, license fees \$5,824.79b) Overhead - rent, utilities, equipment \$3,920.90c) Operating costs - IT, telephone, office supplies, postage/frgt \$10,836.27d) Accounting and other professional fees \$1,258.15**Total Proposed Expenditures:** \$87,959.08

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 obo City of Norwalk
Mailing address:	_____
	3 Belden Avenue Norwalk, CT 06850
Name of municipal liaison:	Lori Ellyn Guttman, Director of Community Development Planning
Telephone number:	203-854-7810 ext: 46781
Fax number:	_____
Email address:	lguttman@norwalkct.org

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

EXTENDED TO MAY 15, 2020

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)

OMB No. 1545-0047

2018Open to Public
Inspection

▶ 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.**A** For the 2018 calendar year, or tax year beginning **JUL 1, 2018** and ending **JUN 30, 2019**

B Check if applicable: ☐ Address change ☐ Name change ☐ Initial return ☐ Final return/terminated ☐ Amended return ☐ Application pending	C Name of organization JUNIOR ACHIEVEMENT GREATER FAIRFIELD COUNTY 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 F Name and address of principal officer: BERNADINE VENDITTO SAME AS C ABOVE	D Employer identification number 06-0644315 E Telephone number 203-382-0180 G Gross receipts \$ 1545342. 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.JAWCT.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 20 5 Total number of individuals employed in calendar year 2018 (Part V, line 2a) 5 14 6 Total number of volunteers (estimate if necessary) 6 1265 7a Total unrelated business revenue from Part VIII, column (C), line 12 7a 0. b Net unrelated business taxable income from Form 990-T, line 38 7b 0.			
Revenue	8 Contributions and grants (Part VIII, line 1h) 664057. 9 Program service revenue (Part VIII, line 2g) 0. 10 Investment income (Part VIII, column (A), lines 3, 4, and 7d) 1261. 11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) -9154. 12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) 656164.	Prior Year	Current Year	
Expenses	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3) 7750. 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) 433498. 16a Professional fundraising fees (Part IX, column (A), line 11e) 0. b Total fundraising expenses (Part IX, column (D), line 25) ▶ 55146. 17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) 239906. 18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25) 681154. 19 Revenue less expenses. Subtract line 18 from line 12 -24990.	7750.	10750.	
Net Assets or Fund Balances	20 Total assets (Part X, line 16) 475996. 21 Total liabilities (Part X, line 26) 29965. 22 Net assets or fund balances. Subtract line 21 from line 20 446031.	Beginning of Current Year	End of Year	
		475996.	1332101.	
		29965.	406497.	
		446031.	925604.	

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, PRESIDENT Type or print name and title	Date
Paid Preparer Use Only	Print/Type preparer's name BRIAN C WHITE Preparer's signature Date Check ☐ if self-employed PTIN P00058320 Firm's name ▶ BRIAN C WHITE Firm's address ▶ Firm's EIN ▶ Phone no.	

May the IRS discuss this return with the preparer shown above? (see instructions) ☐ Yes ☐ No

KEYSTONE HOUSE



Municipality: Norwalk

Form NAA-01

2020 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: _____
Keystone House, Inc,

Address: 147 Main Street, Norwalk, CT 06851

Federal Employer Identification Number: 23-7228237

Program title: Energy Efficient Generator St. John Street

Name of contact person: Kim Carter, Development Officer

Telephone number: (203) 956-7818

Email address: kcarter@keystonehouse.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 6,664.29

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: _____

Keystone's St. John Street Group Home is the home to 8 adults, at any one time, who have a severe and persistent mental illness. Most clients are estranged by their families and have nowhere to go in the event of an emergency such as loss of power. With the professional installation of a energy efficient generator, our program can continue uninterrupted during the loss of power.

Need for program:

By being able to remain in the Group Home, staff wouldn't need to relocate clients to a temporary facility such as hotel, emergency rooms and shelters. Medicaid services provided in this facility, which is licensed by DPH, would not be disrupted. If clients are relocated, there will be a need for staff overtime which can negatively affect employees work schedule and personal health. Loss of power for an extended period would be a great cost to the agency in spoiled food, loss of refrigerated medications, phones and computer, frozen pipes and water damage.

Neighborhood area to be served: _____

St. John Street Group Home is located in the East Norwalk area of Norwalk with a street address of 4 St. John Street, Norwalk, CT 06855.

Plan to implement the program: _____

Oversee and monitor project to ensure work is being done in compliance with plan and according to timeline.

Timetable:Program start date: August 1, 2020Program completion date: August 1, 2021

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

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

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

Sources of Revenue:NAA funds requested \$6,664.29

Other funding sources - itemized sources:

a) 2019 NAA Funds \$7,285.71

b) _____

c) _____

d) _____

Total Funding: \$13,590.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Installation of Honeywell automatic 22 KW stand-by-gener _____b) Run gas line from existing gas lie to generator location _____c) Generator system start up _____

d) _____

Administrative expenses - itemized description:

a) Agency Staff - no additional expenses _____

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$13,950.00

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:	Lori Ellyn Guttman, Director of Community Development Planning
Telephone number:	203-854-7810 x46781
Fax number:	_____
Email address:	lguttman@norwalkct.org

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

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
2018
Open to Public Inspection

A For the 2018 calendar year, or tax year beginning **07/01/18**, and ending **06/30/19**

B Check if applicable: ☐ Address change ☐ Name change ☐ Initial return ☐ Final return/terminated ☐ Amended return ☐ Application pending	C Name of organization KEYSTONE HOUSE, INC. Doing business as Number and street (or P.O. box if mail is not delivered to street address) Room/suite 147 MAIN STREET City or town, state or province, country, and ZIP or foreign postal code NORWALK CT 06851	D Employer identification number **-***8237 E Telephone number 203-855-7920 G Gross receipts \$ 2,716,511
F Name and address of principal officer: VALERIE S. WILLIAMS 147 MAIN 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: KEYSTONEHOUSE.ORG K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶	L Year of formation: 1972 M State of legal domicile: CT H(c) Group exemption number ▶
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Part I Summary

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: SEE SCHEDULE O																						
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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 VALERIE S. WILLIAMS Type or print name and title	Date EXE DIRECTOR
Paid Preparer Use Only	Print/Type preparer's name THOMAS D. ROY Preparer's signature CARNEY, ROY AND GERROL, P.C. Firm's name 35 COLD SPRING ROAD, SUITE 111 Firm's address ROCKY HILL, CT 06067-3161	Date Check ☐ if self-employed PTIN ***** Firm's EIN ▶ **--***2068 Phone no. 860-721-5786

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



Santa Fuel, Inc.

154Admiral Street• PO Box 1141
Bridgeport, CT 06601

Tel: 203-367-3661
Fax: 203-337-5198

www.santafuel.com
CT License: S1-0406878

Equipment Installation Agreement

cusToMER NAME, Keystone House	ACCOUNT#	DATE 10/16/2018
ADDREss, c1TY, sTATE, zIP, 4 St. John St		Norwalk, Ct 06851
PRIMARYPHONE, (203) 956-7818 EMAIL,		Scott Worzel

TANK INFORMATION

- ☐ Replacement ☒ ii New Installation ☐ D Conversion
☐ 011 ☐ LP ☒ i Natural Gas
☐ 0 Remove/Dispose of Tank ☒ D New LP Tank
☒ D Install New Tank (Capacity), _____
☒ D Fill/Vent Pipe ☐ O Oil Lines ☐ O Tiger Loop
☒ D Pump Over Usable Fuel Product ☒ D Discard Remaining
☐ 0 Rain Shield ☐ O Collision Pole ☐ O Slab
☒ D Trenching ☒ D Cut/Clean/Remove
☒ ii Install Gas Piping to Tank or Meter ☒ ii Pressure Test
☒ ii Inspect ☒ iil Final Connections
☒ D Additional Gas Line Run _____
☒ D Tank Lease (Separate Agreement)
☒ D Other _____

SERVICE CONTRACTS

- ☒ D Heating System Energy Savings Plan _____
☒ D Water Heater Energy Savings Plan _____
☒ D A/C Energy Savings Plan _____
☒ D Humidifier Energy Savings Plan _____

INCLUDED IN QUOTE

Permit procurement on homeowner behalf
 All parts, labor and taxes
 Start and check of system operation upon completion
 Proper floor protection and work site clean up
 Santa Energy 12-month parts and labor warranty
 Not Included:

- All required permit fees will be charged separately
- Pre or post installation carpentry not included
- Chimney liner not included

FINANCING INFORMATION (Proposal is valid for 30 days)		
1	Total Installed Cost	\$
2	Discount	\$
3	Final Installed Cost	\$ 13,590
4	Deposit	\$ 6,795
5	Unpaid balance to be financed	\$ 6,795
6	Per cent Annual Rate	Ch % / Finance charges

EQUIPMENT INFORMATION

- ☐ o Furnace Make/Model# _____ AFUE Rating _____
 Air Handler/Coil Make/Model# _____
☐ 1 Condenser Make/Model# _____ SEER Rating _____
☒ N Variable Speed Option _____
☐ 1 Total Installed Cost\$ _____
☐ o Furnace Make/Model# _____ AFUE Rating _____
 Air Handler/Coil Make/Model# _____
☐ 1 Condenser Make/Model# _____ SEER Rating _____
☒ N variable Speed Option _____
☐ 2 Total Installed Cost\$ _____
☐ o Furnace Make/Model# _____ AFUE Rating _____ Air
 Handler/Coil Make/Model# _____
☐ 1 Condenser Make/Model# _____ SEER Rating _____
☒ N Variable Speed Option _____
☐ 3 Total Installed Cost\$ _____

OPTIONS/ ACCESSORIES

- ☒ D Thermostats# _____ Model _____
☒ D Humidifier _____
☒ D Air Cleaner _____ ☒ D Condenser Cover _____
☐ 0 Oil Tank Removal -Add _____

JOB SCOPE INFORMATION

- ☒ D PVC Vent ☐ O Metal Flue ☐ O Chimney Inspection
☒ D New Refrigerant Piping ☐ O Use Existing
☒ D Condenser Pad ☒ D Stand/Bracket ☒ D Slimduct
☒ D Low Voltage Wiring ☒ iil Line Voltage Wiring ☐ O Whip/Disconnect
☒ O Emergency Drain Pan With Switch ☐ O Condensate Pump
☒ 0 Combustion Air OK ☒ D Fan In Can
☒ 0 Charge/Commission to Manufacturers Specifications
☒ 0 Sheet Metal Modifications ☐ O New Duct System

ADDITIONAL NOTES:

Installation of Honeywell automatic 22 kW stand-by generator, 200 amp transfer switch, battery and cold weather kit.

Run gas line from existing gas line to generator location, pressure test. Inspect. Make final connections upon approvals.

Generator system start up

PAYMENT TERMS

The Buyer(s) promise(s) to pay Santa the sum of \$== (line 8) in equal consecutive monthly installments of \$== each, commencing ----' 20 and continuing on the ___ day of each month thereafter until ----' 20 at which time any unpaid balance shall be due and payable. The Buyer(s) agree to pay a delinquency and collection charge equal to four (4%) percent of the amount of any installment unpaid fifteen (15) days after the due date thereof. In the event any installment hereunder shall not have been paid within thirty (30) days of the date it became due and payable, together with any delinquency charge, the entire unpaid balance hereof shall become due and payable, together with the costs and expenses of collection, including reasonable attorney's fees, ten (10) days after written notice thereof shall have been given to the Buyer. THE BUYER MAY PAY OFF THE BALANCE DUE AT ANY TIME WITHOUT PENALTY AND MAY BE ENTITLED TO A PARTIAL REFUND OF FINANCE CHARGES AS PERMITTED BY LAW. THIS INSTRUMENT IS NOT NEGOTIABLE.

Santa Fuel, Inc.

By Scott Worzel
duly authorized

on October 16

, 2018

BUYER

DATE

BUYER

DATE

TERMS AND CONDITIONS: LIMITED WARRANTY

SANTA AGREES:

- a) That all materials and equipment (hereinafter "equipment") shall be installed in a workmanlike manner and in accordance with existing rules and regulations of local authorities.
- b) That it will repair or replace at its expense, within thirty (30) days after notice, any and all parts of the equipment furnished by it and proven to be defective in either workmanship or material. Warranty work by Santa shall be performed only during normal business hours. This warranty gives you specific legal rights. You also have implied warranty rights. In the event of a problem with warranty service you may be able to go to a small claims court, a state court, or a federal district court.

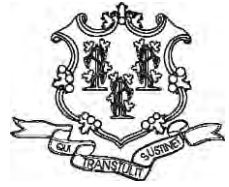
THE BUYER AGREES:

- (a) To release Santa from any and all responsibility whatsoever for parts and equipment furnished by the Buyer.
- (b) That with respect to underground tank installations, if Santa encounters unforeseen difficulties including without limitation, water, ledge, rock, underground foundations, sewer, gas or water pipes or any other difficulties which required blasting, drilling, shoring, tank anchors or other unusual cost incurred by Santa to remedy the same will be done on time and material basis.
- (c) To provide a safe and open work area; that the buyer will not hold Santa liable for damages to personal property as a result of buyers request and Santa's acceptance to move buyers personal belongings to create a safe and open work area prior to and during installation.

IT IS FURTHER UNDERSTOOD AND AGREED AS FOLLOWS:

- 1) The Buyer may cancel this transaction at any time prior to midnight of the third business day (Saturdays, Sundays, and legal holidays NOT included) after the date of this transaction.
- 2) That Santa shall obtain and charge The Buyer for all necessary permits. Santa reserves the right to file a mechanic's lien.
- 3) That Santa shall not be required to remedy, repair or renew any defective or leaky fire boxes, smoke pipes or other part of tile boiler or heater, not to clean the chimney proper nor remedy any defects therein, not to remedy any defects in the steam or hot water piping, valves or radiation, nor to do any work whatever on Buyer's heating plant except as specifically provided herein. Further, Santa shall not be responsible for any loss or damage resulting from subterranean water, springs, water table, etc., beneath the cellar floor, or on the property, either during the installations or after the equipment has been installed.
- 4) That in the event asbestos is discovered in the area of installation, either before or during installation, the Buyer shall remove the asbestos prior to the start of installation or continuation thereof, at the Buyer's own expense.
- 5) That in the event the chimney shall be unsatisfactory condition upon inspection, the Buyer shall repair it prior to the start of installation, at the Buyer's own expense. It is understood that minimum chimney draft is to register .05 inches on a draft gauge, in order for Buyer's chimney to be regarded as normal.
- 6) That Santa shall not be liable for delay or inability to carry on the work of installation caused by or resulting from strikes, lock-outs, fires, accidents, war, riot, lack of material due to condition of the soil or weather conditions, or any other causes beyond Santa's control, wither before or after delivery of the equipment at the said premises.
- 7) That any loss or damage to the equipment after its delivery to the premises shall not release Buyer from obligations hereunder and under no circumstances shall Santa be held responsible for any loss or damage occurring during the installation, testing or operation of the property unless such loss or damage is due to the negligence of Santa.
- 8) That all warranties, if any, included herein are given subject to Buyer following the instructions for the care and operation of the heater and equipment and to the Buyer making all payments in accordance with terms of this contract, otherwise said warranty shall become void.
- 9) That title to the equipment shall remain in Santa or its assigns until Buyer has fulfilled all his undertakings hereunder, at which time the title to said property shall vest in Buyer. That the equipment shall not become part of the real estate by being placed in or attached in any manner to the promises, but shall be and remain personal property and without Santa's consent in writing Buyer will not remove said equipment from the premises aforesaid and will not mortgage, assign, encumber or dispose of the same or permit or suffer any lien or encumbrance to be asserted against the same until Buyer's obligations hereunder shall be fully performed.
- 10) That no salesman or agent of Santa has orally or otherwise any authority to alter, vary or in any way add to this printed agreement, nor has Buyer relied upon any representations, agreements or warranties, express or implied which are not written herein.
- 11) That this order is expressly subject to acceptance by Santa and when accepted becomes a binding contract containing all agreements and understandings between the parties hereto, subject to the Buyer's Right of Cancellation.

LIBERATION PROGRAMS



Municipality: Norwalk

Form NAA-01

2020 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: _____
Liberation Programs, Inc.

Address: 129 Glover Avenue, Norwalk CT 06850

Federal Employer Identification Number: 06-0867006

Program title: Recovery Coaches for Those with Substance Use Disorder and Their Families

Name of contact person: Richard Liverano

Telephone number: (203) 604-1292

Email address: richard.liverano@liberationprograms.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 142,125.00

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): Substance use disorder treatment

Description of program: _____

According to a study by Ellen L. Bassuk, peer-based recovery services such as Recovery Coaches are proven to “have a salutary effect on participants and [make] a positive contribution to substance use outcomes.” Two Recovery Coaches will provide a close follow-up contact during recovery, which helps prevent relapse and connect those in recovery to assistance they need. One part-time Family Recovery Coach will provide support to families independent of their loved one, as recovery not only effects the Recoveree, but their family as well.

Need for program: _____

In 2019, there were 1,200 overdose deaths in Connecticut; 179 were in Fairfield County. However, despite the increase in the number of drug-related fatalities, resources for those seeking recovery remain limited due to too few licensed centers offering high-quality integrated behavioral health services in Fairfield County. Many people in recovery have trouble staying in it especially at the onset; Recovery Coaches will help navigate the complex landscapes of, as well as encourage, active recovery. The Family Recovery Coach will help their loved ones navigate these systems as well as provide tools to help maintain a positive recovery environment.

Neighborhood area to be served: _____

The Recovery Coaches and Family Recovery Coach will work mainly at Liberation Clinic in downtown Stamford and the Pelletier Wellness Center in the Mill Hill neighborhood of Bridgeport. Due to their on-call nature, the Coaches will travel between these locations. Liberation primarily serves of lower Fairfield County; however, clients come from locations across Connecticut and New York.

Plan to implement the program: _____

All three Coaches will be identified by September 1, 2020 and become certified by the program start date if not certified already. We expect each Recovery Coach to see 50 individuals annually with retention rates of 70 percent, and we expect the Family Recovery Coach to see 25 families or family members. Program evaluation will occur on a yearly basis. Successful program implementation results include meeting or exceeding state and agency outcome measures, including clients or families seen, reducing/abstaining from substance use, retention in the program, and Recoverees not being readmitted to the program within 30 days of discharge.

Timetable:Program start date: October 1, 2020Program completion date: September 30, 2021

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

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

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

Sources of Revenue:

NAA funds requested	<u>\$142,125.00</u>
Other funding sources - itemized sources:	
a) _____	_____
b) _____	_____
c) _____	_____
d) _____	_____

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

Direct operating expenses - itemized description:	
a) <u>2 FTE Recovery Coaches - Salary (\$45,000 per Coach)</u>	<u>\$90,000.00</u>
b) <u>2 FTE Recovery Coaches - Fringes (\$11,250 per Coach)</u>	<u>\$22,500.00</u>
c) <u>0.5 FTE (50%) Family Recovery Coach - Salary</u>	<u>\$22,500.00</u>
d) <u>0.5 PTE (50%) Family Recovery Coach - Fringes</u>	<u>\$5,625.00</u>

Administrative expenses - itemized description:	
a) <u>Tablet (3, one per Coach)</u>	<u>\$1,500.00</u>
b) _____	_____
c) _____	_____
d) _____	_____

Total Proposed Expenditures:\$142,125.00

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:	Lori Ellyn Guttman, Director of Community Development Planning
Telephone number:	203-854-7810 x46781
Fax number:	_____
Email address:	lguttman@norwalkct.org

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

EXTENDED TO MAY 15, 2020

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

2018Open to Public
Inspection**A** For the 2018 calendar year, or tax year beginning **JUL 1, 2018** and ending **JUN 30, 2019****B** Check if applicable:

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

C Name of organization**LIBERATION PROGRAMS, INC.**

Doing business as

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

129 GLOVER AVENUE

Room/suite

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

NORWALK, CT 06850-1311**F** Name and address of principal officer: **JOHN HAMILTON****SAME AS C ABOVE****D** Employer identification number**06-0867006****E** Telephone number**(203) 851-2077****G** Gross receipts \$**9,967,685.****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: ▶ **LIBERATIONPROGRAMS.ORG****K** Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶**L** Year of formation: **1971****M** State of legal domicile: **CT****Part I Summary**

Activities & Governance	1	Briefly describe the organization's mission or most significant activities: THE ORGANIZATION PROVIDES TREATMENT AND PREVENTION PROGRAMS FOR ALCOHOL AND DRUG ABUSERS AND
	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) 18
	4	Number of independent voting members of the governing body (Part VI, line 1b) 18
	5	Total number of individuals employed in calendar year 2018 (Part V, line 2a) 140
	6	Total number of volunteers (estimate if necessary) 0
	7a	Total unrelated business revenue from Part VIII, column (C), line 12 0.
7b	Net unrelated business taxable income from Form 990-T, line 38 0.	
Revenue	8	Contributions and grants (Part VIII, line 1h) 3,731,189.
	9	Program service revenue (Part VIII, line 2g) 5,687,058.
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d) 100.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) 188,136.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) 9,606,483.
	13	Grants and similar amounts paid (Part IX, column (A), lines 1-3) 0.
Expenses	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) 6,502,957.
	16a	Professional fundraising fees (Part IX, column (A), line 11e) 0.
	b	Total fundraising expenses (Part IX, column (D), line 25) ▶ 324,450.
	17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) 3,113,529.
	18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25) 9,616,486.
Net Assets or Fund Balances	19	Revenue less expenses. Subtract line 18 from line 12 -10,003.
	20	Total assets (Part X, line 16) 5,781,235.
	21	Total liabilities (Part X, line 26) 6,300,250.
	22	Net assets or fund balances. Subtract line 21 from line 20 -519,015.

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			
	JOHN HAMILTON, PRESIDENT AND CEO Type or print name and title				
Paid Preparer Use Only	Print/Type preparer's name PATRICIA MCGOWAN	Preparer's signature PATRICIA MCGOWAN	Date 03/25/20	Check ☐ if self-employed	PTIN P00184514
	Firm's name ▶ COHNREZNICK LLP	Firm's EIN ▶ 22-1478099	Phone no. 959-200-7000		
Firm's address ▶ 350 CHURCH STREET, 12TH FLOOR HARTFORD, CT 06103					

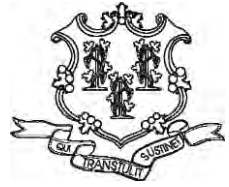
May the IRS discuss this return with the preparer shown above? (see instructions) ☒ Yes ☐ No

832001 12-31-18

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

Form **990** (2018)**SEE SCHEDULE O FOR ORGANIZATION MISSION STATEMENT CONTINUATION****69**

MARITIME AQUARIUM



Municipality: Norwalk

Form NAA-01

2020 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

Address: 10 North Water Street, Norwalk, CT 06854

Federal Employer Identification Number: 061062912

Program title: Replacement of Air Handling Units (Phase I)

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 Aquarium's 2020 NAA project will support installation of a new more efficient air handler unit (AHU). This first of four phases will include rigging, electrical work, fabrication and installation of one new AHU that will provide dehumidification through energy recovery. Motor fans will be more efficient and have variable frequency drives; the unit will include Building Automation and Control (BACnet) capability. Phase 1 will be completed in 2021. Phase 2, which will provide 3 additional new AHUs, will be conducted the following year.

Need for program:

The Aquarium's current AHU's are nearly 33 years old. Not only will the motor fans of the new AHUs be more efficient, there will be considerable savings on the mechanical equipment that interacts with the AHUs (pumps, chillers, cooling towers, boiler). Once an AHU fan motor has a drive placed on it, the fan is able to ramp up and down based upon demand. This has significant impact on the ancillary systems, as the pumps no longer need to move liquid through the coils as fast because less air needs to move across the coils. When the pumps are able to ramp down, this allows the chillers, boilers and cooling towers to do the same.

Neighborhood area to be served: _____

The Maritime Aquarium is located in Norwalk CT. As an informal science center and attraction focusing on the world's oceans, the Aquarium hosts approximately 450,000 visitors annually and provides marine science education to 60,000 students. The majority of Aquarium visitors come from Fairfield County CT and Westchester County NY, with smaller percentages coming from other areas of Connecticut, New York and New Jersey.

Plan to implement the program: _____

Overall installation of the 4 units will be a two-year process. Phase 1, which includes one AHU will be initiated in April/May 2021 and phase 2, which will include 3 AHU will follow in the spring of 2022.

Timetable:Program start date: April 1, 2021 (Phase 1)Program completion date: May 31, 2021

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

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) Aquarium operating budget \$15,000.00

b) _____

c) _____

d) _____

Total Funding: \$165,000.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Procurement of AHU \$150,000.00

b) _____

c) _____

d) _____

Administrative expenses - itemized description:

a) Project oversight (10%) \$15,000.00

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$165,000.00

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 obo City of Norwalk
Mailing address:	_____
	3 Belden Avenue, Norwalk, CT 06850
Name of municipal liaison:	Lori Ellyn Guttman
Telephone number:	203-854-7810 ext: 46781
Fax number:	_____
Email address:	lguttman@norwalkct.org

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

EXTENDED TO MAY 15, 2019

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

2017Open to Public
Inspection**A** For the 2017 calendar year, or tax year beginning **JUL 1, 2017** and ending **JUN 30, 2018****B** Check if applicable:

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

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)

10 NORTH WATER STREET

Room/suite

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

SOUTH NORWALK, CT 06854**F** Name and address of principal officer: **JOHN JOYCE****10 NORTH WATER STREET, NORWALK, CT 06854****D** Employer identification number**** - ***2912****E** Telephone number**203-852-0700****G** Gross receipts \$**11,708,757.****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.MARITIMEAQUARIUM.ORG****K** Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶**L** Year of formation: **1985****M** State of legal domicile: **CT****Part I Summary**

Activities & Governance	1	Briefly describe the organization's mission or most significant activities: THE MARITIME AQUARIUM INSPIRES PEOPLE OF ALL AGES TO APPRECIATE LONG ISLAND SOUND AND PROTECT IT
	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) 28
	4	Number of independent voting members of the governing body (Part VI, line 1b) 28
	5	Total number of individuals employed in calendar year 2017 (Part V, line 2a) 176
	6	Total number of volunteers (estimate if necessary) 387
	7a	Total unrelated business revenue from Part VIII, column (C), line 12 0.
7b	Net unrelated business taxable income from Form 990-T, line 34 0.	
Revenue	8	Contributions and grants (Part VIII, line 1h) 4,095,770.
	9	Program service revenue (Part VIII, line 2g) 7,497,162.
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d) 51,710.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) 810,245.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) 12,454,887.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) 11,441,286.
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) 5,721,336.
	16a	Professional fundraising fees (Part IX, column (A), line 11e) 0.
	b	Total fundraising expenses (Part IX, column (D), line 25) 579,115.
	17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) 6,512,095.
18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25) 12,233,431.	
19	Revenue less expenses. Subtract line 18 from line 12 221,456.	
19	Revenue less expenses. Subtract line 18 from line 12 -1,465,148.	
Net Assets or Fund Balances	20	Total assets (Part X, line 16) 20,063,762.
	21	Total liabilities (Part X, line 26) 2,093,643.
	22	Net assets or fund balances. Subtract line 21 from line 20 17,970,119.
22	Net assets or fund balances. Subtract line 21 from line 20 16,618,042.	

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			
	JOHN JOYCE, CHIEF FINANCIAL OFFICER Type or print name and title				
Paid Preparer Use Only	Print/Type preparer's name LISA M. WILLS	Preparer's signature	Date	Check if self-employed ☐	PTIN P01828548
	Firm's name ▶ WHITTLESEY PC	Firm's EIN ▶ ** - ***3326	Firm's address ▶ 280 TRUMBULL ST 24TH FL HARTFORD, CT 06103	Phone no. 860.522.3111	

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

OPEN DOOR SHELTER

JOBS PROGRAM



Municipality: Norwalk

Form NAA-01
2020 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, Inc. (dba Open Doors)

Address: 4 Merritt Street, Norwalk, CT 06854

Federal Employer Identification Number: 22-2536909

Program title: Employment First

Name of contact person: Michele Conderino

Telephone number: 203 866 1057 x 111

Email address: mconderino@opendoorshelter.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 75,000

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 is requesting funding for its job placement program. This program is part of a national movement called Employment First, a 'best practices' framework for systems change that is centered on the premise that all citizens are capable of full participation in integrated employment and community life. Open Doors' Employment First program focuses on soft skills development and job placement, as well as case management that helps individuals negotiate the obstacles along their path to stability and independence.

Need for program: _____

COVID-19 has had a devastating effect on the economy of Norwalk and especially the community we serve. While we are still assessing the impact of this pandemic, we are already seeing a dramatic increase in demand for our services. Many workers in the neighborhood were employed in hourly wage positions and with the closures of local restaurants, businesses and shopping malls, they find themselves unemployed and at risk for food insecurity and homelessness.

Neighborhood area to be served: _____

Greater Norwalk, CT

Plan to implement the program: _____

Services will be provided to homeless and low-income individuals on a year-round basis.

Timetable:

Program startdate: 9/1/2020

Program completion date: 8/31/2021

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

Part III — Financial Information

Program Budget:

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

Sources of Revenue:

NAA funds requested 75,000

Other funding sources - itemized sources:

a) CDBG 30,000

b) _____

c) _____

d) _____

Total Funding: 105,000

Proposed Program Expenditures:

Direct operating expenses - itemized description:

a) _____ 45,000

b) _____ 60,000

c) _____

d) _____ 105,000

Administrative expenses - itemized description:

a) _____

b) _____

c) _____

d) _____

Total Proposed Expenditures: 105,000

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

Norwalk Redevelopment Agency obo City of Norwalk

Email address: lguttman@norwalkct.org

Date

Form **990****Return of Organization Exempt From Income Tax**

OMB No. 1545-0047

2018**Open to Public
Inspection**Department of the Treasury
Internal Revenue Service

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.

A For the 2018 calendar year, or tax year beginning 07/01, 2018, and ending 06/30, 2019																										
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">C Name of organization THE OPEN DOOR SHELTER, INC.</td> <td>D Employer identification number 22-2536909</td> </tr> <tr> <td colspan="2">Doing business as</td> <td rowspan="3">E Telephone number (203) 866-1057</td> </tr> <tr> <td>Number and street (or P.O. box if mail is not delivered to street address)</td> <td>Room/suite</td> </tr> <tr> <td colspan="2">4 MERRITT STREET</td> </tr> <tr> <td colspan="2">City or town, state or province, country, and ZIP or foreign postal code NORWALK, CT 06854</td> <td>G Gross receipts \$ 4,950,111.</td> </tr> <tr> <td colspan="2">F Name and address of principal officer: MICHELE CONDERINO 4 MERRITT STREET, NORWALK, CT 06854</td> <td> 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) </td> </tr> <tr> <td colspan="3"> I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) () ◀ (insert no.) ☐ 4947(a)(1) or ☐ 527 </td> </tr> <tr> <td colspan="3"> J Website: ▶ WWW.OPENDOORSHELTER.ORG </td> </tr> <tr> <td colspan="2"> K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶ </td> <td> L Year of formation: 1984 M State of legal domicile: CT </td> </tr> </table>	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	4 MERRITT STREET		City or town, state or province, country, and ZIP or foreign postal code NORWALK, CT 06854		G Gross receipts \$ 4,950,111.	F Name and address of principal officer: MICHELE CONDERINO 4 MERRITT STREET, NORWALK, CT 06854		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: ▶ WWW.OPENDOORSHELTER.ORG			K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶		L Year of formation: 1984 M State of legal domicile: CT
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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: PROVIDES COMPREHENSIVE SOCIAL SERVICES INCLUDING SHELTER, OUTREACH, FOOD, COUNSELING, HOUSING, JOB TRAINING AND SUPPORTIVE SERVICES FOR THOSE LIVING IN POVERTY AND THE HOMELESS.		
	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	18.
	4 Number of independent voting members of the governing body (Part VI, line 1b)	4	18.
	5 Total number of individuals employed in calendar year 2018 (Part V, line 2a)	5	65.
	6 Total number of volunteers (estimate if necessary)	6	1,275.
	7a Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
b Net unrelated business taxable income from Form 990-T, line 38	7b		
Revenue	8 Contributions and grants (Part VIII, line 1h)	Prior Year 7,317,028.	Current Year 4,137,228.
	9 Program service revenue (Part VIII, line 2g)	434,325.	688,539.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	8,617.	41,878.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	-15,103.	-7,482.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	7,744,867.	4,860,163.
Expenses	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)	1,749,184.	2,235,585.
	16a Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
	b Total fundraising expenses (Part IX, column (D), line 25) ▶ 408,195.		
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	1,763,718.	1,793,581.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	3,512,902.	4,029,166.
19 Revenue less expenses. Subtract line 18 from line 12	4,231,965.	830,997.	
Net Assets or Fund Balances	20 Total assets (Part X, line 16)	Beginning of Current Year 13,553,677.	End of Year 14,746,004.
	21 Total liabilities (Part X, line 26)	1,560,774.	1,922,104.
	22 Net assets or fund balances. Subtract line 21 from line 20.	11,992,903.	12,823,900.

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 02/12/2020 MICHELE CONDERINO Date 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
	HEATHER L SMITH-JASER CPA		02/12/2020		P00836752
	Firm's name ▶ PKF O'CONNOR DAVIES LLP	Firm's EIN ▶ 27-1728945			
	Firm's address ▶ FOUR CORPORATE DR. SUITE 488 SHELTON, CT 06484	Phone no. 203-929-3535			

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** (2018)

OPEN DOOR SHELTER

WINDOWS



Municipality: Norwalk

Form NAA-01
2020 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, Inc. (dba Open Doors)

Address: 4 Merritt Street Norwalk, CT 06854

Federal Employer Identification Number: 2-22 536909

Program title: Energy Efficient Windows

Name of contact person: Michele Conderino

Telephone number: 203 866 1057-

Email address: mconderino@opendoorshelter.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$40,000

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 is requesting funds to improve the safety and energy efficiency of supportive housing units for homeless families by replacing the windows at 125.5, 127 and 139 South Main Street in South Norwalk. This project includes replacing 33 old single-pane windows with energy-efficient Anderson vinyl replacement windows, as well as the installation of foam insulation, stop moulding and paint.

Need for program: _____
These three properties house nine supportive housing units for homeless families exiting Open Doors' emergency shelter. Open Doors currently operates 54 units of supportive and affordable housing in South Norwalk. Open Doors partners to end chronic homelessness and has maintained a 95% retention rate of individuals in supportive housing which reduces the overall cost of homeless services in the community.

Neighborhood area to be served: South Norwalk, CT _____

Plan to implement the program: All replacements will be completed between 9/1/20 and 12/31/20.

Timetable :

Program start date: 9/L.:l'=L/-=-20 -----

Program completion date: =|2=-{-3=-|/-2=-|) _____

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

Part III - Financial Information

Program Budget:

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

Sources of Revenue:

NAA funds requested	<u>\$40,000</u>
Other funding sources - itemized sources:	
a) <u>CDBG</u>	<u>\$37,000</u>
b) _____	_____
c) _____	_____
d) _____	_____

Total Funding:	<u>\$77,000</u>
-----------------------	-----------------

Proposed Program Expenditures:

Direct operating expenses - itemized description:	
a) <u>Project supervision</u>	<u>\$40,000</u>
b) <u>Windows/installation</u>	<u>\$37,000</u>
c) _____	_____
d) _____	_____

Administrative expenses - itemized description:	
a) _____	_____
b) _____	_____
c) _____	_____
d) _____	_____

Total Proposed Expenditures:	<u>\$77,000</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 obo City of Norwalk
Mailing address: _____ 3 Belden Avenue, Norwalk, CT 06850
Name of municipal liaison: _____ Lori Ellyn Guttman, Director of Community Development Planning
Telephone number: _____ 203-854-7810 x46781
Fax number: _____
Email address: _____ lguttman@norwalkct.org

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

Form **990****Return of Organization Exempt From Income Tax**

OMB No. 1545-0047

2018**Open to Public Inspection**Department of the Treasury
Internal Revenue Service

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.

A For the 2018 calendar year, or tax year beginning 07/01, 2018, and ending 06/30, 2019																														
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">C Name of organization THE OPEN DOOR SHELTER, INC.</td> <td>D Employer identification number 22-2536909</td> </tr> <tr> <td colspan="2">Doing business as</td> <td rowspan="3">E Telephone number (203) 866-1057</td> </tr> <tr> <td>Number and street (or P.O. box if mail is not delivered to street address)</td> <td>Room/suite</td> </tr> <tr> <td colspan="2">4 MERRITT STREET</td> </tr> <tr> <td colspan="2">City or town, state or province, country, and ZIP or foreign postal code NORWALK, CT 06854</td> <td>G Gross receipts \$ 4,950,111.</td> </tr> <tr> <td colspan="3"> F Name and address of principal officer: MICHELE CONDERINO 4 MERRITT STREET, NORWALK, CT 06854 </td> <td> 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) </td> </tr> <tr> <td colspan="4"> I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) () ◀ (insert no.) ☐ 4947(a)(1) or ☐ 527 </td> </tr> <tr> <td colspan="4"> J Website: ▶ WWW.OPENDOORSHELTER.ORG </td> </tr> <tr> <td colspan="3"> K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶ </td> <td> L Year of formation: 1984 M State of legal domicile: CT </td> </tr> </table>	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	4 MERRITT STREET		City or town, state or province, country, and ZIP or foreign postal code NORWALK, CT 06854		G Gross receipts \$ 4,950,111.	F Name and address of principal officer: MICHELE CONDERINO 4 MERRITT STREET, NORWALK, CT 06854			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: ▶ WWW.OPENDOORSHELTER.ORG				K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶			L Year of formation: 1984 M State of legal domicile: CT
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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: PROVIDES COMPREHENSIVE SOCIAL SERVICES INCLUDING SHELTER, OUTREACH, FOOD, COUNSELING, HOUSING, JOB TRAINING AND SUPPORTIVE SERVICES FOR THOSE LIVING IN POVERTY AND THE HOMELESS.			
	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)	18.	
	4	Number of independent voting members of the governing body (Part VI, line 1b)	18.	
	5	Total number of individuals employed in calendar year 2018 (Part V, line 2a)	65.	
	6	Total number of volunteers (estimate if necessary)	1,275.	
	7a	Total unrelated business revenue from Part VIII, column (C), line 12	0.	
	7b	Net unrelated business taxable income from Form 990-T, line 38		
Revenue	8	Contributions and grants (Part VIII, line 1h)	7,317,028.	4,137,228.
	9	Program service revenue (Part VIII, line 2g)	434,325.	688,539.
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	8,617.	41,878.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	-15,103.	-7,482.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	7,744,867.	4,860,163.
Expenses	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)	1,749,184.	2,235,585.
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
	b	Total fundraising expenses (Part IX, column (D), line 25) ▶ 408,195.		
	17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	1,763,718.	1,793,581.
	18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	3,512,902.	4,029,166.
19	Revenue less expenses. Subtract line 18 from line 12	4,231,965.	830,997.	
Net Assets or Fund Balances			Beginning of Current Year	End of Year
	20	Total assets (Part X, line 16)	13,553,677.	14,746,004.
	21	Total liabilities (Part X, line 26)	1,560,774.	1,922,104.
	22	Net assets or fund balances. Subtract line 21 from line 20.	11,992,903.	12,823,900.

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.

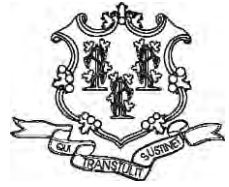
Sign Here	Signature of officer MICHELE CONDERINO	Date 02/12/2020			
	Type or print name and title EXECUTIVE DIRECTOR				
Paid Preparer Use Only	Print/Type preparer's name HEATHER L SMITH-JASER CPA	Preparer's signature	Date 02/12/2020	Check ☐ if self-employed	PTIN P00836752
	Firm's name ▶ PKF O'CONNOR DAVIES LLP			Firm's EIN ▶ 27-1728945	
	Firm's address ▶ FOUR CORPORATE DR. SUITE 488 SHELTON, CT 06484			Phone no. 203-929-3535	

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** (2018)

SATURDAY ACADEMY



Municipality: Norwalk

Form NAA-01

2020 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: _____
Saturday Academy

Address: 38 Calf Pasture Beach Road

Federal Employer Identification Number: 06-1440458

Program title: Girls in Tech: Build a take home Laptop

Name of contact person: Dr. Cynthia Barnett

Telephone number: (203) 855-8714

Email address: drcynthiabarnett@gmail.com

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 22,300.00

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: _____

Build a laptop that combines hardware and software knowledge for a hands-on approach to computer science. Put together their laptops, that is theirs to take home, from Raspberry PI and the other circuit boards. Learn to troubleshoot their hardware assembly and then it's time to boot up the computer, that they build, to experience the thrill of coding in Python.

Need for program:

Computing is where jobs are & where they will be in the future, but fewer than 1 in 5 computer science (CS) graduates are women. Tech jobs are among the fastest growing in the country, yet girls are being left behind. While interest in CS jobs ebbs over time, the biggest drop off happens between the ages of 13-17 hence the focus on high school girls. We will be providing girls skills to occupy some of the 1.4 m computing job openings expected to be available in the U.S. by '20. When we give girls the tools to develop their own future, great things are bound to happen. They develop more self-confidence become innovators in STEAM fields, Leaders in their communities, and builders of their own futures through exposure.

Neighborhood area to be served: _____

Norwalk

Plan to implement the program: _____

Our program is designed to empower girls in Tech, to deepen their computer science skills, as well as their confidence. Girls will build and code their own take-home laptops. They will learn by making and take the first steps to sparking their curiosity and imagination enabling them to become more critical and creative thinkers and not just the end users.

We will implement the program with girls who receive free or reduced lunch in the middle and high schools. It will be an after school program that meets after school and on Saturdays. The target will be 20 girls.

Timetable:Program start date: September 2020Program completion date: June 2021

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

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

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

Sources of Revenue:NAA funds requested \$22,300.00

Other funding sources - itemized sources:

a) Fundraiser \$1,000.00b) African Plan Foundation \$5,000.00

c) _____

d) _____

Total Funding: \$6,000.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Laptop Computers \$10,000.00b) Snacks and supplies \$300.00

c) _____

d) _____

Administrative expenses - itemized description:

a) 4 instructors \$12,000.00

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$22,300.00

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. 06851
Name of municipal liaison: Lori Ellyn Guttman, Director of Community Development Planning
Telephone number: 203-854-7810
Fax number: _____
Email address: lguttman@norwalkct.org

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

Short Form

OMB No. 1545-0047

Return of Organization Exempt From Income Tax**2019**

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

Open to Public InspectionDepartment of the Treasury
Internal Revenue Service

▶ 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.

A For the 2019 calendar year, or tax year beginning 01/01, 2019, and ending 12/31, 20 19																
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">C Name of organization Saturday Academy Inc</td> <td>D Employer identification number 06-1440458</td> </tr> <tr> <td colspan="2">Number and street (or P.O. box if mail is not delivered to street address) Room/suite</td> <td>E Telephone number 203-838-3853</td> </tr> <tr> <td colspan="2">38 Calf Pasture Beach Road</td> <td>F Group Exemption Number ▶</td> </tr> <tr> <td colspan="2">City or town, state or province, country, and ZIP or foreign postal code</td> <td></td> </tr> <tr> <td colspan="2">Norwalk, CT, 06855</td> <td></td> </tr> </table>	C Name of organization Saturday Academy Inc		D Employer identification number 06-1440458	Number and street (or P.O. box if mail is not delivered to street address) Room/suite		E Telephone number 203-838-3853	38 Calf Pasture Beach Road		F Group Exemption Number ▶	City or town, state or province, country, and ZIP or foreign postal code			Norwalk, CT, 06855		
C Name of organization Saturday Academy Inc		D Employer identification number 06-1440458														
Number and street (or P.O. box if mail is not delivered to street address) Room/suite		E Telephone number 203-838-3853														
38 Calf Pasture Beach Road		F Group Exemption Number ▶														
City or town, state or province, country, and ZIP or foreign postal code																
Norwalk, CT, 06855																
G Accounting Method: ☒ Cash ☐ Accrual ☐ Other (specify) ▶																
I Website: ▶ www.saturdayacademyinc.com																
J Tax-exempt status (check only one) — ☒ 501(c)(3) ☐ 501(c) () ◀ (insert no.) ☐ 4947(a)(1) or ☐ 527																
K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other																
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. ▶ \$ 51,519																

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 ☒

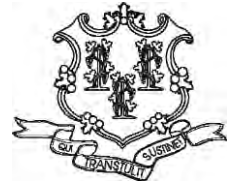
Revenue	1	Contributions, gifts, grants, and similar amounts received	1	10,304
	2	Program service revenue including government fees and contracts	2	41,215
	3	Membership dues and assessments	3	0
	4	Investment income	4	0
	5a	Gross amount from sale of assets other than inventory	5a	0
	5b	Less: cost or other basis and sales expenses	5b	0
	5c	Gain or (loss) from sale of assets other than inventory (subtract line 5b from line 5a)	5c	0
	6	Gaming and fundraising events:		
	a	Gross income from gaming (attach Schedule G if greater than \$15,000)	6a	0
	b	Gross income from fundraising events (not including \$ 0 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	0
c	Less: direct expenses from gaming and fundraising events	6c	0	
d	Net income or (loss) from gaming and fundraising events (add lines 6a and 6b and subtract line 6c)	6d	0	
7a	Gross sales of inventory, less returns and allowances	7a	0	
b	Less: cost of goods sold	7b	0	
c	Gross profit or (loss) from sales of inventory (subtract line 7b from line 7a)	7c	0	
8	Other revenue (describe in Schedule O)	8	0	
9	Total revenue. Add lines 1, 2, 3, 4, 5c, 6d, 7c, and 8 ▶	9	51,519	
Expenses	10	Grants and similar amounts paid (list in Schedule O)	10	0
	11	Benefits paid to or for members	11	0
	12	Salaries, other compensation, and employee benefits	12	19,045
	13	Professional fees and other payments to independent contractors	13	11,630
	14	Occupancy, rent, utilities, and maintenance	14	17,275
	15	Printing, publications, postage, and shipping	15	1,271
	16	Other expenses (describe in Schedule O) <u>See Schedule O, Statement 1</u>	16	6,507
17	Total expenses. Add lines 10 through 16 ▶	17	55,728	
Net Assets	18	Excess or (deficit) for the year (subtract line 17 from line 9)	18	-4,209
	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	22,895
	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	18,686

For Paperwork Reduction Act Notice, see the separate instructions.

Cat. No. 106421

Form **990-EZ** (2019)

STAR, INC



Municipality: Norwalk, CT

Form NAA-01

2020 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: SMART HOME SHOWCASE FOR PEOPLE WITH DISABILITIES

Name of contact person: PETER SAVERINE

Telephone number: (203) 912-8818

Email address: PSAVERINE@STARCT.ORG

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 24,500.00

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: _____

Install Smart Home Technology in STAR group home on Wolfpit Avenue to benefit neighbors with disabilities and serve as local showcase for parents, caregivers, schools and individuals to foster independence, accessibility, safety, communication and efficiency. Areas of concentration: Security, egress, bathroom and bedroom safety, lighting, water leak detection, HVAC, kitchen utility and safety, audio/video sharing, energy monitoring.

Need for program: _____

A technology revolution is changing the way we live. For people with disabilities, assistive technology, artificial intelligence, and adaptive equipment are opening doors for inclusion, autonomy and independence. STAR is committed to providing innovative solutions to improve lives, increase safety and accessibility, and to leverage resources to achieve the greatest efficiencies without sacrificing our trademark personalized service. New technology offers greater comfort, security, safety, accessibility and energy-saving efficiencies.

Neighborhood area to be served: _____

STAR Center is located at 182 Wolfpit Avenue, Norwalk, CT and serves people of all ages who have intellectual and developmental disabilities (Down syndrome, autism, etc.) and their families throughout the greater Norwalk area. The group home designated as a "showcase" for assistive technology and "Smart Home" features is on the same property. The improvements will not only benefit the residents of the house, but will serve as a real-life example to inspire hundreds of other local families on adaptations that can be made in their own homes or other living situations to improve safety, accessibility, monitoring, energy efficiencies and

Plan to implement the program: _____

STAR has had an ongoing series of consultations with architects and professional AT/Smart Home consultants to formulate customized plans for STAR group homes and personalized adaptations for the individuals who live in those homes. Most of the work proposed under this project would fall under maintenance, updates, or enhancements to the existing home/property that would be exempt from the need for special permits or permissions. In any instance that may require permit-appropriate installations or construction, i.e. possible electric wiring or plumbing work, STAR would engage a certified professional who

Timetable:Program start date: January 2021 (or sooner Covid depProgram completion date: June 2021

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

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

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

Sources of Revenue:NAA funds requested \$24,500.00

Other funding sources - itemized sources:

a) STAR FUNDRAISING \$10,000.00b) IN-KIND SERVICES AND DISCOUNTS \$5,500.00

c) _____

d) _____

Total Funding: \$40,000.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) MATERIALS, EQUIPMENT, INSTALLATION \$24,500.00b) SUBCONTRACT LABOR, PERMITS, PROF. SVCS \$10,500.00c) STAFF AND CLIENT TRAINING \$5,000.00

d) _____

Administrative expenses - itemized description:

a) N/A \$0.00

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$40,000.00

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:	Lori Ellyn Guttman, Director of Community Development
Telephone number:	203-854-7810 x46781
Fax number:	_____
Email address:	lguttman@norwalkct.org

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

EXTENDED TO MAY 15, 2019

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

2017
Open to Public
Inspection**A** For the 2017 calendar year, or tax year beginning **JUL 1, 2017** and ending **JUN 30, 2018****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 \$ **13,648,059.****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.STARCT.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 2017 (Part V, line 2a)	5	311
	6 Total number of volunteers (estimate if necessary)	6	726
	7a Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
b Net unrelated business taxable income from Form 990-T, line 34	7b	0.	
Revenue	8 Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
	9 Program service revenue (Part VIII, line 2g)	1,284,656.	1,456,666.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	11,448,731.	11,476,098.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	561,867.	19,555.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	283,065.	451,104.
	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)	13,578,319.	13,403,423.
Expenses	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)	9,380,271.	9,417,869.
	b Total fundraising expenses (Part IX, column (D), line 25) ▶ 204,128.	0.	0.
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	2,955,681.	2,998,862.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	12,335,952.	12,416,731.
Net Assets or Fund Balances	19 Revenue less expenses. Subtract line 18 from line 12	1,242,367.	986,692.
	20 Total assets (Part X, line 16)	Beginning of Current Year	End of Year
	21 Total liabilities (Part X, line 26)	5,387,264.	6,580,245.
	22 Net assets or fund balances. Subtract line 21 from line 20	1,430,164.	1,636,452.
		3,957,100.	4,943,793.

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	05/14/19		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

STEPPING STONES MUSEUM



Municipality: Norwalk

Form NAA-01

2020 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: _____

Stepping Stones Museum for Children

Address: Mathews Park; 303 West Avenue

Federal Employer Identification Number: 22-3199269

Program title: Open Arms Accessibility Initiative

Name of contact person: William E. Jeffries, Vice President, Fund Development and Strategic Initiatives

Telephone number: (203) 899-0606

Email address: william.jeffries@steppingstonesmuseum.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: _____

As part of a \$6 million growth plan, SSMC will be making important HVAC and energy savings upgrades to the facility. In addition, at the heart of Stepping Stones is also an unwavering commitment to inclusion as demonstrated through its multifaceted accessibility initiative, our Open Arms Program. Open Arms provides low-income under-served families access to the museum through free or fee reduced yearly memberships regardless of their ability to pay or any disability.

Need for program:

The museum turns 20 in 2020 and our goals/beliefs are centered on our mission and our commitment to the emerging needs of our community. HVAC facility improvements will have positive impacts on visitors' experiences while in the museum and cost savings for the organization. Open Arms continues to be one of the most meaningful ways the museum serves the community and is projected to serve 75,000 visitors in 2020. We served over 69,000 visitors in 2019. We are now virtually serving 1,700 Open Arms participants every week due to an increased need as part of the repercussions of the COVID-19 situation leaving many families unemployed, home schooling their children and in need of resources to do so.

Neighborhood area to be served: _____

All of Norwalk, CT

Plan to implement the program: _____

We are currently providing STEAM (science, technology, engineering, arts and math) experiences remotely/virtually through our website. We have served over 27,000 participants since we physically closed on 3/13/2020 due to the crisis. We will continue to implement the program by these means now and when the museum begins to reopen so that we can reach as many needy families as possible. Area public schools will remain closed and we are not sure they will reopen in the fall; therefore, our educational services/resources will be even more crucial to our museum community. HVAC improvements will be contracted out late summer 2020.

Timetable:Program start date: September 1, 2020Program completion date: August 31, 2021

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

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

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

Sources of Revenue:

NAA funds requested	<u>\$150,000.00</u>
Other funding sources - itemized sources:	
a) <u>CHEFA Grant (pending)</u>	<u>\$75,000.00</u>
b) <u>Individual, corporate, and foundation support</u>	<u>\$125,000.00</u>
c) _____	_____
d) _____	_____

Total Funding:	<u>\$200,000.00</u>
-----------------------	---------------------

Proposed Program Expenditures:

Direct operating expenses - itemized description:	
a) <u>HVAC Upgrades at 100%</u>	<u>\$75,000.00</u>
b) <u>Open Arms Awards to Low Income (NIP portion)@ 60%</u>	<u>\$125,000.00</u>
c) _____	_____
d) _____	_____
Administrative expenses - itemized description:	
a) <u>Not applicable</u>	_____
b) _____	_____
c) _____	_____
d) _____	_____

Total Proposed Expenditures:	<u>\$200,000.00</u>
-------------------------------------	---------------------

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

Norwalk Redevelopment Agency

3 Belden Avenue, Norwalk CT 06850

Telephone number: 2038547810

Fax number: _

Email address: lguttman@norwalkct.org

☒ Yes ☐ No

December 1, 2021

104

Form 8879-EO

IRS e-file Signature Authorization
for an Exempt Organization

OMB No. 1545-1878

For calendar year 2018, or fiscal year beginning _____, 2018, and ending _____, 20____

2018

Department of the Treasury
Internal Revenue Service

▶ Do not send to the IRS. Keep for your records.

▶ Go to www.irs.gov/Form8879EO for the latest information.

Name of exempt organization

Employer identification number

STEPPING STONES MUSEUM FOR CHILDREN,
INC.

22-3199269

Name and title of officer

JACQUELINE KAUFMAN
TREASURER EFFECTIVE 2019

Part I Type of Return and Return Information (Whole Dollars Only)

Check the box for the return for which you are using this Form 8879-EO and enter the applicable amount, if any, from the return. If you check the box on line 1a, 2a, 3a, 4a, or 5a, below, and the amount on that line for the return being filed with this form was blank, then leave line 1b, 2b, 3b, 4b, or 5b, whichever is applicable, blank (do not enter -0-). But, if you entered -0- on the return, then enter -0- on the applicable line below. Do not complete more than one line in Part I.

1a Form 990 check here ▶ ☒	b Total revenue, if any (Form 990, Part VIII, column (A), line 12)	1b	8,154,336.
2a Form 990-EZ check here ▶ ☐	b Total revenue, if any (Form 990-EZ, line 9)	2b	
3a Form 1120-POL check here ▶ ☐	b Total tax (Form 1120-POL, line 22)	3b	
4a Form 990-PF check here ▶ ☐	b Tax based on investment income (Form 990-PF, Part VI, line 5)	4b	
5a Form 8868 check here ▶ ☐	b Balance Due (Form 8868, line 3c)	5b	

Part II Declaration and Signature Authorization of Officer

Under penalties of perjury, I declare that I am an officer of the above organization and that I have examined a copy of the organization's 2018 electronic return and accompanying schedules and statements and to the best of my knowledge and belief, they are true, correct, and complete. I further declare that the amount in Part I above is the amount shown on the copy of the organization's electronic return. I consent to allow my intermediate service provider, transmitter, or electronic return originator (ERO) to send the organization's return to the IRS and to receive from the IRS (a) an acknowledgement of receipt or reason for rejection of the transmission, (b) the reason for any delay in processing the return or refund, and (c) the date of any refund. If applicable, I authorize the U.S. Treasury and its designated Financial Agent to initiate an electronic funds withdrawal (direct debit) entry to the financial institution account indicated in the tax preparation software for payment of the organization's federal taxes owed on this return, and the financial institution to debit the entry to this account. To revoke a payment, I must contact the U.S. Treasury Financial Agent at 1-888-353-4537 no later than 2 business days prior to the payment (settlement) date. I also authorize the financial institutions involved in the processing of the electronic payment of taxes to receive confidential information necessary to answer inquiries and resolve issues related to the payment. I have selected a personal identification number (PIN) as my signature for the organization's electronic return and, if applicable, the organization's consent to electronic funds withdrawal.

Officer's PIN: check one box only

☒ I authorize WALTER J. MCKEEVER & COMPANY, LLC

ERO firm name

to enter my PIN 02456Enter five numbers, but
do not enter all zeros

as my signature on the organization's tax year 2018 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I also authorize the aforementioned ERO to enter my PIN on the return's disclosure consent screen.

☒ As an officer of the organization, I will enter my PIN as my signature on the organization's tax year 2018 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I will enter my PIN on the return's disclosure consent screen.

Officer's signature ▶

Date ▶

8/21/19

Part III Certification and Authentication

ERO's EFIN/PIN. Enter your six-digit electronic filing identification number (EFIN) followed by your five-digit self-selected PIN.

06574725456

Do not enter all zeros

I certify that the above numeric entry is my PIN, which is my signature on the 2018 electronically filed return for the organization indicated above. I confirm that I am submitting this return in accordance with the requirements of Pub. 4163, Modernized e File (MeF) Information for Authorized IRS e-file Providers for Business Returns.

ERO's signature ▶

Date ▶

ERO Must Retain This Form - See Instructions
Do Not Submit This Form to the IRS Unless Requested To Do So

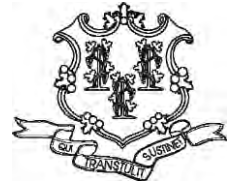
LHA For Paperwork Reduction Act Notice, see instructions.

Form 8879-EO (2018)

823051 10-28-18

105

TRIANGLE COMMUNITY CENTER



Municipality: NORWALK, CT

Form NAA-01

2020 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: _____
TRIANGLE COMMUNITY CENTER

Address: 650 WEST AVENUE / NORWALK, CT 06850

Federal Employer Identification Number: 22-3079559

Program title: HEALTHY MINDS, HEALTHY BODIES

Name of contact person: SEAN-MICHAEL HAZUDA

Telephone number: 203-945-8972

Email address: SEANMICHAEL@CTPRIDECENTER.ORG

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 24,500

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): MENTAL HEALTH COUNSELING, CASE MANAGEMENT and EDUCATION

Description of program: _____

TCC is launching this new program during the middle of the COVID-19 crisis when there is a burgeoning need for youth and young adults to develop and maintain healthy minds and healthy bodies. A multi-pronged approach through mental health counseling, life skills training and education, this program supports, illuminates and empowers young people to make good, holistic decisions for their life along with developing critical skill sets that ensure their long-term success. TCC is committed to caring for the whole person so they can enjoy a fullness of life and become productive members of society while living life as they truly are as LGBTQ persons.

Need for program: _____

Now more than ever, our young people are in need of specialized support, mental health counseling, guidance and education to ensure they engage in safe sex and develop healthy practices early on in life. The Healthy Minds, Healthy Bodies Program is further enhanced by our new life skills training on healthy cooking and eating, exercising, financial literacy, resume building and interviewing advice.

****Please note that ALL of our programs and services are being offered virtually via daily/weekly/monthly Zoom meetings, chat groups and teleconferencing****

Neighborhood area to be served: _____

All neighborhoods in Norwalk, South Norwalk, East Norwalk, West Norwalk and Rowayton

Plan to implement the program: _____

The Healthy Minds, Health Bodies Program is spear-headed by our Youth & Young Adults Coordinator, our Community Educator and the Mental Health Counseling Supervisor along with volunteer healthcare providers (presentations and workshops), the Norwalk Police Department, the Domestic Violence Crisis Center, Rowan Center and other community partners. Through our myriad of virtual services we will launch this engaging program in May 2020. The timing coincides when both high school and college semesters are coming to a close and young people will need support more than ever before during the COVID-19 crisis and beyond.

Timetable:Program start date: 1 MAY 2020Program completion date: 31 DECEMBER 2020

The program completion date must not be more than two years from the program start date. A certified post-project review is due to the municipality overseeing implementation no later than three months after program completion date for all projects receiving \$25,000 or more in NAA funding.

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

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

Sources of Revenue:

NAA funds requested	24,500
Other funding sources - itemized sources:	
a) <u>CIRCLE CARE CENTER GRANT</u>	39,333 (pro-rated)
b) <u>JOHNSON FAMILY FOUNDATION GRANT</u>	16,667 (pro-rated)
c) <u>FAIRFIELD COUNTY COMMUNITY FOUNDATION</u>	6,667 (pro-rated)
d) _____	_____

Total Funding:	87,167
-----------------------	--------

Proposed Program Expenditures:

Direct operating expenses - itemized description:	
a) <u>Mental Health Counseling Manager (part-time)</u>	15,842 (pro-rated)
b) <u>Youth & Young Adults Coordinator</u>	30,000 (pro-rated)
c) <u>Community Educator</u>	31,667 (pro-rated)
d) _____	_____
Administrative expenses - itemized description:	
a) <u>Supervisor (4 hours/week)</u>	7,692 (pro-rated)
b) <u>Supplies, Materials, Marketing, Internet/Phone</u>	2,000
c) _____	_____
d) _____	_____

Total Proposed Expenditures:	87,201
-------------------------------------	--------

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 06650
Name of municipal liaison:	Lori Ellyn Guttman, Director of Community Development Planning
Telephone number:	203-854-7810 x: 46781
Fax number:	_____
Email address:	lguttman@norwalkct.org

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

Extended to November 15, 2019

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

2018Open to Public
Inspection**A For the 2018 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

C Name of organization

Triangle Community Center, Inc.

Doing business as

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

650 West Avenue

Room/suite

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

Norwalk, CT 06850

F Name and address of principal officer: Sean-Michael Hazuda
same as C above**D** Employer identification number

22-3079559

E Telephone number

203-853-0600

G Gross receipts \$

795,201.

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.ctpridecenter.org**K** Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶**L** Year of formation: 1990 **M** State of legal domicile: CT**Part I Summary**

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: <u>Triangle Community Center (TCC) empowers and advocates for LGBTQ people in Connecticut through</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	14
	4 Number of independent voting members of the governing body (Part VI, line 1b)	4	14
	5 Total number of individuals employed in calendar year 2018 (Part V, line 2a)	5	8
	6 Total number of volunteers (estimate if necessary)	6	248
	7a Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
b Net unrelated business taxable income from Form 990-T, line 38	7b	0.	
Revenue	8 Contributions and grants (Part VIII, line 1h)	Prior Year 622,053.	Current Year 693,326.
	9 Program service revenue (Part VIII, line 2g)	2,360.	5,085.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	74.	12.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	2,344.	0.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	626,831.	698,423.
	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)	34,960.	11,378.
Expenses	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)	331,256.	379,987.
	16a Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
	b Total fundraising expenses (Part IX, column (D), line 25)	84,654.	
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	243,150.	286,294.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	609,366.	677,659.
Net Assets or Fund Balances	19 Revenue less expenses. Subtract line 18 from line 12	17,465.	20,764.
	20 Total assets (Part X, line 16)	Beginning of Current Year 236,842.	End of Year 221,646.
	21 Total liabilities (Part X, line 26)	115,070.	79,110.
	22 Net assets or fund balances. Subtract line 21 from line 20	121,772.	142,536.

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
	John Volpe, Board Treasurer		
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date
	James E. Traester, CPA		
Paid Preparer Use Only	Firm's name	Firm's EIN	PTIN
	Apicella, Testa & Company, P.C.	06-0876812	P00179318
Paid Preparer Use Only	Firm's address	Phone no.	
	680 Bridgeport Avenue Shelton, CT 06484	203-925-9494	

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

TO: MEMBERS, PLANNING COMMITTEE OF THE COMMON COUNCIL
FROM: STAFF OF THE NORWALK REDEVELOPMENT AGENCY
RE: CARES Act/CDBG-CV APPLICATIONS
DATE: MAY 27, 2020

In response to the Coronavirus/COVID-19 pandemic, on March 27, 2020 the President signed the Coronavirus Aid, Relief and Economic Security (CARES) Act. The City of Norwalk was allocated \$521,436 of CDBG-CV funding to address the COVID-19 pandemic and its impacts on the Norwalk community.

SUMMARY OF SUBMITTED APPLICATIONS

A total of 13 applications were submitted for the CARES Act CDBG-CV program. Accompanying this memo is an electronic binder showcasing each application.

AVAILABILITY OF APPLICATIONS FOR PUBLIC REVIEW

On May 26, 2020, submitted applications have been posted on the City's website: <http://www.norwalkct.org/1412/Community-Development-Block-Grant>.

CONFLICTS OF INTEREST AND THE REVIEW PROCESS

Agency staff will work with Corporation Counsel and HUD to secure waivers for the affected Council member and organization if there is indeed a conflict.

APPLICATION PRESENTATIONS

At the Planning Committee meeting on June 4, 2020, organizations submitting an application are invited to make a brief, three minute presentation to the Planning Committee during the public meeting portion of the Planning Committee meeting.

Organization	Program Title	Amount Requested
Bridgeport Rescue Mission	Food Delivery and Pantry Operation	\$25,000
Carver Foundation	Summer Enrichment Program	\$8,047
Domestic Violence Crisis Center	Personal Protective Equipment and Office updates in response to COVID-19	\$18,625
ElderHouse	COVID-19 Program Enhancement Project	\$20,000
Family & Children's Agency	PPE & Sanitation products to safely serve Norwalk's most vulnerable residents	\$26,000
Filling in the Blanks	Weekend Meal Program for Children	\$31,000
Greater Norwalk Hispanic Chamber of Commerce	Rise to Respond & Prevent COVID-19 in the Hispanic Community	\$55,000
Higher Education Literacy Program	College Edge Program COVID-19 Adjustments	\$6,210
Malta House	Residential Program for Homeless Mothers	\$50,000
Mid Fairfield AIDS Project	Support for COVID-19 affected and infected persons living with HIV/AIDS	\$123,550

Norwalk Senior Center	Meals on Wheels Program	\$30,000
Person-to-Person	Door2Door, Norwalk	\$61,667
Serving All Vessels Equally	COVID-19 Prevention and Awareness for Teens and Young Adults	\$8000

KEY DATES

- June 4, 2020 – CDBG-CV applicants present their proposals to the Planning Committee
- July 2, 2020 – Planning Committee makes CDBG-CV funding recommendations
- July 6 – July 11, 2020 – 5 day Public Comment period for the amended PY45 AAP based on the PC's funding recommendations
- August 6, 2020 – Planning Committee public hearing on the amended PY45 AAP and Citizen Participation Plan, approving advancement it to the Council for approval
- August 11, 2020 – Common Council approves the amended PY45 Action Plan and Citizen Participation Plan with the CDBG-CV proposals.

REQUESTED ACTION:

1. Approve scheduling a public hearing at the August 6, 2020 meeting on the amended PY45 AAP and Citizen Participation Plan to advance the documents to the Common Council.

To run on May 28, 2020

LEGAL NOTICE

CARES ACT/CDBG-CV – 2020 Public Hearing

The Planning Committee of the Norwalk Common Council will hold a **virtual public hearing** for organizations who submitted an application to make a brief, three minute presentation on **Thursday, June 4, 2020 at 6:00PM.**

Applications submitted by local nonprofit organizations are available online at the following location: <http://www.norwalkct.org/1412/Community-Development-Block-Grant> of the City's website.

Anyone may access the meeting by either telephone, Zoom and/or the City of Norwalk YouTube Channel. To join the meeting register here:

https://us02web.zoom.us/webinar/register/WN_Ca0p9g3xTGuRCtSL7DGu3w

Additional instructions for public access are available at:

https://www.norwalkct.org/DocumentCenter/View/15695/7---PublicGuidance_ZoomMeetings---462020docx

Telephone Access (Listening Only) Dial: 646-558-8656 Enter Meeting ID: 832 0892 7613

Viewing Access (Listening Only) A live stream will be available on the City of Norwalk CT YouTube Channel at <https://www.norwalkct.org/youtube>.

Members of the public are encouraged to speak. Persons unable to attend, may submit written comments for the record no later than 12:00PM on Thursday, June 4, 2020 to Lori Ellyn Guttman at lguttman@norwalkct.org.



CARES ACT
CDBG-CV GRANT
APPLICATIONS

NORWALK  **DEVELOPMENT AGENCY**

CARES Act / CDBG-CV Applications

Available: \$521,436 Requested: \$463,099

Binder Tab Numbe	Organization	Project Title and Brief Description	Request
1	Bridgeport Rescue Mission	Food Delivery & Pantry Operation - Their COVID-19 emergency pantry operation is serving over 660+ families weekly. Most additional packed grocery bags are being delivered to homebound seniors and women with children, main in Norwalk.	\$25,000
2	Carver Foundation	Summer Enrichment Program - in accordance with COVID-19 CT Office of Early Childhood's established guidelines, they need PPE, durable plastic outdoor tables and chairs, cleaning equipment and supplies for 190 children and summer staff.	\$8,047
3	Domestic Violence Crisis Center	Personal Protective Equipment (PPE) & Office Updates in Response to COVID-19 - Bulk Hand Sanitizer, Touchless Dispensers, Disinfecting Wipes, Resusable/Washable Face Masks, Disposable Face Masks, Face Shields, No Contact Thermometer, Plexiglass Desk Shield, Office reconfiguration.	\$18,625
4	ElderHouse	COVID-19 Program Enhancement Project - These funds will respond to the immediate, transitional and post COVID-19 needs through achievement of the following goals: 1) help ensure the wellbeing of vulnerable seniors, 2) prevent unnecessary use of the emergency room and emergency response, 3) help keep vulnerable seniors from placement in nursing facilities, 4) reduce the feelings associated with isolation, and 5) support the 24/7 efforts of family caregivers.	\$20,000
5	Family & Children's Agency (FCA)	PPE & Sanitation products to safely serve Norwalk's most vulnerable residents in light of COVID-19 - Each year, FCA works with over 13,000 clients, 50% reside in Norwalk, approximately 7% are elderly and 17% are children. We provide an essential public service to prevent or respond to child abuse/neglect (Family Support and Foster Care), promote kindergarten readiness (Child & Family Development), close the opportunity gap among Norwalk's students (ASPIRE), work with the homeless to become self-sufficient (Community Connections), promote mental wellbeing (Behavioral Health) and support the elderly to live safely and independently (Home Care). To ensure these vulnerable client populations have a low barrier to accessing services, over 70% of our services are delivered in the home.	\$26,000
6	Filling in the Blanks	Weekend Meal Program - Provides over 2,200 food insecure children in Fairfield and Westchester County with meal bages every Friday for 44 weeks per year to bridge te weekend gap when they often to not know where their next meal will come from. This grant request will serve those in the City of Norwalk.	\$31,000
7	Greater Norwalk Hispanic Chamber of Commerce	Rise to Respond & Prevent COVID-19 - To provide assistance to the community to respond, prepare, and prevent the spread of covid and provide relief and support to local agencies, individuals & members. Primarily in the areas of education on Covid guidelines, assisting spanish speaking communities and directing them to services and information in their language. Personal Protective Equipment is highly needed now and in the future. We wish to purchase PPE and distribute it to businesses that want to reopen such as restaurants, salons, hospitals, clinics, & child care ctrs.	\$55,000

CARES Act / CDBG-CV Applications

Available: \$521,436 Requested: \$463,099

Binder Tab Numbe	Organization	Project Title and Brief Description	Request
8	Higher Education Literacy Professionals (HELP)	College Edge Program COVID19 Adjustments - These adjustments will allow HELP, Inc. to continue to provide services to students in a safe environment. The College Edge Program is a comprehensive series of college & career readiness workshops, SAT test preparation lessons, college tours, and private coaching sessions designed to guide students and families to and through the college application process. The goal of the College Edge Program is 100% college placement for 20 low-income Norwalk program participants.	\$6,210
9	Malta House	Residential Program - CDC reports that homeless ppl are are most vulnerable population due to COVID-19. All their clients are homeless women wo are either pregnant or recently gave birth. It is imperative to their health and their baby;s health that Malta House provides them shelter, food (including baby formul) and essential items.	\$50,000
10	Mid Fairfield AIDS Project (MFAP)	Support for COVID-19 affected and infected persons living with HIV/AIDS - Since their clients are all immune compromised and more at risk as well as living on incomes below the poverty level, the Covid-19 pandemic has created extreme hardships. 13 clients became positive for Covid-19 and needed financial and volunteer help in managing their illness. At least thirty of the HIV clients lost their source of income and they had little savings prior to this crisis, as their income is very limited. Our total number of HIV/AIDS clients number over 120 and they are in our medical case management program.	\$123,550
11	Norwalk Senior Center	Meals on Wheels Program - Delivering fresh & frozen meals directly to home of people of all ages living in Norwalk who are unable to shop or prepare meals themselves due to: disability, frailty, recovery from an illness/injury or quarantine.	\$30,000
12	Person-to-Person	Door2Door, Norwalk - Newly implemented home delivery system for those unable to leave their homes during the COVID-19 crisis. The program was created in response to a very large increase in demand for food assistance, and to ensure that at-risk clients receive the essentials they need to survive during the pandemic. Using a contactless system of delivery, a driver drops off bags of groceries at the doorstep of P2P clients who are not able to make an in-person visit to one of their three food pantries, whether due to age, disability, or other high-risk category. P2P has food pantry locations in Norwalk, Darien, and Stamford, and had seen a sharp increase in the need for food assistance at all 3 of their locations since the shutdown began on or about March 15th.	\$61,667
13	Serving All Vessels Equally (SAVE)	COVID19 Prevention and Awareness - For teenagers and young adults about the need for proper precautions and safety due to Covid19. In our groups, youth share with us a rather nonchalant sense of invincibility and lack of appreciation for health and safety protocols. They sometimes sneak out of the house to see a love interest, posts photos on social medias in groups, no physical distancing, no PPE, or roam around the neighborhoods without PPE during school hours because their parents are essential workers and not a home to monitor school progress of their child. Some travel as far as Bridgeport several times a week to hang out with friends or see siblings who live with another parent who also may not be home during the day or evening.	\$8,000
TOTAL Planning Committee Recommendation			117 \$463,099

TABLE OF CONTENTS

1	Bridgeport Rescue Mission – Food Delivery and Pantry Operation
2	Carver Foundation – Summer Enrichment Program
3	Domestic Violence Crisis Center – Personal Protective Equipment and Office Updates in response to COVID-19
4	ElderHouse – COVID-19 Program Enhancement Project
5	Family & Children’s Agency – PPE & Sanitation products to safely serve Norwalk’s most vulnerable residents
6	Filling in the Blanks – Weekend Meal Program for Children
7	Greater Norwalk Hispanic Chamber of Commerce – Rise to Respond & Prevent COVID-19 in the Hispanic Community
8	Higher Education Literacy Program – College Edge Program COVID-19 Adjustments
9	Malta House – Residential Program for Homeless Mothers
10	Mid Fairfield AIDS Project – Support for COVID-19 affected and infected persons living with HIV/AIDS
11	Norwalk Senior Center – Meals on Wheels Program
12	Person-to-Person – Door2Door, Norwalk
13	Serving All Vessels Equally – COVID19 Prevention and Awareness for Teens and Young Adults

BRIDGEPORT RESCUE MISSION

**NORWALK REDEVELOPMENT AGENCY obo CITY OF NORWALK
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG-CV) PROGRAM
APPLICATION FORM FOR CDBG-CV FUNDS**

Applicant Agency/Organization Name: Bridgeport Rescue Mission (BRM)

President/CEO/Executive Director's Contact Information: Frank Williams

Type of Organization: Non-profit

Applicant Mailing Address: 1088 Fairfield Avenue
Bridgeport, CT 06605

Project Location Address: 1088 Fairfield Avenue
Bridgeport, CT 06605

Age of Building (Public Facility/Housing Applications Only):

Contact Person (designated contact person for the project/proposal):

Name: Rachel Lochowski

Title: Development Coordinator

Phone #: 203-333-4087 ext. 107

Email Address: rlochowski@bridgeportrescuemission.org

Proposed Project/Activity Name: Food Delivery and Pantry Operation

Brief Description of the Proposed Project/Activity: Throughout the crisis BRM has distributed pantry and grocery bags, as well as make deliveries to housing projects and community partners to assure hungry families are cared for. Our COVID-19 emergency pantry operation, in operation above and beyond our regular daily service, is serving over 660+ families weekly. Most of these additional packed grocery bags are being delivered to home bound seniors and women with children, mainly in Norwalk. I certify that all information provided is correct to the best of my knowledge.

Rachel Lochowski Development Coordinator <i>Rachel Lochowski</i>	May 20th, 2020
Name, Title & Signature	Date

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

ORGANIZATION

1. ΝΑΡΞΙΣΙ2ΝΙΰ wSāōdzS a lāāli2y'ō . w a ū lā l' pmlōōōōōūs y2yLJN2Tfāū 2N3I-Ylīl'ī-ūi2ySāūl'ōflāKŚR l'y mφφo ū2 NŚāLJ2yR ū2 ūKS ySSRā 2T ūKS θ2Nlly3 IJ22N I-yR K2YŚtSāā l'y Ō2l'āūl'f C l-NlPflSfR /2dzyl'ūē φKS a lāāli2y āūl'NŪŚR 2y'ūKS 9l'āū ālRŚ 2T . ΝΑΡΞΙΣΙ2ΝΙΰ TSSRly3 Kdzyl'ūē ySΛKō2Nā 2dzū 2T l' āūl'ūi2y θ'l32y l'yR ū2Rl'ēS . w a 2LJŚNl'ūSā f2dzN Ōl'YlJdzāSā I-yR ūθ2 a 2ōl'ēS YlūōKSyāφ 2 S flAKū LJ2θS Nūē flN2Y ūKS l'yāūRŚ 2dzū ōē LJN2θlRly3 l' lJl'ī-ōS 2T K2LJŚ I-yR Rlzyāūē l'ā θS TSSR ūKS Kdzyl'Nūē Ōf2ūKS ūKS ySSRēS āKSfūS N ūKS K2YŚtSāā I-yR 2TfS N ādzāūl'lyl'ōfS NŪSŌ2θS Nūē h dzN Y lāāli2y l'ā ū2 RSY2yāūNl'ūS ūKS f2θS 2T D2R l'ā θS ŚYōNl'ī-ōS ūKS dzNōl'y LJ22N I-yR l'RĀlōūS RŚ 2TfS Nly3 K2LJŚ I-yR KŚl'fl'y3 f2N l' ŌKl'y3SR fl'fS h dzN ōlāli2y l'ā ū2 ŚEōSf l'y'ūKS LJN2θlāli2y 2T f22RŚ āKSfūS N Ōf2ūKly3S ŚRdzōl'ūi2y l'f 2LJLJ2Nūdzyl'ūl'SāS I-yR 22ō ūNl'lyly3 ū2 l'ff NŪS3l'NŪRtSāā 2T fl'NūKS ŚūKy lōl'ūē 2N Ū2y2yYlō āūl'ūdzāφ

tfŠl-ăŠ wŠfŠN ũZ t l-ƎŠ m1

A.	Does your organization have a Board of Directors?	☒ YES	☐ NO
B.	Is your organization exempt under IRS Code 501(c) (3)? (If yes, provide documentation*)	☒ YES	☐ NO
C.	Are your organization's services available to Norwalk residents?	☒ YES	☐ NO
D.	Does your organization have an EEO Policy? (Include a copy*)	☒ YES	☐ NO
E.	If a housing provider, does your organization have a written Fair Housing Policy including accessibility (504) requirements? (Include a copy*)	☐ YES	☒ NO
F.	Does your organization have a written Procurement Policy? (Include a copy*) There is not a written policy, but the Board has three quotes for all large purchases	☐ YES	☒ NO
G.	Is your organization considered a Faith-Based Organization?	☒ YES	☐ NO
H.	Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal* n/a		
I.	Include a copy of your written Policy on Record Keeping* n/a		
J.	Include a copy of your most current audited Financial Statements		

121

PART 2. PROPOSED PROJECT/ACTIVITY

GENERAL DESCRIPTION

1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of preventing, preparing for and/or responding to the COVID-19 outbreak. Omission of requested information may be a cause to reject application.

Our COVID-19 emergency pantry operation, in operation above and beyond our regular daily service, is serving over 660+ families weekly. Throughout the crisis we will continue to both distribute these bags, as well as make deliveries to housing projects and community partners to assure hungry families are cared for. Our senior operation is fairly substantial because they are the most at-risk population right now. We are currently targeting groceries to senior public housing buildings in Stamford, Norwalk and Bridgeport. More than 500+ families/ individuals who are homebound are being supported. Bridgeport Mutual Aid has been a strong partner in Bridgeport. People call in and say that they need help they are screened and identified as at risk for hunger. Bridgeport Mutual Aid then comes to out back parking lot at 1088 Fairfield Avenue to our emergency grocery packing operation for pick up. We are supporting 320+ homebound seniors weekly through this partnership. Their volunteer drivers have been picking up from us and then delivering to doors. We have also been dropping off pantry bags, The Greens, PT Barnum, Washington Heights, and few other locations. We have been coordinating with the housing authority as they are identifying the homebound, at-risk seniors to receive delivery. BRM has a heart for struggling people and never turns away an individual who comes to our doorstep seeking assistance. In this time of need, we do not want that to change and have done everything in our power to stand firm in caring for vulnerable people. Over the past month, we have nearly tripled our community food distribution and we will continue to work to meet needs as they are brought to our attention. We are requesting \$25,000 to assure we do not run out of food and supplies.

2. Check the box that best describes the proposed project/activity.

- ☐ Public service activity
- ☐ Rehabilitation activity
- ☐ New construction activity
- ☐ Real property acquisition activity (i.e. land/building).
- ☒ Other (explain) Emergency Food Operation

3. Check the box that applies to the proposed project/activity.

- ☐ New "core" program
- ☒ Expansion of existing "core" program
- ☐ Support of existing "core" program (with no expansion)
- ☐ New "support" program
- ☐ Expansion of existing "support" program
- ☐ Existing "support" program (with no expansion)
- ☐ Other (explain) _____

4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose? ☐ YES ☒ NO
5. How many persons or families (unduplicated #s) will the proposed project/activity serve? Indicate one as follows:
- | | | |
|---|-------------|-------|
| # | <u>100</u> | Week |
| # | <u>526</u> | Month |
| # | <u>5000</u> | Year |

- | | | | |
|----|--|----------------|-------|
| 6. | How many persons or families (unduplicated #s) in Question 7, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)? | # <u>100</u> | Week |
| | | # <u>526</u> | Month |
| | | # <u>5,000</u> | Year |
| 7. | How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG-CV income guidelines on Page 2 of this application)? | # <u>100</u> | Week |
| | | # <u>526</u> | Month |
| | | # <u>5000</u> | Year |

*** Failure to answer Questions 6 – 9 may disqualify application.**

- | | | | |
|----|--|-------------------------------------|----------------|
| 8. | What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? <u>Check more than one box, if necessary</u> . Note that the organization must be able to prove the income eligibility of beneficiaries. | ☒ | Name |
| | | ☒ | Address |
| | | ☐ | Income |
| | | ☐ | Other |
| 9. | Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation with the application evidencing the below qualification. Examples: Client In-take forms (no names), proposed rents, etc. | | |

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

- ☒ **Area Benefit.** Activity meets needs of LMI persons residing in an area where at least 51% of the residents are LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood.

Documentation Attached: ☐

- ☐ **Limited Client Benefit.** Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the subcategories, check the applicable number.

Documentation Attached: ☐

- (1) Project/activity maintains client records on income and family size records documenting that such persons qualify as LMI.
- (2) Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons.
- (3) Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons.
- (4) Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.)

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ☒ yes ☐ no

If yes, please explain:

Bridgeport Rescue Mission does not receive any federal or state funding, therefore we have been getting donations from personal individual donors, foundations, and other corporate partners during this time to ensure the program can run properly.

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ☒ yes ☐ no.

If yes, please explain below and include any letter(s) of commitment for ongoing funds or approved funds from other source(s) to assist with the proposed project that you are requesting.

If yes, what funding source?	Amount Requested	Amount Approved	Amount Pending	Amount Denied
PepsiCo	\$100,000	\$100,000		
Webster Bank	\$5,000	\$10,000		
Nassau Re	\$10,000	\$10,000		

2. What is the total cost of the proposed project? Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor and/or architect/engineer estimate.

Please see page 12 for Budget. The total is \$264,000

3. Describe your organization's fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

Our fiscal year is from July 1st to June 30th, and we get audited every year.

4. Attach an explanation on how the proposed project will affect your administrative budget (example: additional personnel, maintenance, office space, etc.) Include an explanation on long-term plans for funding/sustaining the proposed project.

There has been a lot of different changes to the budget, due to the time frame of COVID-19 the operation has been extended. Over the past month, we have nearly tripled our community food distribution and we will continue to work to meet needs as they are brought to our attention. We are constantly running low on food items such as pantry nonperishables and making regular large purchases of additional food items to assure we do not run out. Bridgeport Rescue Mission is reliant on financial gifts from generous individuals, private foundations, community organizations and corporate partners. Over the past two weeks we have seen our predictable revenue streams stressed as many of these regular financial partners are unable to make gifts at this time.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish).

The schedule for the project is currently going on and there is currently no end date. The program is an efficient version of our normal Food Operation, just catered to COVID-19.

PART 4. ORGANIZATIONAL EFFICIENCY

1. How many staff members will be directly associated with the proposed project?

	Professional	Support	Volunteer
Full-Time Staff	5		
Part-Time Staff			8

Include a list of those involved in completing the project. The list must include: each person's name and a brief summary of job duties in relation to the proposed project.

Each staff member has been working everyday since COVID, managing the operation and volunteers have helped the operation run also.

2. If your organization has an elected or appointed board, complete the questions below.

NAME OF BOARD/COMMITTEE: Bridgeport Rescue Mission

List the names of the individuals on the board and the position they may hold on the board. -Page 13

- a. Number of voting board members as of January 1, 2020 attached Vacancies? zero
- b. How many board members reside within the City of Norwalk? none
- c. How are the board members chosen?
- d. Does your organization provide any board training and/or orientation? xyes no
If so, how often is training provided?
- e. How long is a term? 3 How many consecutive terms may be served? 2

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. Has the organization attempted to coordinate the project with other agencies to avoid duplication of services? yes xno If yes, please explain.

2. Identify other agencies in Norwalk (including non-profit and government) that provide services similar to your proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies?

N/A

3. Identify other agencies in Norwalk that provide services directed toward the same target beneficiaries of your proposed project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?

N/A

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants: N/A

ORGANIZATION NAME:

Organization is:

1. Corporation ()
2. Non-Profit 501(c)(3) ()
3. Partnership ()
4. Sole Owner ()
5. Association ()
6. Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the above-mentioned organization or project proposed.

Name, Job Title and Norwalk Redevelopment Agency Department

N/A

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a potential "financial interest" in the organization or project.

Name/Title

N/A

NOTE: If the applicant has provided names in question 1 or 2, please provide details regarding any known potential conflicts of interest in an attached narrative.

SUMMARY OF PROGRAMS

Food Outreach Program: Bridgeport Rescue Mission is the largest provider of food assistance in Coastal Fairfield County (Bridgeport and South Norwalk) and provides more than 560,000 meals a year to the working poor and homeless in our community. This includes:

- Breakfast, lunch and dinner served in the Mission's Main Campus dining room; approximately 450 meals daily
- Two Mobile Kitchens that visit 9 sites weekly in Bridgeport and South Norwalk providing between 100 and 150 meals at each site to low-income families.
- Pantry (free grocery store) open five days a week for impoverished and food insecure families. Annually provides over 19,000 non-perishable food bags and access to a vast selection of fresh produce.
- The Mission's Great ThanksGiving Project provides 3,200 families with a frozen turkey and bag of fixings so that each family can prepare their own Thanksgiving meal

Emergency Shelters for Men and Women and Homeless Mothers with Children

- Annually provide more than 39,000 nights of emergency shelter to men and women in two facilities
- The **Guest House for Women & Children** serves homeless moms with young children ages 7 and under. The homeless moms and their children come to BRM after having struggled through a series of temporary living arrangements. They have exhausted the willingness of family and friends to help, and find themselves living on the streets with almost no resources to support their family. Our maximum capacity at the Guest House for Women and Children is 7 mothers and 15 children.

New Life Discipleship Program

- BRM has two separate campuses that offer a 6-12 month long New Life residential addiction recovery program that utilizes a body-mind-spirit recovery model.
- The program can accommodate up to 30 men and 15 women.
- BRM offers a Supportive Housing program to men and women who have completed the New Life program and need additional time to acquire work experience and skills

Description: Estimated COVID 19 Response Operations Funding	Estimated Cost Weekly	Estimated Cost for 8 Week Response	Notes:
Staff funding and overtime			
- Staff funding	\$10,800	\$129,600	18 team members x \$15 per hour x 40 hour per week
- Staff Overtime	\$ 4,050	\$48,600	18 team members x \$22.50 x 10 hours per week
Supplies			
- Food	\$2,500 - \$5,000	\$40,000	
- Medical Supplies		\$8,000	
- Protective Clothing		\$5,500	
- Cleaning Supplies		\$3,500	
- Transportation	\$500	\$4,000	
- Emergency Pantry Set-up		\$25,000	Tents, tables, carts, packing supplies
	TOTAL:	\$264,000	



BOARD OF DIRECTORS **Bridgeport Rescue Mission**

As of October 28, 2019

1088 Fairfield Avenue, Bridgeport, CT 06605

203-333-4087

www.BridgeportRescueMission.org

Term Limits:

3 Years

Can serve 2 consecutive terms and then must be off for 2 years before being voted back

Chair of the Board

Mr. Paul Hiller

Vice Chair of the Board

Ms. Joan McKenzie

Secretary

Mr. Donald Hannibal

Finance Chair of the Board

Mr. Philip Sherringham

BOARD MEMBERS

Rev. Dan McCandless

Mrs. Stacey Cardenas

Mr. Mark Curtis

Rev. David Rowe

Mrs. Kerry Stratton

Mr. Ed Gillespie

Mr. Robert Fiscus

Mr. Dave Anderson

Mr. Michael Voytek

Albert P. Carey

BOARD OBSERVERS

Mr. Randall Seymore

Mrs. Joy Topazian-Moore

Mrs. Lydee Conway-Hummel

Mr. Peter J Miles-Prouten

Internal Revenue Service

Department of the Treasury

**P.O. Box 2508
Cincinnati, OH 45201**

Date: April 23, 2003

Bridgeport Rescue Mission, Inc.
1088 Fairfield Avenue
Bridgeport, CT 06605

Person to Contact:

Carol Kraft - #31-01135
Customer Service Specialist

Toll Free Telephone Number:

877-829-5500
8:00 a.m. to 6:30 p.m. EST

Fax Number:

513-263-3756

Federal Identification Number:

06-1362705

Dear Sir:

This is in response to your telephone request of April 23, 2003, regarding your organization's tax exempt status.

Our records indicate that a determination letter issued in March 1994 granted your organization exemption from federal income tax under section 501(c)(3) of the Internal Revenue Code. That letter is still in effect.

Based on information subsequently submitted, we classified your organization as one that is not a private foundation within the meaning of section 509(a) of the Code because it is an organization described in sections 509(a)(1) and 170(b)(1)(A)(vi).

This classification was based on the assumption that your organization's operations would continue as stated in the application. If your organization's sources of support, or its character, method of operations, or purposes have changed, please let us know so we can consider the effect of the change on the exempt status and foundation status of your organization.

Your organization is required to file Form 990, Return of Organization Exempt from Income Tax, only if its gross receipts each year are normally more than \$25,000. If a return is required, it must be filed by the 15th day of the fifth month after the end of the organization's annual accounting period. The law imposes a penalty of \$20 a day, up to a maximum of \$10,000, when a return is filed late, unless there is reasonable cause for the delay.

All exempt organizations (unless specifically excluded) are liable for taxes under the Federal Insurance Contributions Act (social security taxes) on remuneration of \$100 or more paid to each employee during a calendar year. Your organization is not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the excise taxes under Chapter 42 of the Code. However, these organizations are not automatically exempt from other federal excise taxes.

Donors may deduct contributions to your organization as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to your organization or for its use are deductible for federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Bridgeport Rescue Mission, inc. 06-1362705

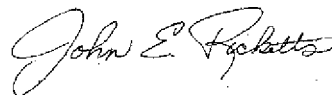
Your organization is not required to file federal income tax returns unless it is subject to the tax on unrelated business income under section 511 of the Code. If your organization is subject to this tax, it must file an income tax return on the Form 990-T, Exempt Organization Business Income Tax Return. In this letter, we are not determining whether any of your organization's present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

The law requires you to make your organization's annual return available for public inspection without charge for three years after the due date of the return. You are also required to make available for public inspection a copy of your organization's exemption application, any supporting documents and the exemption letter to any individual who requests such documents in person or in writing. You can charge only a reasonable fee for reproduction and actual postage costs for the copied materials. The law does not require you to provide copies of public inspection documents that are widely available, such as by posting them on the Internet (World Wide Web). You may be liable for a penalty of \$20 a day for each day you do not make these documents available for public inspection (up to a maximum of \$10,000 in the case of an annual return).

Because this letter could help resolve any questions about your organization's exempt status and foundation status, you should keep it with the organization's permanent records.

If you have any questions, please call us at the telephone number shown in the heading of this letter. This letter affirms your organization's exempt status.

Sincerely,

A handwritten signature in black ink, appearing to read "John E. Ricketts". The signature is fluid and cursive, with the first name "John" being the most prominent.

John E. Ricketts, Director, TE/GE

Customer Account Services

M. Equal Employment Opportunity

All BRM policies and practices are intended to assure equal opportunity for all qualified individuals and comply with federal, state, and local laws applicable to Christian not-for-profit organizations, subject to and including the Statement of Faith and Ministry Principles requirements. Employment decisions at BRM are based on merit and the ministry's needs, and not on race, color, sex, gender, age, disability status, national origin, veteran status, or any other factor protected under federal, state, or local law applicable to religious organizations. As a Christian "religious organization" under Title VII of the Civil Rights Act of 1964, BRM requires all employees to confirm their agreement with BRM's Mission Statement, Statement of Faith and Ministry Principles. All employees are also expected to comply with all applicable federal, state or local laws and regulations with respect to non-discrimination.

If an employee experiences, or learns of, any behavior that could be interpreted as unlawful harassment or discrimination, the employee should report it immediately to the employee's supervisor or the Human Resources Department for investigation. As set forth in the Anti-Retaliation section below, employees will be fully protected by BRM against any unlawful retaliation by a supervisor or coworker that might result from their report, which report will be kept as confidential as reasonably possible.

CARVER FOUNDATION

Norwalk Community Development Block Grant (CDBG-CV) Program Application Form/Request for Proposals (RFP)

For CDBG-CV CARES Act Funding

COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG-CV) PROGRAM APPLICATION FORM FOR CDBG-CV FUNDS

Applicant Agency/Organization Name: [Carver Foundation of Norwalk](#)

President/CEO/Executive Director's Contact Information: [Novelette Peterkin, CEO \(contact information below\)](#)

Type of Organization: [501c3 nonprofit organization](#)

Applicant Mailing Address: [7 Academy Street, Norwalk CT 06850](#)

Project Location Address: [Carver Community Center at 7 Academy Street, Norwalk, CT 06850;](#)
[Columbus Magnet School, 46 Concord St, Norwalk, CT 06854](#)

Age of Building (Public Facility/Housing Applications Only): [N/A](#)

Contact Person (designated contact person for the project/proposal):

Name: [Novelette Peterkin,](#)

Title: [Chief Executive Officer](#)

Phone #: [203-856-7712](#)

Email Address: novelette@carvercenterct.org

Proposed Project/Activity Name: [Carver Summer Enrichment Program](#)

Brief Description of the Proposed Project/Activity:

[To implement Carver's traditional Summer Enrichment Program \(day camp\) this summer in accordance with COVID-19 guidelines established by the CT Office of Early Childhood, Carver needs CDBG funding to keep our children \(and consequently their parents\) and our staff safe. We seek funding for PPE, durable plastic outdoor tables and chairs, and cleaning equipment and supplies. Because of new social distancing guidelines, instead of serving 200 children at each of the two summer day camp sites, Carver will serve 19 groups of 10 children each, each group assigned to their own classrooms \(11 rooms at Columbus Magnet School and 8 classrooms at the Carver Community Center\), no two groups to ever meet, even in passing in the hallways or in common areas such as the gymnasiums and outdoor playgrounds. Carver requests funding for PPE and other equipment and supplies for 190 children and staff \(minimum ratio of 1 staffer per 10 kids; could be 1 staffer per 5 kids during certain portions of the day programs\). The two Summer Enrichment Programs will operate over 30 days/6weeks/5 days per week. This funding is vital, as Carver is one of the few in the state and possibly the only](#)

Norwalk Community Development Block Grant (CDBG-CV) Program Application Form/Request for Proposals (RFP)

For CDBG-CV CARES Act Funding

CARVER PROPOSAL NARRATIVE ATTACHMENT

CARVER FOUNDATION OF NORWALK

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/ activity.
2. Identify the “core” programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated. Example: A homeless shelter’s “core” program might be its basic overnight shelter service, while it’s counseling or job placement services are “support” programs.

PRE-COVID-19 PANDEMIC

Carver serves more than 2,500 students after school and during the summer, operating in 17 K-12 Norwalk Public Schools, Side By Side Charter School, the Carver Community Center, and the Classical Studies Magnet Academy in Bridgeport. Carver’s vision, strategies for impact, resource development, organizational effectiveness and program activities are consistently linked to carefully evaluated student outcomes.

Carver’s after school Youth Development Program operates in eight Norwalk locations: the Carver Community Center, Norwalk Public Schools four middle and two high schools, and Side By Side Charter School. Carver provides the 5th Grade Scholars Transition Program in Brookside, Kendall, Naramake and Tracey Elementary Schools. Carver provides the After the Bell after school program for elementary age students in 10 NPS elementary schools and the Carver Community Center.

Carver provides a Summer Enrichment Program for children grades K-5 at the Carver Community Center and at Columbus Magnet School. Carver offers the Freshman Summer Success Academies for graduated 8th-grade students transitioning into 9th grade at Norwalk and Brien McMahon High Schools. Carver provides a Summer Middle School Transition Program for 5th-grade students transitioning into Norwalk’s four middle schools.

Carver after school and summer programs deliver intensive project-based hands-on learning in many subjects, including literacy and the STEAM subjects. Carver’s staffing model permits program expansion by engaging certified teachers within each participating school. Many

partnering agencies provide in-depth, hands-on exposure to academic and enrichment disciplines and opportunities. Carver offers to the Norwalk community parent leadership and education programs, food drives, community holiday events and more.

Since 2005, 100% of Carver seniors have graduated on time; typically at least 95% of Carver seniors enroll in college immediately following graduation (100% in 2019). 85% of Carver college students graduate from four-year colleges and universities within six years, while just 11 percent of students nationally from the lowest-income quartile earn bachelor's degrees within six years. Carver infuses high expectations, academic rigor, and healthy relationships into its youth development approach to instruction and support. Carver provides support that recognizes individual strengths, needs, and learning styles.

Carver receives the highest ratings from both Charity Navigator and Guidestar each year, far exceeding industry standards for financial health, transparency and accountability to donors.

COVID-19 PROGRAMMING

This is a defining moment for the Carver community as we revisit the principles and values that have guided us since 1938. Since the beginning of this crisis, Carver is adapting in many ways, including:

- The Carver Community Center serves as a primary distribution point for free daily meals provided by Norwalk Public Schools.
- Our students' daytime teachers and other Carver staff are virtually sustaining Carver's after school academic, enrichment and wellness programming for our students in all our K-12 Norwalk schools, Side By Side Charter School, the Carver Community Center, and the Classical Studies Magnet Academy in Bridgeport.
- We have been providing financial and practical assistance to distressed Carver families. Carver is also participating in NeighborShare, a new giving platform created and maintained by highly skilled volunteers who are deeply moved by the surge of economic need within our community.
- While Carver was forced to cancel its annual Spring Break College Tour for the first time in 50 years, a volunteer created an online database linking our students to the nation's colleges and universities that offer 360-video tours of their campuses. Hearst Communications featured this Every Day Hero story in all their Connecticut publications.

Carver Virtual After-School Programming

Daytime certified teachers and paraprofessionals are the ones who implement Carver after-school programs, so they are also attuned to the social and emotional needs of their students.

Carver's virtual after-school academic, enrichment and wellness programming is reaching our Norwalk public school students in nine elementary, four middle and two high schools, in Side By Side Charter School, the Carver Community Center, and in the Classical Studies Magnet Academy in Bridgeport.

Utilizing the Zoom or Google teleconferencing platforms, our teachers might begin their daily sessions (3:30PM to 6:00PM) by asking how each of their students is doing, inviting a "show and tell" moment, or just taking the time to say hello to each other.

Students receive support with their schoolwork and homework. Having access to many hundreds of online learning tools, our teachers provide their students with the support and enrichment opportunities they need. Project-based activities also provide family engagement opportunities.

Our elementary students can use GoNoodle, for example, to stretch, dance, and laugh at home for a much needed break. The teacher might then take his or her students on virtual field trips to famous landmarks, museums, and even into outer space. The enrichment block might include stories, Kahoot! Trivia quiz games, and so much else.

Our middle school students begin each session with a social-emotional check-in, followed by a physical wellness activity, and then virtual field trips and other enrichment activities such as art and science projects. Students receive help with their daily school day homework.

In addition to some of the programming elements described above, our high school students enjoy Rap Tuesday, a co-ed group led by a social worker and teacher when students discuss relevant topics that can be challenging or sensitive. There is Wild-Out Wednesday, a discussion and critique of current cultural events and issues. Throw Back Thursday invites nostalgic and often a humorous examination of music, pop culture, and technology that no longer hold any appeal.

It is online learning's big moment. But along with significant academic needs and modest successes, children are also experiencing stress, anxiety, and a sense of loss. A missed sports season, a canceled prom and graduation ceremony may seem small compared to the national losses that we're seeing around us. But it's important to realize that to children these losses loom very large in their lives. So we are doing everything we can to help our students process this and to be there for them.

PART 2. PROPOSED PROJECT/ACTIVITY

GENERAL DESCRIPTION

1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed

service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of **preventing, preparing for and/or responding** to the **COVID-19 outbreak**. Omission of requested information may be a cause to reject application.

User/client population (# served, elderly, children, etc.)

Registration is currently underway and the 190 seats are almost filled for our summer 2020 programming. Majority of Carver parents are single and they typically work more than one job, thus making summer programming for their children all the more vital. By ensuring that these youth have access to academic interventions, enriching activities, safe places, and caring adults, the community benefits as well as the students and families

Carver seeks to support students who are economically challenged (e.g., qualify for free or reduced lunch). Overall, among all Carver programs, 69.05% of Carver students are Free/Reduced Lunch status. However, for students served at the Carver Community Center, 85% qualify for Free/Reduced Lunch.

Client/user fees and/or rents (if any) for proposed service

The Carver summer 2020 camp is one of the most affordable, high quality programs available to our families. Parents pay \$260 for the six-week summer program that operates each week day from 8:30AM to 3:30PM; and parents pay an additional \$40 for students who stay at our camp until 5:30PM each week day.

No Rent: Carver will operate its summer programs at the Carver Community Center and at Columbus Magnet School (in-kind contribution from Norwalk Public Schools). However, given new COVID-19 hygiene guidelines, Carver will need to greatly increase its summer program budget; for example, the cost of janitorial services will increase because of the constant sanitizing and general cleaning of the facilities and supplies (such as tables and chairs) that will be required.

Membership requirements (if any) -- None

Other restrictions (if any, for your proposed project/activity)

General

Carver will continue to review the memos issued by the OEC that provide important guidance for youth camps including waivers of licensing requirements during the declared state of emergency, additional requirements imposed through Executive Orders that must be met during this emergency and resources to support programs during and following the emergency. The COVID-19 emergency is a changing situation, and that as CDC and/or State of CT guidance changes the OEC will update guidance that Carver will comply with.

Upon arrival campers as well as staff are to be screened for illness. Anyone with a temperature above 100 degrees is not permitted into the program. Each group of 10 students will be assigned to a specific classroom for the duration of the summer camp experience. Multiple groups can be outside at the same time as long as there is at least 6-feet of space between groups. Gym equipment, laptops, chrome books, and any other items that will be used by different people must be sanitized between use with Clorox wipes or a bleach and water solution. Campers will go to the bathroom by groups. Once the group has finished using the bathroom, the bathroom has to be sanitized before the next group uses it. Arrival time and Departure time has to be structured to accommodate social distancing. Parents will drop-off and pick-up their children outside. Classroom space as well as common areas must be sanitized throughout the day. Tables as well as doorknobs are to be cleaned with sanitizing products and the floors must be mopped three times per day. Campers are not required to wear face coverings at this time (though this state rule might change). Students will be working with the same staff throughout the entire summer camp program with no mixing of staff. The state has not yet provided guidance whether Carver can conduct field trips.

Camper Groups of 10

Carver Community Center Camp: 5-6 boys and girls – three coed groups of 10 (30 campers); 7-9 girls - 10 campers; 7-9 boys- 20 campers; 10-13 boys - 10 campers; 10-13 girls- 10 campers: Total - 80 campers.

Columbus Magnet School Camp: 5-6 boys and girls - 30 campers coed; 7-9 girls - 30 campers; 7-9 boys - 30 campers; 10-13 boys -10 campers; 10-13 girls - 10 campers: Total - 110 campers.

Health Forms

Each camper is required to have a valid physical with 24 months in order to participate in the program.

Planning for Other Restrictions & Guidelines

Carver will implement procedures to check for signs and symptoms in children and employees daily upon arrival. Where feasible, Carver will implement enhanced screening for children and employees who have recently been present in areas of high transmission, including temperature checks and symptom monitoring. Carver will encourage anyone who is sick to stay home. Carver will have contingency plans for if children or employees get sick. Carver will regularly communicate and monitor developments with local authorities, employees, and families regarding cases, exposures, and updates to policies and procedures. Carver will monitor child and employee absences and have a pool of trained substitutes, and flexible leave policies and practices. Carver will be ready to consult with the local health authorities if there are cases in the facility or an increase in cases in the local area.

Carver will at all times promote healthy hygiene practices such as hand washing and employees wearing a face covering. Carver will intensify cleaning, disinfection, and ventilation of facilities and any use of Carver transport vehicles. Parents drop off and pick up their children each day; Carver may need to institute staggered scheduling. Carver will encourage social distancing through increased spacing and small groups of a maximum of 10 children per group. Where feasible, Carver will adjust activities and procedures to limit sharing of items such as toys, belongings, supplies, and equipment. Carver will train all employees on enhanced health and safety protocols.

Training

Carver will ensure that all staff (counselors, kitchen/dining staff, etc.) have been trained to correctly don, doff, maintain, and dispose of PPE and face masks relevant to their respective level of protection. We will train staff on hand hygiene after removing gloves. We will provide both initial and refresher training on the different types of PPE that are needed for specific tasks and the reasons they are necessary; this will lead to more effective use and conservation of PPE.

Communications

Carver will be in regular contact with campers, parents/legal guardians, staff, and vendors. Many of these communications may be time sensitive and may contain confidential health information. In addition, Carver will seek guidance from and work with local health organizations (e.g., town and state Boards of Health) to develop standard communication.

Carver will prepare and distribute documentation containing rules and guidelines for campers to follow during their time at camp. We will be familiar with answers to frequently asked questions and common misconceptions related to the COVID-19 pandemic. We will identify which campers are at higher risk for complications related to COVID-19, and encourage and support them in taking additional precautionary measures including consultation with their healthcare provider.

Carver will make sure campers know how the virus can spread and how to prevent it from spreading. We will talk about what the camp is doing to protect campers from getting sick. We will tell campers that even though the COVID-19 pandemic is serious, hospitalizations and death are rare, especially in young healthy individuals. We will let campers know that teens and children seem to get a milder illness when compared to adults. And we will speak in age-appropriate language.

Carver will inform vendors and parents that access to the camp's facilities will be restricted. We will request that vendors reduce the frequency of deliveries while simultaneously meeting the demand of ordered goods. We will request that vendors use the same delivery driver for all deliveries for the duration of camp. We will notify vendors to suspend deliveries and/or adjust maintenance schedules for services in the event camp is suspended. We will inform vendors

that, during deliveries, they are required to take precautions: Maintain physical distancing between themselves and campers and staff; wear appropriate PPE (a face mask and gloves); do not make deliveries if they have symptoms associated with COVID-19.

How the activity directly meets the objective of preventing, preparing for and/or responding to the COVID-19 outbreak.

This proposal seeks funding to RESPOND to the pandemic. COVID-19 school closures are causing dramatic losses in learning and to give essential worker the opportunity for a high quality summer program. In some grades, recent research indicates that students may end up an entire year behind where they would have been academically, absent COVID-19. NWEA's Collaborative for Student Growth Research Center suggests that when students head back to school next fall, overall they are likely at best to retain about 70 percent of this year's gains in reading, compared with a typical school year, and less than 50 percent in math. Losses are likely to be more pronounced in the early grades (those attending Carver summer camps), when students normally acquire many basic skills, and especially Carver kids who are already facing steep inequities.



organization in Norwalk conducting an academic-oriented summer experience during this crisis to work toward arresting both the COVID-19 and the traditional summer “slide” in learning. This summer program will build on the gains achieved in Carver’s virtual after school programs that have been operating in 17 of Norwalk’s 19 public K-12 schools, the Carver Community Center, and Side By Side Charter School.

I certify that all information provided is correct to the best of my knowledge.

Novelette Peterkin, CEO



May 20, 2020

Name, Title & Signature

Date

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

Norwalk Redevelopment Agency CDBG-CV Application

PART 1. GENERAL INFORMATION

ORGANIZATION

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

Synopsis (see attachment for more details):

Carver is a longtime recipient of CDBG funding, and annual (federal, administered by the state) 21st Century Community Learning Center grants, though no other government funding will fund this proposal beyond the CDBG funds we are requesting.

Carver’s mission is to close opportunity gaps for all children and to ensure they graduate high school on time and ready for college and careers. To achieve our mission, Carver combines a set of key partnerships between school districts and their highly skilled educators, community organizations and parents to deliver after-school, summer and community programs that consistently demonstrate striking results. Carver is Norwalk’s largest provider of after-school and summer programs. Carver leads a highly collaborative citywide system that leverages and coordinates efforts and financial and in-kind resources, including full access to almost every school in Norwalk.

2. Identify the “core” programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated. Example: A homeless shelter’s “core” program might be its basic overnight shelter service, while it’s counseling or job placement services are “support” programs.

Synopsis (see attachment for more details):

Carver serves approximately 2,500 students before school, after school and during the summer, operating in 17 K-12 Norwalk Public Schools, Side By Side Charter School, the Carver Community Center, and the Classical Studies Magnet Academy in Bridgeport. Carver's vision, strategies for impact, resource development, organizational effectiveness and program activities are consistently linked to carefully evaluated student outcomes.

3. Check "YES" or "NO" to the following questions.	YES	NO
A. Does your organization have a Board of Directors?	YES	
B. Is your organization exempt under IRS Code 501(c) (3)? (If yes, provide documentation*)	YES	
C. Are your organization's services available to Norwalk residents?	YES	
D. Does your organization have an EEO Policy? (Include a copy*)	YES	
E. If a housing provider, does your organization have a written Fair Housing Policy including accessibility (504) requirements?	N/A	
F. Does your organization have a written Procurement Policy? (Include a copy*)	YES	
G. Is your organization considered a Faith-Based Organization?		NO
H. Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal* Attached		
I. Include a copy of your written Policy on Record Keeping* Attached		
J. Include a copy of your most current audited Financial Statements Attached		

****Please note that requested documentation (from above) must be submitted to the Norwalk Redevelopment Office only if you are a new applicant or if there have been any changes to a previously filed documentation.***

PART 2. PROPOSED PROJECT/ACTIVITY

GENERAL DESCRIPTION

1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of **preventing, preparing** for and/or **responding** to the **COVID-19 outbreak**. Omission of requested information may be a cause to reject application.

Synopsis (see attachment for more details):

RESPONDING TO COVID-19 PROPOSAL: Carver's traditional Summer Enrichment Program (day camp) this summer will be conducted in accordance with COVID-19 strict guidelines established by the CT Office of Early Childhood. 190 Carver campers will be required to have temperature checks before entering each day. Group size is limited to no more than 10 children. Camp employees must wear facemasks. To implement hand and respiratory hygiene, Carver will develop protocols for intensified cleaning and disinfection, and to implement social distancing strategies. This proposal mitigates the severe learning loss created by COVID-19.

2. Check the box that best describes the proposed project/activity.

☒ **Public service activity**

☐ Rehabilitation activity

☐ New construction activity

☐ Real property acquisition activity (i.e. land/building).

☐ Other (explain) _____

3. Check the box that applies to the proposed project/activity.

☐ New "core" program

☐ Expansion of existing "core" program

☒ Support of existing "core" program (with no expansion)

☐ New "support" program

☐ Expansion of existing "support" program

☐ Existing "support" program (with no expansion)

☐ Other (explain) _____

4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose?

☐ YES ☒ NO

5. How many persons or families (unduplicated #s) will the proposed project/activity serve? Indicate one as follows: **#190 children Week (6 weeks during summer 2020)**

6. How many persons or families (unduplicated #s) in Question 7, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)? **# 161 Week**

7. How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG- CV income guidelines on Page 2 of this application)? **#189 Week**

8. What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? Check more than one box, if necessary). Note that the organization must be able to prove the income eligibility of beneficiaries. **X Name, X Address, X Income, X Other – provided by the families via the Carver application Health Form**

9. Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation with the application evidencing the below qualification. Examples: Client Intake forms (no names), proposed rents, etc.

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

- ☒ **Area Benefit.** Activity meets needs of LMI persons residing in an area where at least 51% of the residents are LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood. **Census tract 0432 (LMI)**
Documentation Attached: ☐ **Carver does not keep specific client Area Benefit records; Carver campers are eligible for free or reduced lunch; we receive eligibility information from the child's school.**
- ☐ **Limited Client Benefit.** Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the subcategories, check the applicable number.
Documentation Attached: ☐
 1. (1) Project/activity maintains client records on income and family size records documenting that such persons qualify as LMI.
 2. (2) Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons.
 3. (3) Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons.
 4. (4) Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.)

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? **X YES** ____ no
If yes, please explain: **Payroll Protection Program**

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? **X YES** ____no. If yes, please explain below and include any letter(s) of commitment for ongoing funds or approved funds from other source(s) to assist with the proposed project that you are requesting. **N/A: the PPP funding awarded to Carver will be expensed before the beginning of Carver summer 2020 programming.**

2. What is the total cost of the proposed project? **\$8,047.04.** Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor and/or architect/engineer estimate.

3. Describe your organization's fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

Carver consistently receives the highest ratings from Guidestar and Charity Navigator. Carver makes its annual reports and annual audited financial statements available on the Carver website. Carver adheres to all generally accepted accounting principles (GAAP) accounting and financial standards. Carver incorporates its practices with the Board of Directors and is reflected in the annual audit that the agency conducts using an independent audit firm. Executive Management adheres to the following financial and accounting controls, including but not limited to the following: Board budget policies (guidelines for changes to the budget and actual- vs. -budget reports and cash-flow projections); strategic planning (linking operational plans with its strategy for financial growth); bridge the operating budget with financial statements (manage the cash-basis budget with accrual based accounting); Budget an annual surplus to guard against shortfalls; project cash flow (cash, accounts receivable, short-term investments, etc. and timing of budgeted expenditures), and manage restricted revenue. The Board receives monthly reports on actual and projected revenue and expenses against budget compared to the previous year.

4. Attach an explanation on how the proposed project will affect your administrative budget (example: additional personnel, maintenance, office space, etc.) Include an explanation on long- term plans for funding/sustaining the proposed project.

No attachment necessary. This proposed project would not have a long-term impact on Carver's annual administrative budget, as it is a 6-week summer 2020 project conducted at an otherwise empty Carver Community Center and Columbus Magnet School. However, given the nature of the COVID-19 pandemic and the likelihood that a vaccine is some 12 to 18 months away, the steps we take to re-open the Carver Community Center and as we prepare to provide after-school programs in many school sites, many of these new summer public health expenditures and other new protocols will need to be sustained. The primary long-term fundraising strategy is to seek new government and private COVID-19 related grants, and major individual philanthropy. Carver Board of Directors maintains very active Development and Marketing Committees populated mostly by non-board volunteers who are skilled in their

respective related fields. Carver's wide and deep provider, donor and volunteer community infuse Carver programming with financial and in-kind support on an ongoing basis.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish). **July 6, 2020 through August 14, 2020.** Carver is still designing this year's special summer program scheduling. See the application NARRATIVE attached for a description of the schedule.

PART 4. ORGANIZATIONAL EFFICIENCY

1. How many staff members will be directly associated with the proposed project?

	Professional	Support	Volunteer
Full-Time Staff	6		
Part-Time Staff	11	39	

Include a list of those involved in completing the project. The list must include: each person's name and a brief summary of job duties in relation to the proposed project.

Brian Alert, Chief Program Officer: Oversees most aspects of staffing, programming, and camper relations for our summer 2020 camp program. Duties include staff hiring and training, site and resource organization and program management. Responsibilities include directing staff trainings, weekly staff planning meetings, managing camper information and groupings, maintaining fiscal records and working within a budget, oversee the follow-through of any correspondence necessary related to camp functions and activities. i.e. summer staff contracts, permits, etc., maintaining camp resources and supplies, and interacting with parents, campers, staff and administration as needed. The CPO is accountable for the overall management of the summer 2020 program and is specifically responsible for personnel management, program development and health and safety management in accordance with city and state policies.

Waid Ramsubhag, Carver Community Center Manager of Education and Camp Director at the Carver Community Center & **Tremain Gilmore**, Camp Director at Columbus Magnet School: For each camp, these directors will develop and coordinate summer 2020 camp programs and activities for a safe, engaging, high quality summer program. They provide organizational and programmatic support as necessary; oversee training of all summer camp staff; maintain fiscal records for their summer camp program; assure that Health Department Guidelines are met at all times; oversee designation of camper placement within groups; and address crisis management, discipline and troubleshooting issues related to campers and/or staff. The Camp Directors will also assist in determining supply and equipment needs and in ordering/purchasing within their respective camp budgets. The Camp Directors will support instructors in organizing, implementing, decision-making and trouble-shooting. The Camp Directors will maintain a positive team atmosphere that includes campers, families, camp based and office based staff, and volunteers. They will schedule, supervise and evaluate program staff, including

providing support and disciplinary measures when necessary. And they will assist in the evaluation of their respective camps, as well as the camping experience for youth participants.

2. If your organization has an elected or appointed board, complete the questions below.

NAME OF BOARD/COMMITTEE: **Carver Board of Directors**

List the names of the individuals on the board and the position they may hold on the board.

OFFICERS: **Philip Butterfield**, *President, HSBC Bank of Bermuda*, Retired, Wilton, CT (Finance Committee) (First year); **Sandra Faioes**, *Vice President, Director of School Improvement*, Norwalk Public Schools Administration, Stamford, CT (Chair, Program Committee) (1st Term; 3 years of service); **Mark Ortiz**, *Treasurer, Chief Financial Officer, GE Capital Energy Financial Services, Norwalk, CT* (Chair, Finance Committee) (1st Term; 1st year of service); **Valerie Watson**, *Secretary, Patriot National Bank, Norwalk, Connecticut* (Chair, Governance and HR Committee) (renewed yearly; 13 years of service); **Jonathan Whitcomb, Esq.** *Legal Counsel, Partner, Diserio Martin O'Connor & Castiglioni LLP*, New Canaan, Connecticut (renewed yearly; 6 years of service). **BOARD MEMBERS:** **Kimberly Gaddy**, *Director, Reporting & Analytics, Global Strategy & Operations at Gartner, Inc.*, Stamford, CT (Development Committee) (1st term; 3 years of service); **Robert Pennington**, *Principal, Rowayton Elementary School*, Rowayton, CT (Program Committee)(1st Term; 1 year of service); **Danielle Robinson, PhD.** *Diageo North America, Diageo, Corporate Relations, Director Alcohol Policy and Reputation Management*, Norwalk, CT (Development Committee) (2nd Term; 5 years of service); **Kenneth Shuler**, *Manager & AFP, TD Bank, Bridgeport, CT* (Development Committee)(1st Term; 1st year of service); **Oscar Villalonga**, *President & CEO, Coface North America*, Fairfield, CT (Finance Committee)(1st Term; three years of service); **Friedrich Wilms**, *Senior Vice President, Webster Bank, Fairfield, CT* (Program Committee)(1st Term; 3 years of service); **Wendy Winnick Baskin**, *Retired Executive Director, Atria Darien*, Rowayton, CT (Co-Chair, Major Gifts Committee) (2nd Term; 5 years of service); **Chief Executive Officer, Novelette Peterkin. President Emeritus: Charles Burns**, *Clairol, Retired*, New Canaan, Connecticut. **Immediate Past President: Diana Napier**, *President, Program Manager, WorkPlace Inc.*, Norwalk, Connecticut (ex officio) (Governance and HR Committee). **Advisor: Richard Whitcomb**, *Retired Headmaster, St. Luke's School*, New Canaan, Connecticut (ex officio)

Number of voting board members as of January 1, 2020: **15** Vacancies? **0**

a. How many board members reside within the City of Norwalk? **7**

b. How are the board members chosen? **Board Personnel Committee conducts a nominating process for the full board to vote.**

c. Does your organization provide any board training and/or orientation? **X YES** ____no. If so, how often is training provided? **When a new board member is recruited and/or shortly after joining the board.**

d. How long is a term? **3 years**. How many consecutive terms may be served? **3 terms**

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. Has the organization attempted to coordinate the project with other agencies to avoid duplication of services? **X YES**. If yes, please explain.

Carver's summer camp does not represent a duplication of services. In fact, each year we have a wait list of students. This year we reduced the target number for students at each of the two camp sites due to specific directives put forth by the CT Office of Early Childhood (the state licensing agency). Our certified teachers are each Norwalk Public School teachers. We maintain a written data sharing agreement with the school systems; we measure student progress. Some partnering agencies include Maritime Aquarium; Stepping Stones Museum; Mad Science; New England Dance Academy; Candlewood Fencing; Girl Scouts; and many others; though we are still making arrangements with our program partners that are prepared for adapting to the COVID-19 requirements.

2. Identify other agencies in Norwalk (including non-profit and government) that provide services similar to your proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies?

Norwalk Housing Authority, Horizons, Odyssey, Grassroots Tennis and Stepping Stones all offer summer programs, but none offer summer programming that involves more students in a variety of ways and with as much academic rigor, enrichment, and evaluation measures as Carver.

3. Identify other agencies in Norwalk that provide services directed toward the same target beneficiaries of your proposed project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?

It is not clear at this point if there will be any other Norwalk summer day camps offered this year, regardless of size or depth of programming.

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants:

ORGANIZATION NAME: **Carver Foundation of Norwalk**

Organization is:

1. Corporation ()
2. **Non-Profit 501(c)(3) (X)**

- 3. Partnership ()
- 4. Sole Owner ()
- 5. Association ()
- 6. Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the above-mentioned organization or project proposed. **N/A**

Name, Job Title and Norwalk Redevelopment Agency Department

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a potential "financial interest" in the organization or project. **N/A**

Name/Title

NOTE: If the applicant has provided names in question 1 or 2, please provide details regarding any known potential conflicts of interest in an attached narrative.



Carver Foundation of Norwalk

Policy on Personal Property Maintenance, Protection and Disposal

1.0 Purpose

This Manual Section sets out the requirements for receipt, use, maintenance, control and disposal of the Carver Foundation of Norwalk (Carver) personal property.

2.0 Policy

It is the policy of the Carver Foundation of Norwalk to actively manage and control its personal property by establishing standards, delegating responsibility and instituting accountability systems in order to maximize the value of the personal property.

Implementing procedures for this Personal Property Management policy are contained in the Carver Handbook. Changes to the Carver Handbook is subject to approval by the Carver HR & Compliance committee. Reporting of capital assets for financial accounting purposes is an integral part of property management.

3.0 Definitions

- (a) An asset is an item of personal property, with monetary value, regardless of whether the asset was purchased by, acquired by, or donated to, the Carver.
- (b) An IT asset is equipment, or an interconnected system or subsystem of equipment, which is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by Carver.
- (c) Capitalized asset refers to a long-lived asset that:
 - (1) has an estimated useful life of two or more years;
 - (2) meets or exceeds Carver's capitalization threshold;
 - (3) meets other established capitalization requirements;
 - (4) is not intended for sale in the ordinary course of business;
 - (5) is intended to be used by Carver; and
 - (6) has the acquisition cost charged, over the asset's useful life, to expense through depreciation (or amortization).
- (d) Personal property is tangible, Carver-owned, moveable property located in the U.S.

5.0 Property Controls

Property controls for Carver personal property must be utilized to ensure that assets are not lost, stolen, misused, or otherwise subjected to waste, fraud or abuse. The necessary property controls, which include operating methods and actions, to be used by employees vary by the type of personal property and are determined by the potential risk of financial or other damage to Carver if the asset is lost, stolen, misused or otherwise subjected to waste, fraud or abuse.

6.0 Property Management Software System and Records

The Administrative Manager, with the support of an Information Technology (IT) Specialist, is responsible for overseeing the maintenance and use of the Property Management Software System and Records (PMSS).

7.0 Acquisition and Receiving

It is Carver's policy to ensure that adequate controls are in place to ensure that all accountable personal property that is acquired is entered into and tracked in the PMSS. These controls and procedures are contained in the Handbooks.

8.0 Asset Life

Carver assets must be fully utilized, maintained in good condition for as long as possible, and subject to proper property controls during their life spans. The COO is responsible for establishing proper procedures, staff training, and methods of property control to ensure that Carver personal property is correctly maintained and utilized during their life spans.

9.0 Lost, Stolen, or Damaged Property

In cases of lost, stolen, or damaged property, the Office Manager must prepare a Personal Property Loss Report. The reports are sent to the Chief Program Officer, who will forward reports to other offices if necessary.

10.0 Disposal of Excess Property

It is the responsibility of the Maintenance staff to ensure that property, which is no longer needed at Carver or no longer capable of fulfilling its function, is disposed of in a timely manner. The Maintenance staff is required to submit a Property Disposal Request, for all disposals, to the COO for approval prior to disposal. The practice of storing and accounting for property in excess of requirements is uneconomical and an unnecessary administrative burden.

11.0 Appropriate Methods of Disposal

All personal property disposals must be conducted in the best interests of Carver.

11.1 Disposal of Obsolete Property or Property with no Value

Obsolete property, property with no commercial value, or property for which the estimated cost of collection and disposal exceeds the estimated proceeds of sale may either be used for parts to fix like equipment, abandoned, destroyed, recycled, or placed in the local dump. All such actions must be fully documented and completed in a manner consistent with applicable statutes, regulations, and local laws.

11.2 Effective Date

The effective date is the date of issuance.

Carver Foundation of Norwalk

Record-Keeping Policy - Record Maintenance, Retention and Destruction

Purpose

The Carver Foundation of Norwalk (Carver) human resources (HR) department retains and destroys personnel records in accordance with Carver's corporate policies on business records retention, as well as federal and state laws governing record retention and disposal. Below is an outline of the HR department's operating procedures for personnel record retention and destruction of documents. If Carver's retention procedure is not of sufficient duration for any state in which Carver may do business, this procedure will be superseded by state requirements.

The HR department maintains both employee record information and government compliance reports. Both are subject to the following retention requirements and destruction procedures.

Maintenance of Employee Records

The following employee information records are maintained in segregated personnel files:

- 1) Employment application and background check information.
- 2) I-9 forms.
- 3) Benefits plan and employee medical records.
- 4) Health and safety records.
- 5) General employee personnel records.

Destruction of Employee and Applicant Records

All paper personnel records and confidential employee data maintained by the HR department will be destroyed by shredding after retention dates have passed; this procedure pertains to all personnel records, not just those governed by the Fair and Accurate Credit Transactions Act (FACTA). Employment application materials submitted by applicants who were never employed are also to be shredded.

When a confidential record must be discarded or destroyed, it shall be marked as confidential and given to the Administrative Services Department to be destroyed in accordance with the record destruction policies. Alternatively, hardcopy confidential records may be shredded using a shredder on the Carvers premises. In the case of remote employees, employees are discouraged from printing out or creating hard copies of confidential records where possible. If hard copies must be printed, created or kept, they should be stored in a locked cabinet, drawer or other secure location until they are no longer needed, or until the maximum retention period has ended. Remote employees must then destroy all confidential files by shredding them in a shredder on the Carvers premises, or otherwise rendering the documents unusable or unreadable.

Personnel records include electronic as well as paper records. The HR department will work periodically but no less than twice annually to review and ensure that the HR department's electronic records relating to employee information and compliance reports are properly purged.

Litigation Hold

When Carver is involved in or anticipates that it may be involved in litigation, the General Counsel's office will issue a litigation hold. This means that all documents relating to the litigation matter must be kept in order to preserve any potential evidence. If we fail to do so, the court may sanction Carver. A court has broad authority to impose these sanctions, which may include anything from unfavorable procedural rulings during a trial to payment of monetary damages.

In the event that the Carver General Counsel announces a litigation hold on any or all Carver records as a result of pending or anticipated litigation, all records covered by such litigation hold **MUST NOT** be discarded, deleted, or destroyed. Further, the Carver IT department will suspend the automatic deletion of emails for all individuals covered by the litigation hold. Any questions about the litigation should be directed to the General Counsel.

THE CARVER FOUNDATION OF NORWALK, INC.
FINANCIAL REPORT
FOR THE YEAR ENDED JUNE 30, 2019

**THE CARVER FOUNDATION OF NORWALK, INC.
FOR THE YEAR ENDED JUNE 30, 2019**

TABLE OF CONTENTS

	<u>Page</u>
INDEPENDENT AUDITOR'S REPORT	3
 <u>FINANCIAL STATEMENTS:</u>	
 Statement of Financial Position	 5
 Statement of Activities	 6
 Statement of Functional Expenses	 7
 Statement of Cash Flows	 8
 Notes to the Financial Statements	 9

THE CARVER FOUNDATION OF NORWALK, INC.

INDEPENDENT AUDITOR'S REPORT

INDEPENDENT AUDITOR'S REPORT

To the Board of Directors
The Carver Foundation of Norwalk, Inc.

We have audited the accompanying financial statements of The Carver Foundation of Norwalk, Inc., (a non-profit organization), which comprise the statement of financial position as of June 30, 2019, and the related statements of activities, functional expenses, and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

INDEPENDENT AUDITOR'S REPORT

Continued...

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of The Carver Foundation of Norwalk, Inc., as of June 30, 2019, and the changes in its net assets and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

A handwritten signature in blue ink that reads "Hope & Hernandez P.C." with a stylized flourish at the end.

Hope & Hernandez, P.C.
Bridgeport, Connecticut
October 4, 2019

THE CARVER FOUNDATION OF NORWALK, INC.

FINANCIAL STATEMENTS

THE CARVER FOUNDATION OF NORWALK, INC.
STATEMENT OF FINANCIAL POSITION
JUNE 30, 2019

	<u>Without Donor Restrictions</u>	<u>With Donor Restrictions</u>	<u>Total</u>
<u>ASSETS</u>			
Current Assets:			
Cash	\$ 421,329	\$ 65,959	\$ 487,288
Investments	13,473	0	13,473
Accounts Receivable, Net	1,466	0	1,466
Contributions and Grants Receivable, Net	159,873	0	159,873
Prepaid Insurance & Services	25,261	0	25,261
Total Current Assets	<u>621,402</u>	<u>65,959</u>	<u>687,361</u>
Non-Current Assets:			
Fixed Assets, net of accumulated depreciation of \$565,371	<u>1,022,792</u>	<u>1,807,177</u>	<u>2,829,969</u>
TOTAL ASSETS	\$ <u>1,644,194</u>	\$ <u>1,873,136</u>	\$ <u>3,517,330</u>
<u>LIABILITIES AND NET ASSETS</u>			
Current Liabilities:			
Accounts Payable	\$ 19,352	\$ 0	\$ 19,352
Accrued Payroll	44,795	0	44,795
Deferred Revenue	203,090	0	203,090
Line of Credit	0	0	0
Total Current Liabilities	<u>267,237</u>	<u>0</u>	<u>267,237</u>
Net Assets			
Without Donor Restrictions	1,376,957	0	1,376,957
With Donor Restrictions	<u>0</u>	<u>1,873,136</u>	<u>1,873,136</u>
Total Net Assets	<u>1,376,957</u>	<u>1,873,136</u>	<u>3,250,093</u>
TOTAL LIABILITIES AND NET ASSETS	\$ <u>1,644,194</u>	\$ <u>1,873,136</u>	\$ <u>3,517,330</u>

THE CARVER FOUNDATION OF NORWALK, INC.
STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED JUNE 30, 2019

	<u>Without Donor Restrictions</u>	<u>With Donor Restrictions</u>	<u>Total</u>
Revenues:			
Contributions	\$ 404,624	\$ 194,035	\$ 598,659
Fundraisers	609,081	0	609,081
Grants	2,493,342	0	2,493,342
Program Fees	318,761	0	318,761
Interest & Dividend Income	3,058	0	3,058
In-Kind Revenue	31,544	0	31,544
Other Revenues	20	0	20
Net Assets Released From Restrictions	<u>212,035</u>	<u>(212,035)</u>	<u>0</u>
 Total Revenues	 <u>4,072,465</u>	 <u>(18,000)</u>	 <u>4,054,465</u>
 Expenses:			
Program Services	4,113,600	48,896	4,162,496
Management and General	0	0	0
Fundraising/Development	<u>0</u>	<u>0</u>	<u>0</u>
 Total Expenses	 <u>4,113,600</u>	 <u>48,896</u>	 <u>4,162,496</u>
 Changes in Net Assets from Operations	 (41,135)	 (66,896)	 (108,031)
 Non-Operating Activities:			
Investment Return, Net	<u>1,158</u>	<u>0</u>	<u>1,158</u>
 Changes in Net Assets	 (39,977)	 (66,896)	 (106,873)
Net Assets, Beginning of Year	<u>1,416,934</u>	<u>1,940,032</u>	<u>3,356,966</u>
 Net Assets, End of Year	 <u>\$ 1,376,957</u>	 <u>\$ 1,873,136</u>	 <u>\$ 3,250,093</u>

See accompanying notes and accountant's report.

THE CARVER FOUNDATION OF NORWALK, INC.
STATEMENT OF FUNCTIONAL EXPENSES
FOR THE YEAR ENDED JUNE 30, 2019

	Program Services				Management and General	Fundraising/ Development	Totals
	After School Programs	Summer Programs	Community Programs	Total Program			
Salaries	\$ 1,582,501	\$ 456,816	\$ 3,943	\$ 2,043,260	\$ 99,318	\$ 228,495	\$ 2,372,073
Payroll Taxes	134,512	43,626	377	178,515	9,485	21,917	209,917
Employee Benefits	148,667	14,346	118	163,131	23,312	7,037	193,480
Professional Fees	23,625	1,832	-	25,457	5,865	21,224	52,546
Supplies & Program Services	275,273	102,122	26,292	403,687	1,442	89,874	495,003
Voice & Data	15,385	2,007	386	17,778	773	773	19,324
Postage & Shipping	563	141	56	760	113	1,940	2,813
Occupancy	86,165	12,640	2,107	100,912	4,213	210	105,335
Travel	169	-	-	169	206	531	906
Meetings, Conferences & Training	882	2,350	-	3,232	2,078	4,103	9,413
Printing/Copying & Advertising	-	-	-	-	151	15,740	15,891
Stipends/Scholarships	49,500	-	-	49,500	-	-	49,500
Transportation	129,289	137,837	-	267,126	-	-	267,126
Insurance	86,511	11,284	2,126	99,921	2,126	4,251	106,298
Service Fees & Interest Expense	40,345	5,262	2,506	48,113	1,002	1,002	50,117
Dues, Subscriptions & Licenses	-	1,332	249	1,581	3,909	8,190	13,680
Bad Debt Expense	41,182	-	-	41,182	-	-	41,182
Depreciation	100,593	13,120	5,054	118,767	5,054	2,527	126,348
In-Kind Expenses	1,070	5,869	-	6,939	-	24,605	31,544
TOTALS	\$ 2,716,232	\$ 810,584	\$ 43,214	\$ 3,570,030	\$ 159,047	\$ 433,419	\$ 4,162,496

THE CARVER FOUNDATION OF NORWALK, INC.
STATEMENT OF CASH FLOWS
FOR THE YEAR ENDED JUNE 30, 2019

	<u>Amount</u>
<u>Operating Activities:</u>	
Change in Net Assets	\$ (106,873)
Adjustments to reconcile change in net assets to net cash used by operating activities:	
Depreciation Expense	126,348
Unrealized Gain on Investments	(1,226)
<u>Change in Fund Assets and Liabilities:</u>	
Increase in Accounts Receivable	(266)
Increase in Contributions and Grants Receivable	(155,625)
Decrease in Prepaid Insurance and Services	10,770
Decrease in Accounts and Payroll Payable	(121,345)
Decrease in Deferred Revenue	(103,573)
Net Cash Used by Operating Activities	<u>(351,790)</u>
<u>Investing Activities:</u>	
Purchase of Fixed Assets	(161,934)
Net Investment Activity	<u>(539)</u>
Net Cash Used by Investing Activities	<u>(162,473)</u>
Decrease in Cash	(514,263)
Cash at Beginning of Year	<u>1,001,551</u>
Cash at End of Year	\$ <u><u>487,288</u></u>
<u>Supplementary Disclosures of Cash Flow Information:</u>	
Cash paid for:	
Interest	\$ <u><u>12,792</u></u>
Income Taxes	\$ <u><u>-</u></u>

THE CARVER FOUNDATION OF NORWALK, INC.

NOTES TO THE FINANCIAL STATEMENTS

**THE CARVER FOUNDATION OF NORWALK, INC.
NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED JUNE 30, 2019**

NOTE 1 - NATURE OF ACTIVITIES AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Nature of Activities

Founded in 1938 as a neighborhood community center, named the 2013 *"Nonprofit of the Year"* by the Norwalk Chamber of Commerce, Carver today is the largest provider of free after-school programs for elementary, middle and high school students in Norwalk, Connecticut. Carver's mission is to close opportunity gaps for all vulnerable children and ensure they graduate high school on time and college-ready. To achieve its mission, Carver combines a set of key partnerships between school districts and their highly skilled educators, community organizations and parents to deliver after school, summer and community programs that consistently demonstrate striking results. Carver's reach includes almost all Norwalk Public Schools, Carver Community Center in Norwalk and the Classical Studies Magnet Academy in Bridgeport. Carver's vision, strategies for impact, resource development, organizational effectiveness and program activities are consistently linked to carefully evaluated student outcomes. Carver's after school students grow faster academically than the national average in each grade. Since 2005, 100% of Carver seniors have graduated high school on time and almost all become first generation college students. Carver also offers college scholarship funds, winning basketball travel teams, a parent leadership academy, spring and fall college tours, community food drives and holiday events, and more for the benefit of the Norwalk community.

Summary of Significant Accounting Policies

Basis of Presentation

The Foundation's financial statements have been prepared in accordance with U.S. generally accepted accounting principles, which require the Foundation to report information regarding its financial position and activities according to the following net asset classifications:

Net assets without donor restrictions: Net assets that are not subject to donor-imposed restrictions and may be expended for any purpose in performing the primary objectives of the organization. These net assets may be used at the discretion of the Foundation's management and the board of directors.

Net assets with donor restrictions: Net assets subject to stipulations imposed by donors, and grantors. Some donor restrictions are temporary in nature; those restrictions will be met by actions of the Foundation or by the passage of time. Other donor restrictions can be perpetual in nature, where by the donor has stipulated that the funds be maintained in perpetuity.

THE CARVER FOUNDATION OF NORWALK, INC.
NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED JUNE 30, 2019

NOTE 1 - NATURE OF ACTIVITIES AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - Continued

Donor restricted contributions are reported as increases in net assets with donor restrictions. When a restriction expires, net assets are reclassified from net assets with donor restrictions to net assets without donor restrictions in the statement of activities.

Measure of Operations

The statement of activities reports all changes in net assets from operating and non-operating activities. Operating activities consist of those items attributable to the Foundation's ongoing programs and interest and dividends earned on investments. Non-operating activities are limited to resources that generate return from investments and other activities considered to be of a more unusual or nonrecurring nature.

Contributions

Contributions received are recorded as net assets without donor restrictions or net assets with donor restrictions, depending on the existence and/or nature of any donor-imposed restrictions. When a restriction expires (that is, when a stipulated time restriction ends or purpose restriction is accomplished), net assets with donor restrictions are reclassified to net assets without donor restrictions and reported in the statement of activities as net assets released from restrictions.

Contributed property and equipment are recorded at fair value at the date of donation. Contributions with donor-imposed stipulations regarding how long the contributed assets must be used are recorded as net assets with donor restrictions; otherwise, the contributions are recorded as net assets without donor restrictions.

In-kind Contributions

In-kind contributions represent the value of donated materials and are recorded when these contributions are both specifically identifiable and can be objectively valued in monetary terms (fair market value, as determined by management).

Support and Revenue Recognition

Revenues and expenses are recognized on the accrual basis of accounting which recognizes revenues when earned and expenses when incurred.

**THE CARVER FOUNDATION OF NORWALK, INC.
NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED JUNE 30, 2019**

**NOTE 1 - NATURE OF ACTIVITIES AND SUMMARY OF SIGNIFICANT ACCOUNTING
POLICIES - Continued**

Accounting Policies

The presentation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and the disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reported period. These assumptions include but are not limited to the depreciable lives of long-lived assets and allocation of functional expenses. Actual results could differ from those estimates.

Cash and Cash Equivalents

For purposes of the Statement of Cash Flows, the Foundation considers all highly liquid investments with an initial maturity of three months or less to be cash equivalents.

Fixed Assets and Accumulated Depreciation

Fixed assets are recorded at cost and include expenditures that naturally increase values or extend useful lives. Contributed assets are recorded at their fair market value at the date of receipt as determined by the Foundation. Depreciation is computed over the estimated useful lives of the assets, which range from 5 to 39 years, using the straight-line method for financial and tax reporting purposes. Expenditures in the nature of normal repairs and maintenance are charged to operations as incurred.

Subsequent Events

Date of Management Evaluation - Management has evaluated subsequent events through October 4, 2019, the date on which the financial statements were available to be issued.

Management has not identified any significant subsequent events requiring disclosure.

Functional Expenses

The costs of providing program and other activities have been summarized on a functional basis in the statement of activities and presented in detail in the statement of functional expenses. Accordingly, certain costs have been allocated among the programs and supporting services benefited. Such allocations are determined by management on an equitable basis.

THE CARVER FOUNDATION OF NORWALK, INC.
NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED JUNE 30, 2019

NOTE 1 - NATURE OF ACTIVITIES AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - Continued

The expenses that are allocated include the following:

Expense	Method of Allocation
Executive Director's Salary	Time and Effort
Finance Manager	Time and Effort
Chief Operating Officer's Salary	Time and Effort
Executive Administrative Assistant's Salary	Time and Effort
Manager of Administration's Salary	Time and Effort
Payroll Taxes	Time and Effort
Employee Benefits	Time and Effort
Occupancy	Square Footage

New Accounting Pronouncement

On August 18, 2016, FASB issued ASU 2016-4, Not-For-Profit Entities (Topic 958) – *Presentation of Financial Statements of Not-for-Profit Entities*. The update addresses the complexity and understandability of net asset classification, deficiencies in information about liquidity and availability of resources, and the lack of consistency in the type of information provided about expenses and investment return. The Foundation has adjusted the presentation of these statements accordingly. The ASU has been applied retrospectively to all periods presented.

Reclassifications

Beginning net asset amounts have been reclassified to conform to the current year presentation.

NOTE 2 - INCOME TAXES

The Foundation operates as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code. Pursuant to Section 501(c)(3) of the Internal Revenue Code, the activities engaged in by the Foundation are not subject to federal or state income taxes. The tax years 2015 through 2018 remain open to examination by the Internal Revenue Service.

THE CARVER FOUNDATION OF NORWALK, INC.
NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED JUNE 30, 2019

NOTE 3 - CONCENTRATION OF CREDIT RISK

Financial instruments that potentially subject the Foundation to concentration of credit risk consists principally of cash. The Foundation at June 30, 2019, maintained \$89,213 in cash balances in excess of Federal Deposit Insurance Corporation (FDIC) limits. The Foundation has not incurred any losses in the past and it believes it is not exposed to any significant credit risk.

NOTE 4 – AVAILABILITY AND LIQUIDITY

The following represents the Foundation's financial assets at June 30, 2019.

Financial assets at year end:

Cash and cash equivalents	\$ 487,288
Investments	13,473
Accounts Receivable	1,466
Contributions and grants receivable	<u>159,873</u>
Total Financial Assets	\$ 662,100

Less amounts not available to be used within one year -0-

Financial assets available to meet general expenditures
over the next twelve months \$ 662,100

The Foundation has a \$500,000 line of credit available to meet cash flow needs.

NOTE 5 - ACCOUNTS RECEIVABLE

Accounts receivable and contributions and grants receivable are stated at the amount management expects to collect from outstanding balances. Management provides for probable uncollectible amounts through a provision for bad debt expense and an adjustment to a valuation allowance based on its assessment of the current status of individual accounts. The allowance balances at June 30, 2019 are \$0.

NOTE 6 - INVESTMENTS - FAIR VALUE MEASUREMENTS

The Foundation's investments are reported at fair value in accordance with FASB ASC 820 in the accompanying statement of financial position at June 30, 2019 as follows:

**THE CARVER FOUNDATION OF NORWALK, INC.
NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED JUNE 30, 2019**

NOTE 6 - INVESTMENTS - FAIR VALUE MEASUREMENTS - Continued

	<u>Fair Value</u>	Quoted Prices in Active Markets for Identical Assets Level 1
Cash & Cash Equivalents	\$ 557	\$ 557
Stocks	<u>12,916</u>	<u>12,916</u>
	<u>\$ 13,473</u>	<u>\$ 13,473</u>

FASB ASC 820 Fair Value Measurements, establishes a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. This hierarchy consists of three broad levels: Level 1 inputs consist of unadjusted quoted prices in active markets for identical assets and have the highest priority, and Level 3 inputs have the lowest priority. The three levels of the fair value hierarchy under FASB ASC 820 are described below:

- Level 1 Unadjusted quoted prices in active markets that are accessible at the measurement date for identical assets or liabilities.
- Level 2 Quoted prices in markets that are not considered to be active or financial instruments for which all significant inputs are observable, either directly or indirectly.
- Level 3 Prices or valuations that require inputs that are both significant to the fair value measurements and unobservable.

Level 1 - Fair Value Measurements

The fair value of the Foundation's stocks are based on quoted net asset values of the shares held by the Foundation in an active market.

NOTE 7 - FIXED ASSETS

Below is a summary of fixed assets at June 30, 2019:

<u>Without Donor Restrictions</u>	
Building Improvements	\$ 1,247,018
Furniture and Fixtures	8,459
Vehicles	89,641
Machinery and Equipment	<u>138,212</u>
Sub-Total Depreciable Assets	1,483,330

**THE CARVER FOUNDATION OF NORWALK, INC.
NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED JUNE 30, 2019**

NOTE 7 - FIXED ASSETS - Continued

Less: Accumulated Depreciation	(465,538)
Net Book Value of Depreciable Assets	1,017,792
Land	5,000
TOTAL	<u>\$ 1,022,792</u>

With Donor Restrictions

Building	\$1,907,010
Less: Accumulated Depreciation	(99,833)
TOTAL	<u>\$1,807,177</u>

On June 22, 2017, the City of Norwalk gifted the building located at 7 Academy Street to The Carver Foundation of Norwalk. The gift is classified as With Donor Restrictions. If the Foundation ceases using the building as a neighborhood community center, ownership of the building reverts back to the City of Norwalk.

NOTE 8 - DEFERRED REVENUE

During the year ended June 30, 2019, the Foundation received fees and grants for programs to be run subsequent to year end. These fees and grants have been deferred and will be recognized as revenue in the year earned.

NOTE 9 - LINE OF CREDIT

The Foundation has a \$500,000 line of credit with Patriot National Bank, secured by a first security interest on Carver's business assets. Interest on the outstanding balance is payable monthly at a 6% annual interest rate. The credit line expires September 1, 2019. As of June 30, 2019, the credit line balance outstanding is \$0.

NOTE 10 - NET ASSETS

Net assets with donor restrictions are as follows for the year ended June 30, 2019:

Specific Purpose	
Completion of Technical Center	\$ 65,959
Use Building as a Community Center	1,807,177
Total	<u>\$ 1,873,136</u>

THE CARVER FOUNDATION OF NORWALK, INC.
NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED JUNE 30, 2019

NOTE 11 - EMPLOYEE BENEFITS

Deferred Compensation Plan - The Foundation maintains a 457(b)(7) plan open to all full time employees. The Foundation makes no contributions to the plan which is administered through the Vanguard Group.

NOTE 12 - OPERATING LEASES

The Foundation entered into a 42 month lease for a postage machine on June 7, 2010. The lease expired December 7, 2013 and has continued on a month-to-month basis at a rate of \$182 per quarter.

The Foundation entered into a 63 month operating lease for two copiers in March, 2016. Minimum lease payments are as follows:

2020	\$ 8,028
2021	7,359
2022	-0-
2023	-0-
2024	-0-
	<u>\$ 15,387</u>

Carver Foundation of Norwalk

PROCUREMENT POLICY AND PROCEDURES

1.0 Introduction:

In an effort to institutionalize best procurement practices, the Carver Foundation of Norwalk (Carver) has designed this procurement policy and procedures to ensure timely, efficient, and economical procurement, within the guidelines of its institutional practices. These procedures are established to make sure that procurement of supplies, materials, expendable properties, equipment, and services are obtained in an efficient manner and in compliance with the provisions of standardized and applicable statutes. Unless otherwise stated this policy and other procedures will apply to all procurement related to the below;

- a) Funding source: An exception is granted when funding agency and Carver's procurement practices are not compactable. In such situations, Carver will negotiate with the donor or funding agency to accommodate some of its procurement policy measures in order to avoid noncompliance issues. However, Carver will also exert efforts to comply with some of the procurement policies and requirements of the funding agency or donor, as necessary.
- b) Office Location: Procurement requirements will remain at the Carver's administration office regardless of whether the procurement is done at another location or;
- c) Currency of payment and method of payment – Carver Procurement is done in US dollars.
- d) Expense Report: Receipts for any expenditure made should indicate the currency.

2.0 Objectives

Carver procurement policy applies to purchase of all goods and services. It is designed to meet the following objectives:

- To ensure that procurement of goods and services comply with requisitions, authorization, and budget approvals;
- To institutionalize procurement systems for proper accountability of all purchases;
- To ensure that purchases are carried out in a cost effective manner;
- To institutionalize a control system that will facilitate speedy procurement and tracking measures to prevent fraud and financial loss to Carver in any way.

3.0 Procurement Responsibilities:

The members of the Carver senior management team have the overall responsibility for implementing these policies in their respective offices and locations with oversight supervision of the Chief Executive Officer and Board Chair. The CEO and Board Finance Chair have the responsibility to recommend to the Board Chair an update of the procurement procedure and

policy of Carver on a periodic basis and the establishment of a committee to update the procurement policy as well as communicating of any change to all staff concerned at Carver.

4.0 Procurement Contract:

The procurement contract is an instrument designed and used for the acquisition, by purchase, lease or barter of property or services for the direct benefit of Carver or for the use of the contractor or sub-contractor. Such instrument is explained and binding through the signing of contracts or subcontract agreements. Whenever Carver requires technical or professional services or wish to purchase, lease or barter property or services, it will issue either a contract or subcontract through an agreement as applicable. When services are provided as stated above, the requesting officer should complete a 'Service completion form' signed by him/her and also by his or her supervisor to ascertain satisfactory performance of tasks by contractor or consultant before any payment is authorized or made.

5.0 Code of Conduct:

Carver policy will guide employees and ensure adherence to a procurement code of conduct to avoid conflict of interest relating to actions or relationships with prospective vendors and contractors or consultants. This code of conduct is specified as seen below:

- a. A Carver staff member shall not engage in any conduct that will result in a potential conflict of interest. Any staff is known to be in a potential conflict of interest, when any action by him or her whether isolated, recurring or continuous is to his or her direct financial advantage or to the advantage of his/her spouse, parent or child.
- b. No Carver staff shall participate in the selection, final choice, or management of a contract if a real or apparent conflict of interest would be involved. Such a conflict of interest would arise when any employee or member of his or her family, his or her partner, or an organization to which any of the parties affiliate has financial or other interest in the selection process and/or contract.
- c. A Carver staff member shall not jeopardize the interest of Carver or influence a decision for procurement because of receipt of a gift as gratitude or because of favor, or anything of monetary value from a vendor, contractor, or parties of program

Punitive Action: As appropriate, Carver's CEO will be responsible to determine disciplinary actions that will be imposed for any violation of code of conduct relating to procurement.

Solicitation and Competition

All procurement transactions will be conducted to provide – to the maximum extent possible – free and open competition among suppliers. Carver must begin with an analysis of the need for the procurement, to avoid the purchase of unnecessary items (this may include an examination of lease versus purchase alternatives). The purchaser must then identify and clearly specify

standards for the goods or services desired and seek competitive offers where possible to obtain the best possible quality at the best possible price.

In general:

- Some form of cost or price analysis shall be made and documented in the procurement files in connection with every procurement action. Price analysis may be accomplished in various ways, including the comparison of price quotations submitted and market prices, together with discounts.
- Bids must be sought for goods and services exceeding \$1,000.
- For procurements that exceed the Federal “small purchase” threshold (the federal threshold is \$100,000, but the locality or State may set a lower threshold), competitive bids will be utilized and requests for these bids will be written in a way that does not restrict competition. (A clear and accurate description of the technical requirements for the material, product, or service to be procured; all requirements which offerors must fulfill; and all other factors to be used in evaluating bids or proposals.)

Procurement files must include the following:

- Basis for contractor selection.
- Justification for lack of competition when competitive bids or offers were not obtained.
- Whenever possible, Carver must engage in affirmative efforts to utilize small businesses, minority owned firms, and women's business enterprises.

Selection

Price should be one of the factors in the evaluation of responses, but Carver is not required to take the lowest price if other factors are important to the decision. There should be an objective method for selection, and any factors for evaluation and selection should be listed in the procurement documents. Awards shall be made to the bidder or offer or whose bid is responsive to the solicitation and is most advantageous to the Carver (price, quality and other factors considered). A bid may be rejected when it is in the Carver's interest to do so.

Support Documents

The following support documents are used in relation to policies and procedures of procurement.

Attachments (Procurement forms)

- A) Purchase Requisition/Service Request
- B) Request for Quotation
- C) Bid Evaluation (evaluation of costs/prices)/Check requisition for cash payment
- D) Bid Evaluation (evaluation of costs/prices)/Official Purchase order for item delivery
- E) Official Purchase Order/Check requisition
- F) Goods Received Note (GRN)/ Work/Service complete/Certificate

Contract Administration

Carver has an overall system of contract administration to ensure proper oversight and management of procurement actions. Carver is responsible for evaluating contractor performance and documenting, as appropriate, whether contractors have met the terms, conditions, and specifications of the contract. This may include progress inspections, interim products, inspection of goods delivered, and other such methods that provide assurance that the goods or services purchased are being delivered within the scope of the contract.

Carver's contract administration system must ensure that:

- The method of procurement is documented, and records maintained for five years after final payment is made;
- All activities are carried out and costs are incurred in compliance applicable requirements; and
- Before payment is made, services performed are adequate and consistent with the contract scope of services.

Payments:

Payment to suppliers or service contractors should be based on duly approved; suppliers' invoice, official purchase orders and goods received note (GRN). Advance or prepayments will be sanctioned when both buyer and supplier consent to that. Payments for utilities, fuel consumption and vehicle servicing will be reviewed and signed off by the CEO, who will then pass on same to the CFO for direct payment.

Payments should be effected when the items concerned are one-off items and where accredited suppliers are absent. All procurement transactions conducted will be regulated by Carver's policies and code of conduct. Any actual or perceived conflict of interest by any party involved in procuring items must be disclosed to one's immediate boss.

INVENTORY CONTROL

Carver has re-engineered its inventory control system to include transparent and accounting measures to track supplies/stock in and supplies issued out of the store or supply room. It tracks usage of items procured with company's money. Carver will ensure a monthly inventory record of all items received in store and that the receipt of the items is verified.

- Quantity in stock after physical count
- Numerical discrepancies between two or more figures (if any)
- Comments/ suggestions

All forms referred to in this manual can be obtained from the Administrative Office.

**Norwalk Community Development Block Grant (CDBG-CV) Program
Application Form/Request for Proposals (RFP)
Budget For CDBG-CV CARES Act Funding
Carver Foundation of Norwalk**

Items	Cost & Quantity	Total Costs
Folding Plastic Tables 96" x 30" (2 kids to a table) 10 tables	\$202.95 X 10	\$2,029.50
Folding Plastic Chairs – (4 per pack) 5 packs	\$122.39 X 5	\$611.95
Quat 64 Disinfectant 4 – one gallon per case (1 gallon per week for 6 weeks x 2 sites = 12 weeks) 12 – 1-gallon bottle	\$46.28 x 3	\$138.84
Diversey Disinfectant wipes – 930 wipes per case – 19 cases (1 per room) + 1 for main office	\$39.95 X 20	\$799.00
Hand Sanitizer – 1 gallon per room + main office 20 – 1-gallon bottles	\$64.70 X 20	\$1,294.00
Face Mask – 50/pack 1 per day – per staff Carver site – 30 Columbus site – 33 Office staff – 10 Total = 73 staff x 30 days	45 packs (50/per pack) X \$65	\$2,925.00
Gloves – 2 box per room - \$19.95 per box + main office + 4 boxes for custodian staff 25 boxes x \$9.95	25 X \$9.95	\$248.75
TOTAL		\$ 8047.04

DOMESTIC VIOLENCE CRISIS CENTER

**NORWALK REDEVELOPMENT AGENCY obo CITY OF NORWALK
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG-CV) PROGRAM
APPLICATION FORM FOR CDBG-CV FUNDS**

Applicant Agency/Organization Name: Domestic Violence Crisis Center, Inc.

President/CEO/Executive Director's Contact Information: Suzanne Adam, Executive Director,
SAdam@dvccct.org, (203) 588-9100 ext. 101

Type of Organization: Nonprofit 501(c)3, focused on providing effective services, support, and education for the prevention and elimination of domestic violence across the Connecticut communities of Stamford, Norwalk, Darien, New Canaan, Weston, Westport, Wilton, and beyond.

Applicant Mailing Address: 1111 Summer Street, Suite 203, Stamford, CT 06905

Project Location Address: 16 River Street, First Floor, Norwalk, CT 06850

Age of Building (Public Facility/Housing Applications Only):

Contact Person (designated contact person for the project/proposal):

Name: Suzanne Adam

Title: Executive Director

Phone #: (203) 588-9100 ext. 101

Email Address: SAdam@dvccct.org

Proposed Project/Activity Name: Personal Protective Equipment (PPE) and Building Updates in Response to COVID-19.

Brief Description of the Proposed Project/Activity:

Domestic Violence Crisis Center (DVCC) is requesting funding to cover Personal Protective Equipment (PPE) and updates to our offices to comply with CDC and State social distancing guidelines.

I certify that all information provided is correct to the best of my knowledge.


Name, Title & Signature

Suzanne Adam, Executive Director 05/20/2020

Date

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

PART 1. GENERAL INFORMATION

ORGANIZATION

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

This year marks the 40th anniversary of DVCC. What makes this a particular success is that our agency has continued to grow, evolve and adapt to the changing needs of the clients we serve and the communities in our catchment. DVCC began as two small agencies created in 1980: Women's Crisis Service in Norwalk and Domestic Violence Services in Stamford. Over the next 18 years they operated side by side, opening shelters, hiring victim advocates and establishing community education programs, until both agencies' boards of directors voted to merge, giving rise to the Domestic Violence Crisis Center on January 1, 1998. Over the next nine years the agency expanded its prevention education programs, bilingual programs and counseling services, formed Task Forces to raise awareness about domestic violence, oversaw the creation of domestic violence liaison units in several police departments and helped to establish dedicated domestic violence docket courts in Stamford and Norwalk. Since 2007, the agency has significantly augmented its outreach, services and advocacy with major new projects in the medical, legal, housing and educational communities. Today DVCC remains the only domestic violence agency recognized by the Connecticut Coalition Against Domestic Violence (CCADV) as serving the communities of Stamford, Norwalk, New Canaan, Darien, Westport, Wilton and Weston, Connecticut.

2. Identify the "core" programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated. Example: A homeless shelter's "core" program might be its basic overnight shelter service, while it's counseling or job placement services are "support" programs.

DVCC has three major program areas: victim services, awareness-raising, and preventive education and training. Our wide range of victim services includes 24/7 crisis intervention through a 24/7 hotline and the Lethality Assessment Program, two safe houses in Norwalk and Stamford, individual and group counseling, and advocacy. Counseling and advocacy services are provided in the following areas: legal, medical, housing, employment, and financial.

DVCC's legal advocates work with those affected by domestic violence in every step of the legal process, including court appearances, legal education and public policy change. Our legal team ensures that victims of domestic violence are informed about their rights, and are supported in their interactions with law enforcement. DVCC's legal staff represents victims at domestic violence arraignments in the Norwalk and Stamford courts, assists in obtaining restraining and protective orders, and helps with divorce and child custody. Additionally, DVCC's legal team hosts weekly civil legal clinics for clients to provide education and consultations by local attorneys on the subjects of custody, divorce and visitation. As a voice for domestic violence public policy advancement, DVCC successfully advocated for changes to the dual arrest language and offender accountability resulting in legislative changes.

DVCC's counselors offer empowerment-based, trauma-informed individual, and group counseling for adults and children. This program is designed to enhance a client's sense of self through mindfulness and strengthening modalities in a confidential and supportive environment. We also offer a wellness initiative with monthly groups, including yoga, meditation, visualization, NAMI support options, life coaching, and

nutritional education.

DVCC provides housing, financial, career, employment counseling and advocacy to victims of domestic violence. These services provide victims with critical information and support needed to secure safe, stable, affordable housing. We assist our clients in understanding and dealing with the aftermath of economic abuse. DVCC staff helps clients become empowered by creating financial solutions that drive employment, foster education, and build sustainable futures.

DVCC's safe houses provide a safe and secure shelter for victims of domestic violence. In the fiscal year 2018-2019, DVCC provided shelter to 349 individuals in its safe houses, 142 of whom were children. DVCC advocates in the safe houses make the full range of our services available to residents, beginning with assisting them in addressing the trauma they experienced, all the way through the journey to self-sufficiency.

DVCC raises awareness in the community through a wide variety of community-based events. The goal of these programs is to raise awareness of the free and confidential services that DVCC provides and raise awareness that domestic violence happens in every community.

DVCC provides preventive education and training programs for children, adults, and community professionals. In the fiscal year 2018-2019, 17,037 youth were reached through our PeaceWorks preventive education programs, and 1,594 adults were reached through adult education and professional training programs.

3. Check "YES" or "NO" to the following questions.

- | | | | |
|----|--|---|--|
| A. | Does your organization have a Board of Directors? | ☒ YES | ☐ NO |
| B. | Is your organization exempt under IRS Code 501(c) (3)? (If yes, provide documentation*) | ☒ YES | ☐ NO |
| C. | Are your organization's services available to Norwalk residents? | ☒ YES | ☐ NO |
| D. | Does your organization have an EEO Policy? (Include a copy*) | ☒ YES | ☐ NO |
| E. | If a housing provider, does your organization have a written Fair Housing Policy including accessibility (504) requirements? (Include a copy*) | ☐ YES | ☒ NO |
| F. | Does your organization have a written Procurement Policy? (Include a copy*) | ☒ YES | ☐ NO |
| G. | Is your organization considered a Faith-Based Organization? | ☐ YES | ☒ NO |
| H. | Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal* | | |
| I. | Include a copy of your written Policy on Record Keeping* | | |
| J. | Include a copy of your most current audited Financial Statements | | |

****Please note that requested documentation (from above) must be submitted to the Norwalk Redevelopment Office only if you are a new applicant or if there have been any changes to a previously filed documentation.***

PART 2. PROPOSED PROJECT/ACTIVITY

GENERAL DESCRIPTION

1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of preventing, preparing for and/or responding to the COVID-19 outbreak. Omission of requested information may be a cause to reject application.

Funding from CDBG-CV will be used to buy personal protective equipment (PPE) for our staff, and to reconfigure our offices to comply with social distancing mandates in response to the COVID-19 outbreak as we prepare to reopen our offices. The pandemic has had a profound impact on our organization. Much of our work involves providing individual or group counseling to clients in our community. During the stay at home orders, DVCC staff has adapted to serving our clients remotely through online platforms like zoom calls, telephone calls and electronic filing of legal documents. When the order is lifted and clients are able to return to in person visits, courts reopen and our normal office hours resume, DVCC will need to be prepared to safely conduct its services in compliance with CDC recommendations for social distancing. This will require desks to be reconfigured and plexiglass barriers to be installed. Staff members will need PPE including face masks and face shields along with hand sanitizer and cleaning supplies to keep the office in compliance.

2. Check the box that best describes the proposed project/activity.

- ☒ Public service activity
☐ Rehabilitation activity
☐ New construction activity
☐ Real property acquisition activity (i.e. land/building).
☐ Other (explain) _____

3. Check the box that applies to the proposed project/activity.

- ☐ New "core" program
☐ Expansion of existing "core" program
☒ Support of existing "core" program (with no expansion)
☐ New "support" program
☐ Expansion of existing "support" program
☐ Existing "support" program (with no expansion)
☐ Other (explain) _____

4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose? ☐ YES ☒ NO

5. How many persons or families (unduplicated #s) will the proposed project/activity serve? Indicate one as follows:
- | | |
|----------------|-------|
| # _____ | Week |
| # _____ | Month |
| # <u>4,968</u> | Year |

6. How many persons or families (unduplicated #s) in Question 5, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)? # _____ Week
_____ Month
4,500 Year
7. How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG-CV income guidelines on Page 2 of this application)? # _____ Week
_____ Month
1,300 Year

*** Failure to answer Questions 6 – 9 may disqualify application.**

8. What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? Check more than one box, if necessary. Note that the organization must be able to prove the income eligibility of beneficiaries.
- ☒ **Name**
☒ **Address**
☒ **Income**
☐ **Other**
9. Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation with the application evidencing the below qualification. Examples: Client In-take forms (no names), proposed rents, etc.

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

- ☐ **Area Benefit.** Activity meets needs of LMI persons residing in an area where at least 51% of the residents are LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood.

Documentation Attached: ☐

- ☒ **Limited Client Benefit.** Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the subcategories, check the applicable number.

Documentation Attached: ☒

- (1) Project/activity maintains client records on income and family size records documenting that such persons qualify as LMI.
- (2) Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons.
- (3) Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons.
- (4) Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.)

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ☒ Yes ☐ No

If yes, please explain:

Fairfield County Community Foundation – Technology Updates
Inner-City Foundation for Education – Youth & Family Program Expenses

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ☐ Yes ☒ No
If yes, please explain below and include any letter(s) of commitment for ongoing funds or approved funds from other source(s) to assist with the proposed project that you are requesting.

If yes, what funding source?	Amount Requested	Amount Approved	Amount Pending	Amount Denied

2. What is the total cost of the proposed project? Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor and/or architect/engineer estimate.

Description	Price per Unit	Quantity	Total
Bulk Hand Sanitizer	\$205.00	15	\$3,075.00
Touchless Dispensers	\$60.00	15	\$900.00
Disinfecting Wipes	\$120.00	10	\$1,200.00
Face Masks (reusable/washable)	\$5.00	100	\$500.00
Face Masks (disposable)	\$42.50	20	\$850.00
Face Shields	\$5.00	60	\$300.00
No Contact Thermometer	\$100.00	8	\$800.00
Plexiglass Desk Shield	\$5,000.00	1	\$5,000.00
Office Reconfiguration	\$5,000.00	1	\$5,000.00
Total			\$18,625.00

3. Describe your organization's fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

Please see attached for DVCC's policies on fiscal management and annual audit requirements.

4. Attach an explanation on how the proposed project will affect your administrative budget (example: additional personnel, maintenance, office space, etc.) Include an explanation on long-term plans for funding/sustaining the proposed project.

The COVID-19 pandemic has created new, unplanned expenses that were not in our budget. It also has strained our expected fundraising revenue. Economic strains have reduced our cash donations. Our biggest fundraising event, the Voices of Courage Spring Luncheon, has been moved to an online program. We are uncertain whether we will meet our fundraising goal for the event with the switch to a virtual platform.

Many of the expenses related to COVID-19 are one-time expenses that we do not need to budget for in the future. We are currently exploring other avenues of funding for our ongoing need of hand sanitizer and face masks.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish)

Office updates in response to COVID-19 will begin as soon as possible. Our office reopening dates are still to be determined, but all changes must be completed and all PPE must be on-site in all our locations before we reopen for clients.

PART 4. ORGANIZATIONAL EFFICIENCY

1. How many staff members will be directly associated with the proposed project?

	Professional	Support	Volunteer
Full-Time Staff	3		
Part-Time Staff			

Include a list of those involved in completing the project. The list must include: each person's name and a brief summary of job duties in relation to the proposed project.

Marie Simpson, Director of Finance & Administration, will find, price, and procure all needed supplies and services.

Suzanne Adam, Executive Director, will supervise and approve all final purchases and services.

Patricia Neil, Accounting Assistant, will provide assistance as needed to the Director of Finance & Administration.

2. If your organization has an elected or appointed board, complete the questions below.

NAME OF BOARD/COMMITTEE: DVCC Board of Directors

List the names of the individuals on the board and the position they may hold on the board.

Please find DVCC's Board of Director list attached.

- a. Number of voting board members as of January 1, 2020 12 Vacancies? 3
- b. How many board members reside within the City of Norwalk? 1
- c. How are the board members chosen?

The Governance committee shall review the current composition of the Board; recommend criteria for Board membership, interview potential candidates, and present slates of nominees to the Board for election as Directors and Officers. They may also propose nominees to fill vacancies occurring on the Board as deemed necessary for effective operation.

- d. Does your organization provide any board training and/or orientation? ☒ Yes ☐ No
If so, how often is training provided?

The training is provided as needed.

- e. How long is a term? Three Years. How many consecutive terms may be served? Two

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. Has the organization attempted to coordinate the project with other agencies to avoid duplication of services? ☐ Yes ☒ No If yes, please explain.

2. Identify other agencies in Norwalk (including non-profit and government) that provide services similar to your proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies?

The DVCC works directly with a myriad of community and governmental organizations to meet the needs of our clients. However, DVCC is the sole designated provider of services to domestic violence victims in our catchment – one of a network of 18 member agencies of the CT Coalition Against Domestic Violence. DVCC staff members are specialized domestic violence advocates with unique confidentiality privilege, in addition to their particular or specialized area of degree, education, and expertise.

3. Identify other agencies in Norwalk that provide services directed toward the same target beneficiaries of your proposed project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?

As stated previously, DVCC is the sole designated provider of services to domestic violence victims in our catchment area of Norwalk, Stamford, New Canaan, Darien, Westport, Weston, and Wilton, CT.

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants:

ORGANIZATION NAME: Domestic Violence Crisis Center, Inc.

Organization is:

1. Corporation ()
2. Non-Profit 501(c)(3) (X)
3. Partnership ()
4. Sole Owner ()
5. Association ()
6. Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the above-mentioned organization or project proposed.

Name, Job Title and Norwalk Redevelopment Agency Department

N/A

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a potential "financial interest" in the organization or project.

Name/Title

N/A

NOTE: If the applicant has provided names in question 1 or 2, please provide details regarding any known potential conflicts of interest in an attached narrative.

Domestic Violence Crisis Center Procurement Policy

The policy set forth in this document establishes standards and guidelines for the procurement of supplies, equipment, construction, and services to ensure that they are obtained as economically as possible through an open and competitive process, and that contracts are managed with good administrative practices and sound business judgment.

Code of Conduct

A Code of Conduct shall govern the performance, behavior and actions of the Domestic Violence Crisis Center (DVCC), including Board members, employees, directors, volunteers, or agents who are engaged in any aspect of procurement, including – but not limited to – purchasing goods and services; awarding contracts and grants; or the administration and supervision of contracts.

1. No employee, officer, director, volunteer or agent of the DVCC shall participate in the selection, award or administration of a bid or contract supported by Federal funds if a conflict of interest is real or apparent to a reasonable person.
2. Conflicts of interest may arise when any employee, officer, director, volunteer or agent of the DVCC has a financial, family or any other beneficial interest in the vendor firm selected or considered for an award.
3. No employee, officer, director, volunteer or agent of the DVCC shall do business with, award contracts to, or show favoritism toward a member of his/her immediate family, spouse's family or to any company, vendor or concern who either employs or has any relationship to a family member; or award a contract or bid which violates the spirit or intent of Federal, State and local procurement laws and policies established to maximize free and open competition among qualified vendors.
4. As permitted by law, rule, policy or regulation, the DVCC shall pursue appropriate legal, administrative or disciplinary action against an employee, officer, director, volunteer, vendor or vendor's agent who is alleged to have committed, has been convicted of or pled no contest to a procurement related infraction. If said person has been convicted, disciplined or pled no contest to a procurement violation, said person shall be removed from any further responsibility or involvement with grants management, procurement actions or bids, consistent with State or Federal policy.

Solicitation and Competition

All procurement transactions will be conducted to provide – to the maximum extent possible – free and open competition among suppliers. The DVCC must begin with an analysis of the need for the procurement, to avoid the purchase of unnecessary items (this may include an examination of lease versus purchase alternatives). The purchaser must then identify and clearly specify standards for the

goods or services desired, and seek competitive offers where possible to obtain the best possible quality at the best possible price.

In general:

- Some form of cost or price analysis shall be made and documented in the procurement files in connection with every procurement action. Price analysis may be accomplished in various ways, including the comparison of price quotations submitted and market prices, together with discounts.
- Bids must be sought for goods and services exceeding \$1,000.00.
- For procurements that exceed the Federal “small purchase” threshold (the federal threshold is \$100,000, but the locality or State may set a lower threshold), competitive bids will be utilized and requests for these bids will be written in a way that does not restrict competition. (A clear and accurate description of the technical requirements for the material, product or service to be procured; all requirements which offerors must fulfill; and all other factors to be used in evaluating bids or proposals.) Procurement files must include the following:
 - Basis for contractor selection.
 - Justification for lack of competition when competitive bids or offers were not obtained.
 - Basis of award cost or price.
- Whenever possible, the DVCC must engage in affirmative efforts to utilize small businesses, minority- owned firms, and women's business enterprises.

Selection

Price should be one of the factors in the evaluation of responses, but the DVCC is not required to take the lowest price if other factors are important to the decision.

- There should be an objective method for selection, and any factors for evaluation and selection should be listed in the procurement documents.
- Awards shall be made to the bidder or offeror whose bid is responsive to the solicitation and is most advantageous to the DVCC (price, quality and other factors considered).
- A bid may be rejected when it is in the DVCC's interest to do so.

Documentation

At a minimum, procurement records must clearly show how the DVCC:

- Executed price sampling for small purchases;
- Selected the method of procurement and the type of contract to be used;
- Determined which bids or proposals to accept and which to reject; and
- Determined the basis for the contract cost or price.

Contract Administration

The DVCC has an overall system of contract administration to ensure proper oversight and management of procurement actions. The DVCC is responsible for evaluating contractor performance and documenting, as appropriate, whether contractors have met the terms, conditions and

specifications of the contract. This may include progress inspections, interim products, inspection of goods delivered, and other such methods that provide assurance that the goods or services purchased are being delivered within the scope of the contract.

The DVCC's contract administration system must ensure that:

- The method of procurement is documented and records maintained for five years after final payment is made;
- All activities are carried out and costs are incurred in compliance with applicable requirements; and
- Before payment is made, services performed are adequate and consistent with the contract scope of services.

Document Retention/Destruction Policy of Domestic Violence Crisis Center

It is the intention of the Board of Directors of Domestic Violence Crisis Center not to destroy business records of the corporation that might be critical for any investigation of financial impropriety. Accordingly, periodic, mandatory and intentional document destruction shall be conducted in accordance with the following retention schedule. Any documents not identified on this list should only be deleted or destroyed after consultation with the Executive Director:

Type of Document	Minimum Requirement
Accounts payable ledgers and schedules	7 years
Audit reports	Permanently
Bank Reconciliations	2 years
Bank statements	3 years
Checks (for important payments and purchases)	Permanently
Contracts, mortgages, notes and leases (expired)	7 years
Contracts (still in effect)	Permanently
Correspondence (general)	2 years
Correspondence (legal and important matters)	Permanently
Construction records for development projects	6 years after the date of completion of the project
Deeds, mortgages, and bills of sale	Permanently
Depreciation Schedules	Permanently
Duplicate deposit slips	2 years
Grant proposals	Duration of the grant and an additional 6 years
Charitable Registration Statements	Permanently
Financial Statements (year end)	Permanently
Insurance Policies (expired)	Permanently
Insurance records, current accident reports, claims, policies, etc.	Permanently
IRS correspondence	Permanently
IRS annual returns Form 990	7 years
Invoices or demand letters	7 years
Minutes, corporate resolutions, bylaws and articles of incorporation	Permanently
Personnel records and personnel files	7 years after the last date of the employee's active employment
Payroll records and summaries	7 years
Records of testimony before government bodies	Permanently
Retirement and pension records	Permanently
Tax returns and worksheets	Permanently
Timesheets	7 years
Trademark registrations and copyrights, if applicable	Permanently
Withholding tax statements	7 years

Domestic Violence Crisis Center
Section B: Fiscal Management
STANDARD 13: FISCAL MANAGEMENT

Scope

Domestic Violence Crisis Center ensures financial information is adequately recorded in a form and time-period, which allows timely reporting and communication following these basic guidelines:

- a. Accounting system provides for the separate recording and identification of federal, state and other transactions and allocation of those transactions applicable to one or more funding sources.
- b. Transactional processing must involve the appropriate authorization and backup documentation particularly for the following types of transactions:
 1. Accounts receivable
 2. Disbursement and reconciliation of petty cash
 3. Invoice/expense approval
 4. Disbursement authorization and check signing authority
 5. Back up documentation
 6. Payroll, taxes and benefits
 7. Monthly bank reconciliations
- c. Reconciliations and reviews are performed on a regular basis to ensure accuracy of reporting.
- d. Reports provided in a timely fashion to managers and governing Board for review and appropriate action.
- e. Accurate information is readily accessible.

Purpose

All organizations should conduct their financial accounting practices according to GAAP principles. Organizations may opt to be on a Cash or Accrual accounting basis. Ensuring that organizations conform to accounting standards preserves the ability of the organization and CCADV to seek and accept funding from State, Federal, or private sources.

Procedure

- Domestic Violence Crisis Center collects and reviews last five years of audit statements.
- Domestic Violence Crisis Center collects and reviews last 12 months of Board Meeting Minutes/Record of Votes.
- Domestic Violence Crisis Center reviews staff training on accounting procedures.
- Domestic Violence Crisis Center reviews formal staff financial certifications.

Documentation

- ☐ Copy of procedures for internal fiscal control
- ☐ Board meeting minutes indicating regular review of financial information
- ☐ Most recent audit

Domestic Violence Crisis Center

Fiscal Policies and Procedures

1) Cash Receipts

- i) Access to computerized cash receipts recorded is limited to Executive Director, Director of Finance & Administration and Accounting Assistant.
- ii) Checks received by mail are opened, endorsed “for deposit only”.
- iii) Checks received by mail are photocopied with supporting documents by the Accounting Assistant, before being deposited at the bank.
- iv) Contribution receipts are entered into a fundraising program by Accounting Assistant, and imported directly from the fundraising database into the accounting system. Earned income and federal and state grant receipts are entered directly into the accounting system by the Accounting Assistant. The Director of Finance & Administration reconciles bank deposits to cash entries.

2) Petty Cash

- i) All petty cash payments must receive Supervisor and Executive Director’s approval before being submitted to the finance office for payment.
- ii) Requests for use of the agency’s credit card must be authorized by a supervisor and Executive Director before being submitted to the Director of Finance & Administration.

3) Cash Disbursements

- i) Access to computerized cash receipts recorded is limited to Executive Director, Director of Finance & Administration and Accounting Assistant.
- ii) With the following exceptions, payments of invoices are made by check.
 - (a) Payroll transfers are made online. The Director of Finance & Administration prepares the payroll and transfers the appropriate amount online from the agency’s operating account into its payroll account.

- (b) Deposits into the agency's 401k Plan/Account are made by the Bookkeeper online.
- iii) Invoices are coded by the Accounting Assistant, and submitted to the Executive Director for authorization for payment.
- iv) Payment for authorized invoices are issued online through banking institution by the Director of Finance & Administration, signed signatories authorized by the Board of Directors are kept on file with the records of each bank account. If there is a change of signatories, it is approved by the Board and a corporate resolution is sent to the bank, with a copy maintained in the bank account file. Checks for more than \$6,000 must have two signatures, the Executive Director and a Board of Directors authorized signatory. Neither the Director of Finance & Admin nor the Accounting Assistant are authorized signatories.
- v) Check vouchers are attaches to the backup material, filed, and retained for two years on the premises.
- vi) Voided checks are retained.

4) Payroll, Taxes, and Benefits

- i.) All staff complete biweekly time sheets reflecting hours worked and allocation of their time, as well as any specific grant funding for their positions. Time sheets are signed by both employee and supervisor, and submitted to the Director of Finance & Administration.
- ii) The Director of Finance & Administration reviews every time sheet, and calculates the pay due each employee.
- iii) The Director of Finance & Administration processes the payroll online on a biweekly basis. The payroll service is responsible for preparing and submitting tax payments and reports and preparation/distribution of W – 2 forms for agency.
- iv) The Accounting Assistant reviews every payroll, and records all payroll, taxes and related deductions in the accounting system.
- v) The Director of Finance & Administration generates and process payments of payroll benefits.

5) Monthly Bank Reconciliations

- i) The Executive Director receives and opens bank statement, and gives them to the Director of Finance & Administration.
- ii) The Director of Finance & Administration compares the dates and amounts of deposits on the bank statements with the cash receipts journal.
- iii) The Director of Finance & Administration compares checks recorded on the statements with the cash disbursements journal.
- iv) The Director of Finance & Administration accounts for all missing check numbers by the reconciling them with voided checks.
- v) Reconciliations are reviewed, initialed and dated by the Executive Director.

Domestic Violence Crisis Center
Section B: Fiscal Management
STANDARD 17: Annual Audit Policy

Scope

Domestic Violence Crisis Center has an annual independent audit of its financial statements. Audits must be conducted in accordance with the federal and state single audit requirements if applicable.

- a. The internal control process routinely tests for compliance with federal and state requirements.
- b. The governing Board and management will meet with external auditors to review and approve audited financial statements.
- c. The audit identifies any deficiencies in internal control or other findings.
- d. Management will have a process in place for addressing any reported deficiencies or findings and ensuring that timely corrective action has been taken.
- e. The governing Board reviews and approves the annual audit reports and ensures any potential corrective action.

Purpose

Annual audits serve to ensure that the organization is exercising the appropriate controls over its income, expenditures, and assets.

Procedure

- Domestic Violence Crisis Center has an accounting firm to complete an annual audit of business activities.
- Domestic Violence Crisis Center has the audit completed after the close of each fiscal year.
- Auditor presents to Domestic Violence Crisis Center governing board of their findings.

Documentation

- ☐ Annual financial audit
- ☐ Documentation of auditor presentation to the governing board

**Domestic Violence Crisis Center
Board of Directors
2019-2020**

Name	Town of Residence	Business Address	Email Address
Jillian L. Cabana (Tad Carr) 6/2022	Fairfield, CT	Westport Police Dept. 50 Jesup Road Westport, CT 06880	jilliancarr007@gmail.com
Beth Coppinger (Paul) Board Secretary 6/2020	Easton, CT	Gartner Group Supply Chain Research Dir Stamford, CT	Beth.coppinger@gartner.com
Harriet Dulaney (Fred) 6/2020	Stamford, CT	Community Volunteer	fdulaney@optonline.net
Susan Filan 6/2022	Newtown, CT	Cohen and Wolf, P.C. 320 Post Road West Westport, CT 06880	sfilan@cohenandwolf.com
Benjamin Greenblatt, M.D. (Pamela) 6/2021	Westport, CT	Chair, Emergency Medicine Norwalk Hosp.	benjamin.greenblatt@wchn.org
Wendy Herrick (David Owens) Board Chair 6/2020	Rowayton, CT	Unilever US VP Global Supply Chain Shelton, CT	wendy.herrick@unilever.com
Peter A. Karadimas 6/2023	East Norwalk, CT	GYL Resnick MD & Sr. Wealth Advisor 20 Kechum Street Westport, CT	pakaradimas@optonline.net
Robert B. Siegel 6/2024	New Canaan, CT	UBS Stamford, CT 06901	siegelrb@mac.com
Janill Sharma (Sahul) Board Vice Chair 6/2020	Stamford, CT	Community Volunteer Founder, Network of Asian Moms	janillsharma73@gmail.com
Don Schels 6/2022	Newtown, CT	Assoc. Principal, Wilton H.S 395 Danbury Road Wilton CT 06901	donaldschels@gmail.com
David Stone Treasurer 6/2021	Fairfield, CT	Accountant, Community Volunteer	djaystone@gmail.com
Lola White 6/2024	Monroe, CT	Bigelow 201 Black Rock Tnpk Fairfield, CT 06825	Ladywte040@gmail.com
Suzanne E. Adam Ex. Officio	Stratford, CT	Executive Director DVCC	sadam@dvccct.org



Domestic Violence Crisis Center, Inc. and Affiliate

Financial Statements

For the Years Ended June 30, 2019 and 2018

Domestic Violence Crisis Center, Inc. and Affiliate

For the Years Ended June 30, 2019 and 2018

<u>Contents</u>	<u>Page</u>
Independent Auditor's Report	1-2
Consolidated Statement of Financial Position	3-4
Consolidated Statement of Activities	5-6
Consolidated Functional Expenses	7
Consolidated Statement of Cash Flows	8
Notes to Consolidated Financial Statements	9-23
Report on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Consolidated Financial Statements Performed in Accordance with <i>Government Auditing Standards</i>	24-25
Independent Auditor's Report on Compliance for Each Major Program and on Internal Control Over Compliance Required by the Uniform Guidance	26-27
Independent Auditor's Report on Internal Control over Compliance; and Report on the Schedule of Expenditures of State Financial Assistance Required by the State Single Audit Act	28-30
Schedule of Expenditures of Federal Awards	31
Schedule of Expenditures of State Financial Assistance	32
Notes to Schedule of Federal Awards	33
Notes to Schedule of Expenditure of State Financial Assistance	34
Schedule of Findings and Questioned Costs - Federal Awards	35-36
Schedule of Findings and Questioned Costs - State Financial Assistance	37

INDEPENDENT AUDITOR'S REPORT

To The Board of Directors

Domestic Violence Crisis Center, Inc. and Affiliate:

Report on the Financial Statements

We have audited the accompanying financial statements of Domestic Violence Crisis Center, Inc. and Affiliate, (a nonprofit organization), which comprise the statements of financial position as of June 30, 2019 and 2018, and the related statements of activities, functional expenses, and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

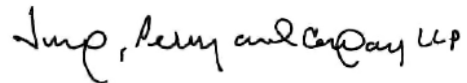
In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Domestic Violence Crisis Center, Inc. and Affiliate, as of June 30, 2019 and 2018, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matters*Other Information*

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying schedule of expenditures of federal awards, as required by Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, and state financial assistance, as required by the State Single Audit Act, is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated, in all material respects, in relation to the financial statements as a whole.

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report dated March 13, 2020, on our consideration of the Organization's internal control over financial reporting and our tests of its compliance with certain provisions of laws, regulations, contracts, grants and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering Domestic Violence Crisis Center, Inc. and Affiliate's internal control over financial reporting and compliance.



Toms River, New Jersey
March 13, 2020

Domestic Violence Crisis Center, Inc. and Affiliate

Consolidated Statements of Financial Position

June 30, 2019 and 2018

ASSETS

	<u>2019</u>	<u>2018</u>
Current assets:		
Cash - operations	\$ 141,234	225,988
Cash - board designated	43,640	16,800
Investments - board designated	779,705	762,230
Accounts receivable	76,995	76,770
Grants receivables	187,336	215,684
Prepaid expenses and inventory	<u>5,268</u>	<u>13,714</u>
Total current assets	<u>1,234,178</u>	<u>1,311,186</u>
Property and equipment:		
Land, buildings, improvements and equipment	1,797,796	1,797,796
Less: accumulated depreciation	<u>700,998</u>	<u>652,683</u>
Net property and equipment	<u>1,096,798</u>	<u>1,145,113</u>
Restricted assets:		
Security deposits	13,379	13,379
Restricted for long-term investment	<u>5,000</u>	<u>5,000</u>
Total restricted assets	<u>18,379</u>	<u>18,379</u>
Total assets	<u>\$ 2,349,355</u>	<u>2,474,678</u>

See accompanying notes to consolidated financial statements.

Domestic Violence Crisis Center, Inc. and Affiliate
Consolidated Statements of Financial Position (continued)
June 30, 2019 and 2018

LIABILITIES AND NET ASSETS

	<u>2019</u>	<u>2018</u>
Liabilities:		
Accounts payable and accrued expense	\$ <u>114,405</u>	<u>87,695</u>
Total liabilities	<u>114,405</u>	<u>87,695</u>
Net assets		
Without donor restrictions:		
Net investment in land, building, improvements and equipment	1,096,798	1,145,113
Board designated:		
Joanne Lorange Memorial	23,894	23,894
Undesignated - Available for operations	<u>1,067,549</u>	<u>1,167,908</u>
Total net assets without donor restriction	2,188,241	2,336,915
Net assets with donor restrictions	<u>46,709</u>	<u>50,068</u>
Total net assets	<u>2,234,950</u>	<u>2,386,983</u>
Total liabilities and net assets	\$ <u><u>2,349,355</u></u>	<u><u>2,474,678</u></u>

See accompanying notes to consolidated financial statements.

Domestic Violence Crisis Center, Inc. and Affiliate

Consolidated Statements of Activities

For the Years Ended June 30, 2019

(with comparative totals for 2018)

	<u>2019</u>			<u>2018</u>
	<u>Without Donor Restriction</u>	<u>With Donor Restriction</u>	<u>Total</u>	<u>Total</u>
Support and revenue:				
Grants - federal, state and city	\$ 1,736,199	-	1,736,199	\$ 1,730,014
Grants - building purchase	-	-	-	841,095
United Way allocations and designations	20,162	-	20,162	21,823
Contributions and promises to give:				
Foundations	140,201	-	140,201	160,513
Corporations/Organizations/Schools	79,201	-	79,201	83,074
Faith based organizations	29,518	-	29,518	19,530
Individual and other	111,237	-	111,237	68,172
In-kind	488,773	-	488,773	439,550
Total contributions and promises to give	<u>848,930</u>	<u>-</u>	<u>848,930</u>	<u>770,839</u>
Fund-raising events	173,215	-	173,215	162,635
Third Party/Special Events	25,000	-	25,000	-
Brave Wings Program	100	184	284	42,695
Investment income	6,872	-	6,872	26,176
Unrealized gain (loss) on investments	(17,913)	-	(17,913)	3,594
Realized gain on investments	66,207	-	66,207	41,816
Revenues released from restriction	3,543	(3,543)	-	-
Miscellaneous income	<u>(26,768)</u>	<u>-</u>	<u>(26,768)</u>	<u>(1,218)</u>
Total revenue and support	<u>\$ 2,835,547</u>	<u>(3,359)</u>	<u>2,832,188</u>	<u>\$ 3,639,469</u>

See accompanying notes to consolidated financial statements.

Domestic Violence Crisis Center, Inc. and Affiliate

Consolidated Statements of Activities (continued)

For the Years Ended June 30, 2019

(with comparative totals for 2018)

	<u>2019</u>			<u>2018</u>
	<u>Without Donor Restriction</u>	<u>With Donor Restriction</u>	<u>Total</u>	<u>Total</u>
Expenses:				
Program services:				
Safehouses	\$ 996,773	-	996,773	\$ 927,618
Counseling & EsperanzaCT	381,117	-	381,117	354,678
Court & Legal	703,607	-	703,607	654,788
PeaceWorks	175,901	-	175,901	163,697
SustainabilityCT	322,485	-	322,485	300,112
Total program services	<u>2,579,883</u>	<u>-</u>	<u>2,579,883</u>	<u>2,400,893</u>
Support services:				
Management and general	263,854	-	263,854	245,553
Fundraising and development	140,484	-	140,484	129,785
Total support services	<u>404,338</u>	<u>-</u>	<u>404,338</u>	<u>375,338</u>
Total functional expenses	2,984,221	-	2,984,221	2,776,231
Change in net assets	(148,674)	(3,359)	(152,033)	863,238
Net assets, beginning of year	<u>2,336,915</u>	<u>50,068</u>	<u>2,386,983</u>	<u>1,523,745</u>
Net assets, end of year	<u>\$ 2,188,241</u>	<u>46,709</u>	<u>2,234,950</u>	<u>\$ 2,386,983</u>

See accompanying notes to consolidated financial statements.

Domestic Violence Crisis Center, Inc. and Affiliate

Consolidated Statement of Functional Expenses

For the Year Ended June 30, 2019

(with comparative totals for 2018)

	Program Services						Support Services			Total	
	<u>Safehouses</u>	<u>Counseling & EsperanzaCT</u>	<u>Court & Legal</u>	<u>PeaceWorks</u>	<u>Sustain-AbilityCT</u>	<u>Total</u>	<u>Management and General</u>	<u>Fundraising and Development</u>	<u>Total</u>	<u>2019</u>	<u>2018</u>
Salaries	\$ 567,366	216,934	400,494	100,123	183,558	\$1,468,475	150,187	50,062	\$ 200,249	\$1,668,724	\$1,461,127
Employee benefits	53,184	20,335	37,542	9,385	17,207	137,653	14,078	4,693	18,771	156,424	99,776
Payroll taxes	40,577	15,515	28,643	7,161	13,128	105,024	10,741	3,580	14,321	119,344	106,692
Advertising and public relations	804	307	567	142	260	2,080	213	71	284	2,364	2,407
Client Service	11,075	4,234	7,818	1,954	3,583	28,664	2,932	977	3,909	32,573	19,165
Conferences and training	1,602	613	1,131	283	518	4,147	424	141	565	4,712	2,855
Contract services	11,988	4,584	8,462	2,116	3,879	31,029	3,173	1,058	4,231	35,260	113,901
Dues and subscriptions	1,228	469	867	217	397	3,178	325	108	433	3,611	4,073
Insurance	26,692	10,206	18,842	4,710	8,636	69,086	7,066	2,355	9,421	78,507	78,227
Leased equipment	2,255	862	1,592	398	730	5,837	597	199	796	6,633	8,343
Postage and printing	7,573	2,895	5,346	1,336	2,450	19,600	2,005	668	2,673	22,273	5,190
Office supplies	3,074	1,175	2,170	542	995	7,956	814	271	1,085	9,041	35,179
Professional fees	7,540	2,883	5,322	1,331	2,439	19,515	1,996	665	2,661	22,176	15,500
In-kind services	146,621	56,061	103,497	25,874	47,436	379,489	38,811	12,937	51,748	431,237	378,253
Occupancy	40,769	15,588	28,778	7,195	13,190	105,520	10,792	3,597	14,389	119,909	173,202
Repairs and maintenance	6,152	2,352	4,343	1,086	1,990	15,923	1,629	543	2,172	18,095	29,061
Supplies	8,403	3,213	5,932	1,483	2,719	21,750	2,224	741	2,965	24,715	31,623
Telephone	7,910	3,024	5,583	1,396	2,559	20,472	2,094	698	2,792	23,264	24,702
Travel	2,320	887	1,638	409	751	6,005	614	205	819	6,824	2,458
Grant development	-	-	-	-	-	-	-	-	-	-	360
Fundraising fees	68	26	48	12	22	175	18	6	24	200	621
Fundraising events	-	-	-	-	-	-	-	52,536	52,536	52,536	47,945
In-kind inventory	14,734	5,634	10,400	2,600	4,767	38,135	3,900	1,300	5,200	43,335	47,097
In-kind rent	4,828	1,846	3,408	852	1,562	12,496	1,278	426	1,704	14,200	14,200
Miscellaneous	13,583	5,193	9,588	2,397	4,394	35,155	3,595	1,198	4,793	39,948	39,217
Total expenses before depreciation and amortization	<u>980,346</u>	<u>374,836</u>	<u>692,011</u>	<u>173,002</u>	<u>317,170</u>	<u>2,537,365</u>	<u>259,506</u>	<u>139,035</u>	<u>398,541</u>	<u>2,935,906</u>	<u>2,741,174</u>
Depreciation and amortization	<u>16,427</u>	<u>6,281</u>	<u>11,596</u>	<u>2,899</u>	<u>5,315</u>	<u>42,518</u>	<u>4,348</u>	<u>1,449</u>	<u>5,797</u>	<u>48,315</u>	<u>35,057</u>
Total	<u>\$ 996,773</u>	<u>381,117</u>	<u>703,607</u>	<u>175,901</u>	<u>322,485</u>	<u>\$2,579,883</u>	<u>263,854</u>	<u>140,484</u>	<u>\$ 404,338</u>	<u>\$2,984,221</u>	<u>\$2,776,231</u>

See accompanying notes to consolidated financial statements.

Domestic Violence Crisis Center, Inc. and Affiliate

Consolidated Statements of Cash Flows

For the Years Ended June 30, 2019 and 2018

	<u>2019</u>	<u>2018</u>
Cash Flows from Operating Activities		
Change in net assets	\$ (152,033)	863,238
Adjustments to Reconcile Change in Net Assets to Net Cash Provided (Used) by Operating Activities:		
Depreciation and Amortization	48,315	35,057
Unrealized (gain) loss on investments	17,913	(3,594)
Change in:		
Grants receivable	28,348	12,334
Other receivables	(225)	45,726
Prepaid expenses and inventory	8,446	8,588
Security deposit	-	5,355
Accounts payable and other accrued expenses	<u>26,710</u>	<u>(37,306)</u>
Total adjustments	<u>129,507</u>	<u>66,160</u>
Net cash provided by (used in) operating activities	<u>(22,526)</u>	<u>929,398</u>
Cash Flows from Investing Activities:		
Net purchase/maturity of securities	(35,388)	10,873
Net purchase/disposal of assets	<u>-</u>	<u>(926,290)</u>
Net cash used in investing activities	<u>(35,388)</u>	<u>(915,417)</u>
Net increase (decrease) in cash	(57,914)	13,981
Cash beginning of year	<u>242,788</u>	<u>228,807</u>
Cash end of year	<u>\$ 184,874</u>	<u>242,788</u>

See accompanying notes to consolidated financial statements.

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements

June 30, 2019 and 2018

1. Nature of Operations and Basis of Accounting

Domestic Violence Crisis Center, Inc. and Affiliate (the "Organization") is committed to breaking the cycle of domestic abuse through counseling, education, advocacy, safe housing and empowerment (CEASE). The Organization primarily serves the communities of Norwalk, Stamford, Darien, New Canaan, Wilton, Westport and Weston.

The Organization has a wholly owned affiliate (the "Affiliate") which owns a Shelter property which is used by the Organization at no charge. The Affiliate's net assets have been included in the accompanying consolidated financial statements. Interorganizational transactions and balances have been eliminated in consolidation.

The Organization and Affiliate are not-for-profit organizations incorporated under the Nonstock Corporation Act of the State of Connecticut, and are exempt from federal tax under Section (501)(c)(3) of the Internal Revenue Code. The Organization and Affiliate are also exempt from state income tax.

2. Summary of Significant Accounting Policies

a) Net asset classes

The net asset classes of the Organization and Affiliate consist of the following:

Net assets without donor restrictions: Net assets without donor restrictions consist of the net assets over which the governing boards have control to use in carrying out the operations of the Organization and Affiliate in accordance with their charters and by-laws and no donor imposed restrictions

The net investment in Land, Building, Improvements and Equipment consists of the Net book value of Land, Building, Improvements and Equipment acquired with net assets without donor restrictions

The Board of the Organization has designated certain net assets without donor restrictions for program development and capital expenditures.

Additionally, the Board of the Organization has designated all contributions received in memory of Joanne Lorange for the Joanne Lorange Memorial Fund to be used to fund programs of the Organization based upon recommendations of an Ad hoc subcommittee which includes a member of Joanne Lorange's family.

The Board of the Organization has determined that the ongoing operations of the Organization require net assets without donor restrictions available for operations balance equal to approximately three to four months of operating expenses and has set as a goal the retention of that amount.

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

2. Summary of Significant Accounting Policies (continued)

Net assets with donor restrictions: Net assets with donor restrictions which have donor-imposed restrictions whose limits do not expire with the passage of time nor can be fulfilled or otherwise removed by actions of the Organization and Affiliate. Net assets with donor restrictions consist of an endowment fund, whereby the donor has stipulated that the principal amount be maintained intact in perpetuity and that only the income and net gains from investment thereof be expended for the purpose specified by the donor and funds to be used for security deposits.

b) Contributions or promises to give

Contributions or promises to give without donor-imposed restrictions are reflected as unrestricted support. Contributions or promises to give with donor-imposed restrictions are reflected as either restricted support in the accompanying consolidated financial statements. Contributions or promises to give with donor-imposed conditions are not recognized as contributions or promises to give in the accompanying consolidated financial statements until the period when the conditions are met.

Promises to give that are expected to be received within one year of the financial statement date are reflected at their net realizable value (the gross amount of the promises to give, net allowance for uncollectible amount). Promises to give that are expected to be collected more than one year after the financial statement date are reflected at the present value of their estimated future cash flows using a discount rate commensurate with the risks involved at the date the promise to give is received.

c) Revenue and expense recognition

Grants awarded to the Organization are reflected at the earlier of the date the funds are received or the time that the grant expenditures are incurred. The amounts of the grants that are received but unearned, are reflected as Deferred revenue in the accompanying consolidated statements of financial position and are subsequently reflected in the accompanying consolidated statements of activities during the period to which they apply as the grants are expended.

The Organization receives certain of its contributions, program and event fees in the form of cash. It was impractical for the Organization to exercise control over these contributions and fees prior to the initial entry of these receipts into the Organizations accounting records.

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

2. Summary of Significant Accounting Policies (continued)

d) Cash equivalents

The Organization considers all investments with a maturity of three months or less as cash equivalents.

e) Investments

The Organization has adopted accounting for Certain Investments Held by Not-for-Profit Organizations. Not-for-profit accounting requires investments in marketable securities with readily determinable fair values and all investments in debt securities to be reported at their fair values in the statements of financial position. Unrealized gains and losses are included in the change in net assets. Investment income and gains restricted by a donor are reported as increases in net assets without donor restrictions if the restrictions are met (either by passage of time or by use) in the reporting period in which the income and gains are recognized.

f) Receivables

Promises to give and other receivables are evaluated periodically for collectibility based upon Management's evaluation of past loss experience, known and inherent risks in its accounts plus other factors which could affect collectibility. In the opinion of Management, all accounts for which the collectibility is doubtful have been written off or an allowance provided and the remaining accounts are deemed to be collectible.

g) Land, building, improvements and equipment

Expenditures for land, building, improvements and equipment are reflected at cost. Contributed assets are reflected at their fair value at the date of the gift. Depreciation is provided over the estimated useful lives of the assets, five to twenty years on straight-line basis. It is the Organization's policy to capitalize furniture and equipment with a cost of \$500 or greater.

Certain furniture and equipment was acquired with grant funds. Although in some instances the grantors retain a reversionary right to such assets in the event they are not used for the respective programs for which they were funded. It is the policy of the Organization to capitalize such assets when it considers it probable that it will be permitted to retain the assets when the grant agreements terminate.

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

2. Summary of Significant Accounting Policies (continued)

h) Contributed goods or services

Goods or services have been provided by various organizations and a number of unpaid volunteers have contributed their time. Contributions are recognized if the goods or services received (a) create or enhance nonfinancial assets or (b) require specialized skills, are provided by individuals possessing those skills, and would typically need to be purchased if not provided by donation. Contributed goods or services that do not meet the above criteria are not recognized.

During the years ended June 30, 2019 and 2018 the Organization reflected the following In-kind contributions and reflect related In-kind expenses:

	<u>2019</u>	<u>2018</u>
Specialized-Certified with additional departmental training (able to work with clients, Hotline, Court, SafeHouse, PeaceWorks, etc.)	\$ 58,498	253,465
Unspecialized-Certified (non client contact, filing, phones, fundraising)	372,740	124,788
Annual Report Printing, Printing & Design Services	-	-
Food & Other Client Related Supplies for Shelter Clients	43,335	47,097
Norwalk and Stamford Courthouse Facilities - Occupancy	<u>14,200</u>	<u>14,200</u>
Total	<u>\$ 488,773</u>	<u>439,550</u>

i) Compensated absences

Employees of the Organization are entitled to paid vacations based upon length of service. It was the Organization's policy to accrue vacation pay based upon the amount earned as of the financial statement date. This policy changed. The Organization no longer allows vacation time to be carried over to the subsequent year effective June 30, 2009.

j) Advertising

Advertising costs are expensed as incurred.

k) Functional expenses

The costs of providing the various programs and other activities have been summarized on a functional basis in the accompanying Consolidated statements of activities. Accordingly, certain costs have been allocated among the programs and supporting services benefited.

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

2. Summary of Significant Accounting Policies (continued)

l) Fair value measurements

Not-for-profit accounting established a single definition of fair value and a framework for measuring fair value. That is intended to result in increased consistency and comparability in fair value measurements. Not-for-profit accounting also expands disclosures about fair value measurements and applies whenever other authoritative literature requires (or permits) certain assets or liabilities to be measured at fair value, but does not expand the use of fair value. To increase consistency and comparability in fair value measurements and related disclosures, the fair value hierarchy prioritizes the inputs to valuation techniques used to measure fair value into three broad levels. The fair value hierarchy gives the highest priority to quoted prices (unadjusted) in active markets for identical assets or liabilities (Level 1), a secondary priority to quoted prices for similar assets or liabilities in active or inactive markets and other observable inputs from or corroborated by observable market data (Level 2) and the lowest priority to unobservable inputs using assumptions that market participants would use (Level 3).

m) Use of estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

n) Subsequent events

Management has evaluated subsequent events through March 13, 2020, the date the Consolidated financial statements were available to be issued.

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

3. Liquidity and Availability

Financial assets available for general expenditure, that is, without donor or other restrictions limiting their use, within one year of the balance sheet date, comprise the following:

	<u>2019</u>	<u>2018</u>
Cash and cash equivalents	\$ 184,874	\$ 242,788
Investments	779,705	762,230
Accounts receivable	76,995	76,770
Grants receivable	<u>187,336</u>	<u>215,684</u>
Total financial assets	<u>1,228,910</u>	<u>1,297,472</u>
Donor imposed restrictions:		
Funds subject to purpose restrictions	<u>46,709</u>	<u>50,068</u>
Financial assets available to meet general expenditures within one year	<u>\$ 1,182,201</u>	<u>\$ 1,247,404</u>

The Organization's financial assets are distributed among several banks, in mostly interest bearing highly liquid accounts in order to have accessibility to fulfill payment obligations on a weekly basis.

4. Concentration of Risk

a) Cash

The Organization maintains cash accounts at three banks. These accounts are guaranteed by the Federal Deposit Insurance Corporation (FDIC) up to \$250,000 per bank. At times during the years, the cash balances at the banks may have exceeded the insured limit.

b) Revenues and support

The Organization derives its revenue and other support primarily from Grants from the State of Connecticut, the Federal Government as a pass-through from Connecticut Coalition Against Domestic Violence, Inc. (CCADV), from allocations from the United Ways of Stamford, Norwalk & Wilton, New Canaan, Darien and Westport, and from contributions, promises to give and fundraising activities from donors in the communities the Organization services.

Domestic Violence Crisis Center, Inc. and Affiliate
Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

5. Investments

At June 30, 2019 and 2018 investments consisted of the following:

	<u>2019</u>		<u>2018</u>	
	Cost	Market	Cost	Market
Mutual funds	\$ <u>668,778</u>	<u>779,705</u>	<u>634,484</u>	<u>762,230</u>
	\$ <u>668,778</u>	<u>779,705</u>	<u>634,484</u>	<u>762,230</u>

6. Fair Value Measurements

Fair values of assets measured on a recurring basis at June 30, 2019 and 2018 are as followed:

Fair Value Measurements at Reporting Date Using

	<u>Fair Value</u>	Quoted Prices In Active Markets for Identical Assets/ Liabilities (Level 1)	Significant Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)
<u>June 30, 2019</u>				
Mutual Funds	\$ <u>779,705</u>	<u>779,705</u>	<u>-</u>	<u>-</u>
Total Assets	\$ <u>779,705</u>	<u>779,705</u>	<u>-</u>	<u>-</u>
<u>June 30, 2018</u>				
Mutual Funds	\$ <u>762,230</u>	<u>762,230</u>	<u>-</u>	<u>-</u>
Total Assets	\$ <u>762,230</u>	<u>762,230</u>	<u>-</u>	<u>-</u>

All assets have been valued using a market approach.

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

7. Grants Receivable and Grant Revenues - Federal and State

Grants receivable at June 30, 2019 and 2018 and Grant revenues for the years ended June 30, 2019 and 2018 consist of the following:

	<u>2019</u>	<u>Grants Receivable</u>	<u>Deferred Revenue</u>	<u>Grant Revenue</u>
<u>Federal</u>				
U.S. Department of Health and Human Services:				
Pass-Through from the State of CT				
Department of Social Services				
Family Violence Prevention Services	\$ -	-		153,112
U.S. Department of Justice:				
Pass-Through from Connecticut Coalition				
Against Domestic Violence:				
Crime Victim Assistance	128,965	-		456,626
Violence Against Women Formula Grant	31,887	-		382,641
Legal Assistance for Victims	5,275	-		24,256
Child Advocate	5,938	-		21,024
Law Enforcement Advocacy	2,320	-		10,012
Pass-Through from City of Stamford:				
U.S. Department of Homeland Security:				
Pass-Through from United Way of America				
Emergency Food and Shelter National Board Program:				
Grant to Fund Served Meals	4,950	-		18,075
Total Federal	<u>179,335</u>	<u>-</u>		<u>1,065,746</u>
<u>State of Connecticut</u>				
Department of Social Services:				
Pass-Through from Connecticut Coalition				
Against Domestic Violence:				
Shelter Services Program	-	-		585,432
Judicial Branch Office of Victims Services:				
Pass-Through from Connecticut Coalition				
Against Domestic Violence:				
Victims of Crime Act Victim Assistance and Family Violence Court FVVA Program	5,439	-		65,264
Office of Policy and Management:				
Pass-Through from Connecticut Coalition				
Against Domestic Violence:				
Campus Safety	-	-		4,000
Child Advocate	1,788	-		6,319
Law Enforcement Advocacy	774	-		3,338
Total State of Connecticut	<u>8,001</u>	<u>-</u>		<u>664,353</u>
City of Norwalk	<u>-</u>	<u>-</u>		<u>6,100</u>
Total	<u>\$ 187,336</u>	<u>-</u>		<u>1,736,199</u>

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

7. Grants Receivable and Grant Revenues - Federal and State (continued)

	<u>2018</u>	<u>Grants Receivable</u>	<u>Deferred Revenue</u>	<u>Grant Revenue</u>
<u>Federal</u>				
U.S. Department of Health and Human Services:				
Pass-Through from State of Connecticut				
Department of Social Services				
Family Violence Prevention Services	\$ -	-		151,817
Child Welfare Services Program	-	-		-
U.S. Department of Justice:				
Pass-Through from Connecticut Coalition				
Against Domestic Violence:				
Crime Victim Assistance	132,049	-		445,489
Child Advocate	5,682	-		18,654
Pass-Through from the State of Connecticut				
Judicial Branch Office of Victims Services:				
Crime Victim Assistance	48,361	-		403,236
U.S. Department of Housing and Urban				
Development:				
Pass-Through from City of Norwalk:				
Community Development Block Grant	-	-		11,000
Pass-Through from City of Stamford:				
Community Development Block Grant	-	-		6,229
U.S. Department of Homeland Security:				
Pass-Through from United Way of America				
Emergency Food and Shelter National				
Board Program:				
Grant to Fund Served Meals	15,000	-		15,000
Total Federal	<u>201,092</u>	<u>-</u>		<u>1,051,425</u>
<u>State of Connecticut</u>				
Department of Social Services:				
Shelter Services Program	6,600	-		65,264
Pass-Through from Connecticut Coalition				
Against Domestic Violence:				
Shelter Services Program	-	-		594,883
Judicial Branch Office of Victim Services:				
Pass-Through from Connecticut Coalition				
Against Domestic Violence:				
Victims of Crime Act Victim Assistance				
and Family Violence Court FVVA Program	2,088	-		2,088
Office of Policy and Management:				
Pass-Through from Connecticut Coalition				
Against Domestic Violence:				
Campus Safety	4,000	-		4,000
Child Advocate	1,904	-		6,254
Non Profit Grant Program	-	-		841,095
Total State of Connecticut	<u>14,592</u>	<u>-</u>		<u>1,513,584</u>
City of Norwalk	<u>-</u>	<u>-</u>		<u>6,100</u>
Total	<u>\$ 215,684</u>	<u>-</u>		<u>2,571,109</u>

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

7. Grants Receivable and Grant Revenues - Federal and State (continued)

At June 30, 2019 and 2018 various grant programs have a funding period which extends beyond June 30, 2018. A Grant receivable has been reflected in the accompanying consolidated financial statements for any programs where expenditures exceed payments received from grantors as of June 30, 2019 and 2018. Deferred revenues at June 30, 2019 and 2018 are reflected in the accompanying consolidated financial statements for any program where payments received were in excess of expenditures incurred.

The Organization purchased a building on August 21, 2017. A majority of the purchase price was provided by a grant from the State of Connecticut Nonprofit Grant Program. The purchase price of the building was \$932,199 with grant funding of \$841,095. The remaining cash due of \$91,104 was paid out of the Organization's resources.

8. Organization Facilities and Equipment

Organization facilities and equipment at June 30, 2019 and 2018 consisted of the following:

	<u>2019</u>	<u>2018</u>
Land	\$ 268,110	268,110
Buildings	915,326	915,326
Shelter furniture and fixtures	44,820	44,820
Shelter improvements	257,988	257,988
Equipment	13,416	13,416
Computer equipment and software	43,850	43,850
Office furniture and fixtures	108,525	108,525
Leasehold improvements	<u>145,761</u>	<u>145,761</u>
Total	1,797,796	1,797,796
Less: Accumulated depreciation	<u>(700,998)</u>	<u>(652,683)</u>
Total	<u>\$ 1,096,798</u>	<u>1,145,113</u>

9. Assets Restricted for Long-Term Investments

Assets restricted for long-term investment at both June 30, 2019 and 2018 consisted of interest-bearing cash of \$5,000 and \$5,000, respectively.

10. Line of Credit

The Organization has a \$100,000 line of credit from a Bank but has no balance at either June 30, 2019 or 2018.

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

11. Endowment

In June 2013 the Board approved a \$100,000 asset transfer to the Fairfield County Community Foundation, (the "FCCF"), to establish the Domestic Violence Crisis Center Endowment fund, ("the Fund"). The purpose of the Domestic Violence Crisis Center Endowment Fund is to provide a long term source of funds to support and sustain Domestic Violence Crisis Center's financial viability and advance the mission of the Organization through FCCF's larger contributor base. FCCF will annually distribute to the Organization a percentage of the Fund.

12. Net Assets with Donor Restrictions

Net assets with donor restrictions consists of an Endowment fund, Brave Wings Emergency Fund and funds held for security deposits. Income generated from this Endowment fund is expendable for purposes as set forth in the Endowment. The funds held for Brave Wing Fund and security deposits are used based on need. Total net assets with donor restrictions as of June 30, 2019 and 2018 amounted to \$46,709 and \$50,068.

Net asset with donor restrictions at June 30, are for the following purposes:

	<u>2019</u>	<u>2018</u>
Endowment	\$ 5,000	\$ 5,000
Brave Wings Emergency Fund	41,709	42,695
Shelter program:		
Security deposits	<u>-</u>	<u>2,373</u>
Total	<u>\$ 46,709</u>	<u>50,068</u>

Net assets with donor restrictions released

Net assets released from donor restrictions by incurring expenses satisfying the restricted purposes specified by the donors during the years ended June 30, were as follows:

	<u>2019</u>	<u>2018</u>
Brave Wings Emergency Fund	\$ 1,170	-
Security deposits	<u>2,373</u>	<u>1,125</u>
Total	<u>\$ 3,543</u>	<u>1,125</u>

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

13. Employee Benefits

Beginning calendar year 2009 the Organization changed the Simple IRA Plan to a 401(k) Plan (the Plan). Under the Plan, employees can contribute up to a maximum of \$18,000 for those participants under 50 years of age for the years ended 2019 and \$18,000 in 2018, and an extra \$5,500 for those over 50 years of age. The Plan allows that the Organization can elect to match from 1% to 4% of employee contributions to a maximum of 4%. For the years ended June 30, 2019 and 2018, the Organization's match amounted to \$36,546 and \$24,868, respectively.

Additionally, the Organization has instituted a Flexible Spending Accounting arrangement whereby employees can contribute a portion of their salary to an account for specified medical expenditures and dependent care expenses on a pretax basis. The employees must use the funds contributed each year. Should amounts be left in a Flexible Spending Account at the end of the specified period, the excess funds revert to the Organization. During the years ended June 30, 2019 and 2018, \$- and \$-, respectively, reverted to the Organization.

14. Lease Commitment

The Organization has leases for its office and program facilities. Effective July 1, 2016, the Organization entered into a one-year lease for its Stamford facility with a one-year renewal option. Rent is based on an annual rental of \$57,820 with an annual increase of 5%. Rent expense amounted to \$- and \$32,132, for the years ended June 30, 2019 and 2018, respectively. The lease was renewed effective July 1, 2017 for six months. This lease was not renewed in January 2018.

In January 2008, the Organization executed a five-year lease for its Norwalk facility. The Lease provides for a monthly rental of \$6,100 through December 31, 2008, \$6,450 from January 1, 2009 through December 31, 2009, \$6,800 from January 1, 2010 through December 31, 2010, \$7,150 from January 1, 2011 through December 31, 2011, \$7,500 from January 1, 2012 through December 31, 2012. In November 2009 the Organization amended the lease to reflect a reduction in square footage being leased by the Organization. Commencing January 1, 2010 the new lease payments are \$2,000 per month through December 31, 2012. On January 1, 2013 the Organization exercised the extension option of the lease agreement. The extension option extends the term of the lease for an additional five year period with annual increases in rent. In May 2017 the lease was amended to extend the lease through December 31, 2025. Rent expense amounted to approximately \$30,389 and \$30,388 for the years ended June 30, 2019 and 2018, respectively.

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

14. Lease Commitment (continued)

In December 2009, the Organization executed a five-year two-month lease ending January 31, 2015 for the property at 777 Summer Street with a 3 year renewal option. The Organization exercised the extension option of the lease agreement in February 2015. The extension option extends the term of the lease for an additional three year period with annual increases in rent. at the expiration of this lease. Rent expense amounted to approximately \$63,111 and \$88,767 the years ended June 30, 2019 and 2018, respectively. The Organization did not renew this lease at its expiration

On October 24th 2018 the Organization signed a new 10 year lease for the property at 1111 Summer Street beginning July 1st 2019.

Minimum future payments at June 30, 2019 under the Organizations operating leases are:

<u>Years Ending June 30,</u>	<u>Amount</u>
2020	\$ 122,791
2021	125,049
2022	128,317
2023	129,754
2024	132,398
Thereafter	<u>577,977</u>
Total	<u>\$ 1,216,286</u>

In addition, the Organization reflected \$14,200 and \$14,200 in occupancy expenses for the years ended June 30, 2019 and 2018, respectively, resulting from the in-kind contribution of the use of space at the Norwalk and Stamford Courthouses.

15. Uncertain Tax Positions

The Organization is exempt from federal income taxes under Section 501(c)(3) of the Internal Revenue Code, except on net income derived from unrelated business activities. The Organization does not have business activities currently subject to tax on unrelated business income. The Organization believes that it has appropriate support for any tax positions taken, and as such, does not have any uncertain tax positions that are material to the financial statements. The Organization has no open tax year prior to June 30, 2016.

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

16. Fund-Raising Events and Expenses

Fund-raising events revenues and expenses for the years ended June 30, 2019 and 2018 consisted of the following:

	<u>2019</u>		
	Fall Harvest <u>Event</u>	Voices of Courage Spring <u>Luncheon</u>	<u>Total</u>
Revenues collected	\$ <u>41,522</u>	\$ <u>131,693</u>	\$ <u>173,215</u>
Expenses			
Event expense	<u>17,510</u>	<u>35,026</u>	<u>52,536</u>
Net	\$ <u>24,012</u>	\$ <u>96,667</u>	\$ <u>120,679</u>
	<u>2018</u>		
	Fall Harvest <u>Event</u>	Voices of Courage Spring <u>Luncheon</u>	<u>Total</u>
Revenues Collected	\$ <u>-</u>	\$ <u>205,330</u>	\$ <u>205,330</u>
Expenses			
Event expenses	<u>-</u>	<u>47,945</u>	<u>47,945</u>
Net	\$ <u>-</u>	\$ <u>157,385</u>	\$ <u>157,385</u>

In 2018 DVCC launched the Brave Wings Emergency Fund. This campaign is designed to provide clients financial assistance that face extraordinary hardships and will be managed independently by the BWEF Committee. The campaign premiered as part of DVCC's 2018 Voices of Courage annual spring luncheon fundraiser which brought in a total of \$284 and is included in the Voices of Courage annual spring luncheon revenue.

17. Accounting Pronouncements Adopted

In August 2016, the FASB issued ASU 2016-14, "Presentation of Financial Statements of Not-for-Profit Entities" (Topic 958). The ASU amends the current reporting model for nonprofit organizations and enhances their required disclosures. The new accounting standard addresses the complexity and understandability of net asset classification, deficiencies in information about liquidity and availability of resources, and the lack of consistency in the type of information provided about expenses and investment return. We have implemented ASU 2016-14 and have adjusted the presentation in these financial statements accordingly.

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Consolidated Financial Statements (continued)

June 30, 2019 and 2018

18. Prior Year Information

The Consolidated financial statements include certain prior year summarized comparative information in total but not by net asset class. Such information does not include sufficient detail to constitute a presentation in conformity with accounting principles generally accepted in the United States of America. Accordingly, such information should be read in conjunction with the Organization's consolidated financial statements at June 30, 2018 and for the year ended, from which summarized information was derived.

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING
AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS
PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

To the Board of Directors
Domestic Violence Crisis Center, Inc. and Affiliate:

We have audited, in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States the financial statements of Domestic Violence Crisis Center, Inc. and Affiliate, which comprise the statement of financial position as of June 30, 2019, and the related statements of activities, and cash flows for the year ended, and the related notes to the financial statements, and have issued our report thereon dated March 13, 2020.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered Domestic Violence Crisis Center, Inc. and Affiliate's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of Domestic Violence Crisis Center, Inc. and Affiliate's internal control. Accordingly, we do not express an opinion on the effectiveness of Domestic Violence Crisis Center, Inc. and Affiliate's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A material weakness is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis. A significant deficiency is a deficiency, or combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether Domestic Violence Crisis Center, Inc. and Affiliate's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of This Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the result of that testing, and not to provide an opinion on the effectiveness of Domestic Violence Crisis Center, Inc. and Affiliate's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering Domestic Violence Crisis Center, Inc. and Affiliate's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Toms River, New Jersey
March 13, 2020

Imp, Perry and Co Day LLP

INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE FOR EACH MAJOR PROGRAM
AND ON INTERNAL CONTROL OVER COMPLIANCE REQUIRED BY THE UNIFORM GUIDANCE

The Board of Trustees
Domestic Violence Crisis Center, Inc. and Affiliate:

Report on Compliance for Each Major Federal Program

We have audited Domestic Violence Crisis Center, Inc. and Affiliate's compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of Domestic Violence Crisis Center, Inc. and Affiliate's major federal programs for the year ended June 30, 2019. Domestic Violence Crisis Center, Inc. and Affiliate's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

Auditor's Responsibility

Our responsibility is to express an opinion on compliance for each of Domestic Violence Crisis Center, Inc. and Affiliate's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about Domestic Violence Crisis Center, Inc. and Affiliate's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of Domestic Violence Crisis Center, Inc. and Affiliate's compliance.

Opinion on Each Major Federal Program

In our opinion, Domestic Violence Crisis Center, Inc. and Affiliate, complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2019.

Report on Internal Control Over Compliance

Management of Domestic Violence Crisis Center, Inc. and Affiliate is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered Domestic Violence Crisis Center, Inc. and Affiliate's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Domestic Violence Crisis Center, Inc. and Affiliate's internal control over compliance.

A *deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

Toms River, New Jersey
March 13, 2020

Imp, Perry and Company LLP

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER COMPLIANCE; AND REPORT
ON THE SCHEDULE OF EXPENDITURES OF STATE FINANCIAL ASSISTANCE REQUIRED
BY THE STATE SINGLE AUDIT ACT

The Board of Trustees
Domestic Violence Crisis Center, Inc. and Affiliate:

Report on Compliance for Each Major State Program

We have audited Domestic Violence Crisis Center, Inc. and Affiliate's compliance with the types of compliance requirements described in the Office of Policy and Management's *Compliance Supplement* that could have a direct and material effect on each of Domestic Violence Crisis Center, Inc. and Affiliate's major state programs for the year ended June 30, 2019. Domestic Violence Crisis Center, Inc. and Affiliate's major state programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with the requirements of laws, regulations, contracts and grants applicable to its state programs.

Auditors' Responsibility

Our responsibility is to express an opinion on compliance for each of Domestic Violence Crisis Center, Inc. and Affiliate's major state programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the State Single Audit Act (C.G.S. Sections 4-230 to 4-236). Those standards and the State Single Audit Act require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major state program occurred. An audit includes examining, on a test basis, evidence about Domestic Violence Crisis Center, Inc. and Affiliate's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major state program. However, our audit does not provide a legal determination of Domestic Violence Crisis Center, Inc. and Affiliate's compliance.

Opinion on Each Major State Program

In our opinion, Domestic Violence Crisis Center, Inc. and Affiliate, complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major state programs for the year ended June 30, 2019.

Report on Internal Control Over Compliance

Management of Domestic Violence Crisis Center, Inc. and Affiliate is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered Domestic Violence Crisis Center, Inc. and Affiliate's internal control over compliance with the types of requirements that could have a direct and material effect on each major state program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing our opinion on compliance for each major state program and to test and report on internal control over compliance in accordance with the State Single Audit Act, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of Domestic Violence Crisis Center, Inc. and Affiliate's internal control over compliance.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a state program on a timely basis. A material weakness in internal control over compliance is a deficiency, or combination of deficiencies, in internal control over compliance such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a state program will not be prevented, or detected and corrected, on a timely basis. A significant deficiency in internal control over compliance is a deficiency, or combination of deficiencies, in internal control over compliance with a type of compliance requirement of a state program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the State Single Audit Act. Accordingly, this report is not suitable for any other purpose.

Report on Schedule of Expenditures of State Financial Assistance Required by the State Single Audit Act

We have audited the financial statements of Domestic Violence Crisis Center, Inc. and Affiliate, as of and for the year ended June 30, 2019 and have issued our report thereon dated March 13, 2020, which contained an unmodified opinion on those financial statements. Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying schedule of expenditures of state financial assistance is presented for purposes of additional analysis as required by the State Single Audit Act and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of state financial assistance is fairly stated in all material respects in relation to the financial statements as a whole.

Toms River, New Jersey
March 13, 2020

Imp, Kelly and Company LLP

Domestic Violence Crisis Center, Inc. and Affiliate

Schedule of Expenditures of Federal Awards

For the Year Ended June 30, 2019

<u>Pass-Through Grantor/Program Title</u>	<u>Federal CFDA Number</u>	<u>Pass-Through Entity Identifying Number</u>	<u>Expenditures</u>
U.S. Department of Justice:			
Pass-through from Connecticut			
Coalition Against Domestic Violence:			
Violence Against Women Formula Grant	16.575	2015-VA-GX-0016	\$ 24,256
Crime Victim Assistance	16.575	2016-VA-GX-0025	382,641
Child Advocate	16.588	2016-WF-AX-0004	9,457
Child Advocate	16.588	2017-WF-AX-0032	11,567
Law Enforcement Advocacy	16.588	2015-WF-AX-0028	10,012
Pass-through from State of Connecticut, Judicial Branch Office of Victims Services			
Crime Victim Assistance	16.575	2016-VA-GX-0016	456,626
U.S. Department of Homeland Security:			
Pass-through from United Way of Western Connecticut:			
Emergency Food and Shelter National Board Program	97.024		18,075
U.S. Department of Health and Human Services Administration for Children and Families:			
Pass-through from State of Connecticut Department of Social Services:			
Family Violence Prevention and Services	93.671		151,112
Low Income Home Energy Assistance	93.671		2,000
U.S. Department of Housing and Urban Development:			
Passthrough from City of Stamford:			
Community Development Block Grants	14.218		<u>6,100</u>
Total Expenditures of Federal Awards			\$ <u>1,071,846</u>

Domestic Violence Crisis Center, Inc. and Affiliate
Schedule of Expenditures of State Financial Assistance
For the Year Ended June 30, 2019

<u>Pass-Through Grantor/Program Title</u>	<u>State Grant Program Core- CT Number</u>	<u>Expenditures</u>
Connecticut Department of Social Services:		
Passthrough Connecticut Coalition		
Against Domestic Violence:		
Shelter Services Program (Domestic Violence) (SSP)	11000-06100-16271	\$ 561,022
Shelter Services Program (Domestic Violence) (SSP) DSS-MLS	11000-06100-35132	24,410
Connecticut Office of Policy and Management:		
Passthrough Connecticut Coalition		
Against Domestic Violence:		
Law Enforcement Advocacy	11000-OPM20350-12251	3,338
Child Advocate	11000-OPM20350-12251	6,319
Campus Safety		4,000
 Connecticut Judicial Branch Office of Victims Services:		
Passthrough Connecticut Coalition		
Against Domestic Violence:		
Victims of Crime Act Victim Assistance and Family Violence		
Court FVVA Program:		
State General Funds	11000-95810-12047	<u>65,264</u>
 Total Expenditures of State Financial Assistance		 \$ <u><u>664,353</u></u>

Domestic Violence Crisis Center, Inc. and Affiliate

Notes to Schedule of Federal Awards

For the Year Ended June 30, 2019

1. Basis of Presentation

The accompanying schedule of expenditures of federal awards includes the federal grant activity of Domestic Violence Crisis Center, Inc. and Affiliate, and is presented on the accrual basis of accounting. The information in this schedule is presented in accordance with the requirements of the Uniform Guidance. Therefore, some amounts presented in this schedule may differ from amounts presented in, or used in the preparation of the basic financial statements.

Domestic Violence Crisis Center, Inc. and Affiliate
Notes to Schedule of Expenditures of State Financial Assistance
For the Year Ended June 30, 2019

The accompanying schedule of expenditures of state financial assistance includes state grant activity of Domestic Violence Crisis Center, Inc. and Affiliate under programs of the State of Connecticut for the fiscal year ended June 30, 2019. Various departments and agencies of the State of Connecticut have provided financial assistance through grants and other authorizations. These financial assistance programs fund several programs including counseling, community education, victim advocacy and shelter for victims of domestic violence and their children.

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The accounting policies of Domestic Violence Crisis Center, Inc. and Affiliate conform to accounting principles generally accepted in the United States of America as applicable to not-for-profit agencies.

The information in the Schedule of Expenditures of State Financial Assistance is presented based upon regulations established by the State of Connecticut, Office of Policy and Management.

Basis of Accounting

The expenditures reported on the Schedule of Expenditures of State Financial Assistance, are reported on the accrual basis of accounting. In accordance with Section 4-236-22 of the Regulations to the State Single Audit Act, certain grants are not dependent on expenditure activity, and accordingly, are considered to be expended in the fiscal year of receipt. These grant program receipts are reflected in the expenditures column of the Schedule of Expenditures of State Financial Assistance.

Domestic Violence Crisis Center, Inc. and Affiliate
Schedule of Findings and Questioned Costs - Federal Awards
For the Year Ended June 30, 2019

I. Summary of Auditor's Results

Financial Statement Section

- | | |
|---|------------|
| 1. Type of auditor's report issued: | Unmodified |
| 2. Internal control over financial reporting | |
| a. Material Weakness(es) identified? | No |
| b. Were significant deficiencies identified not considered to be material weaknesses? | No |
| 3. Noncompliance material to the financial statements? | No |

Federal Awards Section

- | | |
|--|------------|
| 1. Dollar threshold used to distinguish between type A and type B programs: | \$750,000 |
| 2. Auditee qualified as low-risk Auditee? | Yes |
| 3. Type of auditor's report on compliance for major programs: | Unmodified |
| 4. Internal Control over compliance: | |
| a. Material Weakness(es) identified? | No |
| b. Were significant deficiencies identified not considered to be material weaknesses? | No |
| c. Any audit findings that are required to be reported in accordance with section .516(a) of the Uniform Guidance? | No |
| 5. Identification of major programs: | |

<u>CFDA Number</u>	<u>Name of Federal Program</u>
16.575	Crime Victim Assistance

Domestic Violence Crisis Center, Inc. and Affiliate
Schedule of Findings and Questioned Costs - Federal Awards (continued)
For the Year Ended June 30, 2019

II. Financial Statement Findings

No matters were reported

III. Federal Financial Assistance Findings and Questioned Costs

No matters were reported

IV. Prior Year Findings and Questioned Costs

No matters were reported

Domestic Violence Crisis Center, Inc. and Affiliate
Schedule of Findings and Questioned Costs - State Financial Assistance
For the Year Ended June 30, 2019

I. Summary of Auditor's Results

State Financial Assistance Section

Type of auditor's report issued: Unmodified

Internal control over financial reporting:

- a. Material Weakness(es) identified? No
- b. Significant deficiencies identified? None reported

Noncompliance material to financial statements noted? No

State Financial Assistance

Internal control over major programs:

- a. Material weakness(es) identified? No
- b. Significant deficiency(ies) identified? None reported

Type of auditor's opinion issued on compliance for major programs: Unmodified

Any audit findings that are required to be reported in accordance with Section 4-236-24 of the Regulations to the State Single Audit Act? No

The following schedule reflects the major programs included in the audit:

<u>State Grantor and Program</u>	<u>State Core C-T Number</u>	<u>Expenditures</u>
Connecticut Department of Social Services:		
Shelter Services Program (Domestic Violence) (SSP)	11000-06100-16271	\$ 561,022
Dollar threshold used to distinguish between type A and type B programs		\$ 100,000

II. Financial Statement Findings

No matters were reported

III. State Financial Assistance Findings and Questioned Costs

No matters were reported

ELDERHOUSE

**NORWALK REDEVELOPMENT AGENCY obo CITY OF NORWALK
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG-CV) PROGRAM
APPLICATION FORM FOR CDBG-CV FUNDS**

Applicant Agency/Organization Name: ElderHouse, Inc.

President/CEO/Executive Director's Contact Information:

Denise Cesareo, dcesareo@elderhouse.org, 203-847-1998

Type of Organization: Nonprofit adult day center

Applicant Mailing Address: 7 Lewis Street, Norwalk CT 06851

Project Location Address: 7 Lewis Street, Norwalk CT 06851

Age of Building (Public Facility/Housing Applications Only): N/A

Contact Person (designated contact person for the project/proposal):

Name: Denise Cesareo

Title: Executive Director

Phone #: 203-847-1998

Email Address: dcesareo@elderhouse.org

Proposed Project/Activity Name: COVID-19 Program Enhancement Project

Brief Description of the Proposed Project/Activity: The grant project will respond to the immediate, transitional and post-COVID-19 needs through achievement of the following goals: 1) help ensure the wellbeing of our vulnerable seniors, 2) prevent unnecessary use of the emergency room and emergency response, 3) help keep vulnerable seniors from placement in nursing facilities, 4) reduce the feelings associated with isolation, and 5) support the 24/7 efforts of family caregivers.

I certify that all information provided is correct to the best of my knowledge.

 Executive Director 
Name, Title & Signature Date

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

PART 1. GENERAL INFORMATION**ORGANIZATION**

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

ElderHouse is a non-profit medical model adult day care center whose mission is to provide frail aging seniors with a safe, nurturing environment where they can share time with others while receiving the care they need. Our accredited program improves quality of family life by stabilizing the health and providing supervision to seniors with chronic conditions, while giving caregivers peace of mind.

ElderHouse has served the community for 43 years. No other Norwalk-based program provides area residents with a broad range of comprehensive care services specific to meet the needs of older frail adults and their caregivers. ElderHouse has successfully provided affordable, high quality adult day services that helped enable thousands of frail older adults to safely live at home as they age. We can respond to the needs of people with chronic conditions through our:

- 1) Comprehensive adult day services that address both their health and social care needs. ElderHouse provides a safe environment where older seniors, who if left home without supervision may be at risk for falls, wandering, overmedicating, self-neglect and depression, benefit daily from peer socialization and engagement with a team of health care professionals. Six days per week older adults are offered door-through-door transportation to ElderHouse receiving these services to help improve health outcomes:
 - Nursing Services – On-site nursing, medication administration, coordination with personal physician, help with hygiene from certified nursing assistants
 - Memory Care - Staff trained in dementia, personal care, individualized engagement, memory enhancement programs, daily supervision in a safe and secure facility
 - Recreation Programs - Daily exercise, art and leisure activities, pet therapy, modified sports, concerts and performances
 - Meals - Nutritious lunch, healthy snacks, dietary monitoring
 - Caregiver Support - Weekday respite until 5:00pm, Saturday hours, counseling and support groups
- 2) Affordable all-inclusive single daily rate with no extra or hidden fees, even as more care is needed due to disease progression
- 3) Mission to enroll all seniors who need services regardless of their ability to pay

Our 2019 program survey validates the positive impact we have made in the lives of our senior clients and their family caregivers: 100% of eligible seniors received services at reduced costs; 100% of enrolled clients benefited from assistance with disease management, significantly reducing emergency room visits and hospitalizations; and 98% of caregivers surveyed reported a better quality of life for their elderly family member and themselves.

ElderHouse is one of the state's most highly rated adult day programs achieving certification with commendation every review period by the CT Association of Adult Day Services. As a result of our success, ElderHouse is recognized as a leader, serving as: commissioner on the CT Commission on Aging and CT Commission on Women, Children & Seniors; advisory committee member of the Department of Social Services and Southwestern Agency on Aging; and board officer for CT Association of Adult Day Services and Norwalk Senior Services Coordinating Council. We have also been recognized with the Certificate of National Merit for Innovation, Award for Excellence from Greater Norwalk Chamber of Commerce, and SilverSource Contribution to Community Award.

ElderHouse has partnered with federally funded programs such as Southwestern Connecticut Aging on Aging and the U.S. Child and Adult Care Food Program for the past 30 years to provide minority and low-income seniors and family caregivers access to high quality adult day services.

2. Identify the "core" programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated. Example: A homeless shelter's "core" program might be its basic overnight shelter service, while it's counseling or job placement services are "support" programs.

ElderHouse's core programs, which are delivered holistically to address the multi-dimensional care needs of cognitively and physically disabled adults, include:

- Financial Assistance – ElderHouse provides financial aid with immediate enrollment in our adult day program and bases fees on a flexible, sliding fee scale to enable low-income clients to access high quality, affordable care. Each client's eligibility for financial assistance is assessed during the enrollment process. Depending on need, the financial assistance is partial day/week or up to six days per week.
- Transportation - The adult day program includes free, safe and dependable transportation to and from ElderHouse six days per week.
- Medical Monitoring/Disease Management - Includes nurse supervision of age-related disabilities and chronic diseases through daily intervention as well as monthly vitals, medication administration, early detection, health education, nutrition supervision and communication with client's family physician.
- Social Recreation/Memory Care - Therapeutic recreational programs are offered daily to promote social interaction, improve cognitive function and physical wellbeing including armchair exercises, yoga, pet therapy, memory activities, garden club, generational programs, music and modified sports.
- Personal Care/Individualized Attention - Each client receives an individualized person-centered care plan to address social, cognitive and medical needs as well as personal care, grooming and hygiene.

3. Check "YES" or "NO" to the following questions.

- | | | | |
|----|--|---|--|
| A. | Does your organization have a Board of Directors? | ☒ YES | ☐ NO |
| B. | Is your organization exempt under IRS Code 501(c) (3)? (If yes, provide documentation*) | ☒ YES | ☐ NO |
| C. | Are your organization's services available to Norwalk residents? | ☒ YES | ☐ NO |
| D. | Does your organization have an EEO Policy? (Include a copy*) | ☒ YES | ☐ NO |
| E. | If a housing provider, does your organization have a written Fair Housing Policy including accessibility (504) requirements? (Include a copy*) | ☐ YES | ☐ NO |
| F. | Does your organization have a written Procurement Policy? (Include a copy*) | ☒ YES | ☐ NO |
| G. | Is your organization considered a Faith-Based Organization? | ☐ YES | ☒ NO |
| H. | Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal* | | |
| I. | Include a copy of your written Policy on Record Keeping* | | |
| J. | Include a copy of your most current audited Financial Statements | | |

****Please note that requested documentation (from above) must be submitted to the Norwalk Redevelopment Office only if you are a new applicant or if there have been any changes to a previously filed documentation.***

PART 2. PROPOSED PROJECT/ACTIVITY**GENERAL DESCRIPTION**

1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of preventing, preparing for and/or responding to the COVID-19 outbreak. Omission of requested information may be a cause to reject application.

RESPONDING to COVID-19

ElderHouse has a 47-year history of providing services to our most vulnerable older citizens. We know from our years of experience the effort that it takes to support aging seniors who want to remain living at home, especially those with chronic conditions, like dementia, Alzheimer's, Diabetes, Parkinson's and heart disease. ElderHouse has been a leading service provider in Norwalk helping families care for their aging relatives. The COVID-19, however, puts us to the test. ElderHouse has been closed since March 16, 2020 and yet we carry on the work as best we can; making daily well-checks and delivering lunch and dinners to homebound clients, offering private caregiver counseling by phone, sending greeting cards and communicating on-line with education and activities.

Throughout the past two months, caregivers have been enormously challenged with keeping their older seniors, especially those with aging diseases, safe and well-cared for at home during the COVID-19 crisis. Caring for a frail, disabled senior without outside help is never easy. It is even more difficult now, with COVID-19 stay-at-home orders. Family caregivers, most of whom are seniors themselves, are having heightened fears about their elderly loved one and their physical and emotional wellbeing, especially if they relied on adult day programs like ElderHouse to meet their socialization and personal care needs. The inability of caregivers to depend on outside services for care and support, has led ElderHouse to find alternative solutions.

The longer the stay-at-home orders are in place, the more important these check-ins calls are to seniors and caregivers. The isolation is having a serious impact on families, many of whom have no ability to use or access to the internet. ElderHouse's staff are able to provide guidance and reassurance to stressed caregivers, and the daily connection has become a lifeline for many caregivers.

Project Goals - 1) help ensure the wellbeing of our vulnerable seniors, 2) prevent unnecessary use of the emergency room and emergency response, 3) help keep vulnerable seniors from placement in nursing facilities, 4) reduce the feelings associated with isolation, and 5) support the 24/7 efforts of family caregivers. We plan to meet these goals through these following activities:

- Sustain and Build on the Work that We are Doing - Currently, the staff at ElderHouse under the supervision of the ElderHouse's social worker and registered nurse, make daily contact with each senior identified as having at least one chronic condition. The social worker's counseling is especially helpful in relieving anxiety, and the nurse provides excellent advice with medical conditions. Currently, this program has little sustainable funding. The CARES funds would allow us to continue this important work and build in greater capacity to serve more seniors.
- Prepare for Elderhouse to Reopen - It is critical that ElderHouse have the resources necessary to re-open our day center safely. Hundreds of hours have been spent to deliver a set of protocols to meet the needs of protecting the staff and clients upon reentry. Staff training is key to prevention as is the purchase of the necessary equipment such as masks, gloves, gowns, medical supplies, cleaning supplies, etc. We are preparing to retrofit key areas in the building including the entry and client activity rooms. We will be purchasing and installing "sneeze guards" on our client transport vans. Professional cleaners will be brought in nightly to sanitize the client spaces. Special signage will need to be purchased. CARES funding would help provide these essential resources.

- **Phase I: Re-Opening to a Limited Number of Clients** - Vital to keeping vulnerable seniors at home is to give caregivers a desperately needed break. ElderHouse will open to provide a half day of respite for caregivers. The safest way to accomplish this is with a program of a one-to-one, staff-to-client ratio. This will limit the contact and number of people making contact with the senior and the staff member. By carefully selecting and limiting the number of seniors in attendance at any given time, it will be easier to reduce the possibility of spreading the infection. One staff will be designated to one client for the duration of the stay at ElderHouse. Many families who need this respite are low-income and have no means to pay for such relief. CARES funding would be used to help subsidize low-income seniors to attend ElderHouse.

Client population served - At ElderHouse, currently 76% of our chronically ill clients live at or below national poverty levels (\$12,490 for one adult) and are unable to pay market care rates. We predict this number will rise considerably after the coronavirus crisis has passed.

Our current client demographics are reflective of Connecticut's profile for older, aging adults and care needs as they progress in age.

- Age - The average client at ElderHouse is 87.5 years old with 23% being 90 years or older
- Gender - 62% are female; 38% male
- Ethnicity - African American (16%), Hispanic (6%), Caucasian (75%) and Asian (3%)
- Geographic - 80% live within the City of Norwalk; 20% reside in surrounding communities (Darien, New Canaan, Norwalk, Weston, Westport and Wilton)
- Chronic Illnesses - 56% of low-income clients served have Alzheimer's or other types of memory loss in addition to other co-existing chronic illnesses

2. Check the box that best describes the proposed project/activity.

- ☒ **Public service activity**
- ☐ **Rehabilitation activity**
- ☐ **New construction activity**
- ☐ **Real property acquisition activity (i.e. land/building).**
- ☐ **Other (explain) _____**

3. Check the box that applies to the proposed project/activity.

- ☐ **New "core" program**
- ☒ **Expansion of existing "core" program**
- ☐ **Support of existing "core" program (with no expansion)**
- ☐ **New "support" program**
- ☐ **Expansion of existing "support" program**
- ☐ **Existing "support" program (with no expansion)**
- ☐ **Other (explain) _____**

4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose? ☐ YES ☒ NO
5. How many persons or families (unduplicated #s) will the proposed project/activity serve? Indicate one as follows: # _____ Week
50 Month
_____ Year

6. How many persons or families (unduplicated #s) in Question 7, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)? # _____ Week
50 _____ Month
_____ Year
7. How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG-CV income guidelines on Page 2 of this application)? # _____ Week
50 _____ Month
_____ Year

*** Failure to answer Questions 6 – 9 may disqualify application.**

8. What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? ☒ **Name**
☒ **Address**
☒ **Income**
☒ **Other**
Check more than one box, if necessary. Note that the organization must be able to prove the income eligibility of beneficiaries.
9. Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation with the application evidencing the below qualification. Examples: Client In-take forms (no names), proposed rents, etc.

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

- ☐ **Area Benefit.** Activity meets needs of LMI persons residing in an area where at least 51% of the residents are LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood.

Documentation Attached: ☐

- ☒ **Limited Client Benefit.** Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the subcategories, check the applicable number.

Documentation Attached: ☒

- (1) Project/activity maintains client records on income and family size records documenting that such persons qualify as LMI.
- (2) Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons.
- (3) Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons.
- (4) Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.)

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? X yes ____ no

If yes, please explain: Payroll Protection Program

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ____ yes X no.

If yes, please explain below and include any letter(s) of commitment for ongoing funds or approved funds from other source(s) to assist with the proposed project that you are requesting.

If yes, what funding source?	Amount Requested	Amount Approved	Amount Pending	Amount Denied

2. What is the total cost of the proposed project? Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor and/or architect/engineer estimate.

Total cost of the project is \$20,000.

- Personnel: \$10,000
- Covid-19 Supplies: \$3,000
- Scholarships for Respite Hours: \$7,000

3. Describe your organization's fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

ElderHouse practices sound financial management and complies with generally accepted accounting principles. ElderHouse, through its advisors, is knowledgeable of and complies with all applicable laws and regulations. Accurate financial records are kept, and the financial resources are used in the furtherance of its mission. ElderHouse operates in accordance with an annual budget which has been approved by the Board of Directors:

- Files a Form 990 and is subject to an audit by an independent Certified Public Accountant. It is signed by the President of the Board.
- Prepares internal financial statements monthly, that are provided to the Board of Directors and/or its Finance Committee, identifying and explaining any material variation between actual and budgeted revenues and expenses
- Offers employees an open-door policy to report suspected financial impropriety or misuse of ElderHouse resources
- Maintains written financial policies governing: (a) investment of its assets, (b) reserve funds

4. Attach an explanation on how the proposed project will affect your administrative budget (example: additional personnel, maintenance, office space, etc.) Include an explanation on long-term plans for funding/sustaining the proposed project.

The project will enable ElderHouse to cover COVID-19 operational expenses including additional personnel, PPE items, facility upgrades, additional maintenance.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish). Activities will begin August 2020 and be completed by the end of July 2021.

PART 4. ORGANIZATIONAL EFFICIENCY

1. How many staff members will be directly associated with the proposed project?

	Professional	Support	Volunteer
Full-Time Staff	3		
Part-Time Staff	9	3	

Include a list of those involved in completing the project. The list must include: each person's name and a brief summary of job duties in relation to the proposed project.

Executive Director, Denise Cesareo: Ms. Cesareo will work with the members of the Board of Directors to evaluate current operating conditions and determine a plan to secure the resources necessary to stabilize operations and prepare for the likelihood of greater need in the community.

Director of Client Services, Sally Harding MSW: Ms. Harding has served ElderHouse for over 20 years. In her position, Ms. Harding manages the day to day client experience and oversees the nursing staff, recreation team, and van drivers. Ms. Harding's responsibilities include the support of caregivers through private counseling and support groups. Sally Harding holds an MSW from Southern CT State University.

Registered Nurse, Donna Madalon: Registered Nurse, holds a degree from Pace University and has over 20 years' experience in geriatric care. At ElderHouse, she oversees the licensed practical nurse, health aides and nutrition aide and is responsible for medical monitoring, nursing care, administering medication and overseeing client dietary requirements.

2. If your organization has an elected or appointed board, complete the questions below.

NAME OF BOARD/COMMITTEE: ElderHouse Board Members

List the names of the individuals on the board and the position they may hold on the board.

- 1) President: Ruben A. Nogueira, - Alera Group
- 2) Vice President: Meredith H. DeRosa, - William Pitt Sotheby's International Realty
- 3) Treasurer: Colin J. Kelly - Janney Montgomery Scott, LLC
- 4) Secretary: Renee Ostaszewski, - Southbury Senior Center
- 5) Diane Allison, Esq. - Gunn, Godfrey & Allison
- 6) Joyce DePanfilis Bretherton - Norwalk Hospital
- 7) Charles F. Carroll, Esq. - Covington & Burling, LLP
- 8) Paul Garavel - Garavel Auto Group
- 9) George Herring - Patriot Bank
- 10) Jennifer Kelly- Tauck
- 11) Peter Murphy - Marsh & McLennan Agency NE
- 12) Nancy S. Romberg - Fairfield County Bank
- 13) Richard Tavella - Rick's Main Roofing
- 14) Ellen Willis - Non-for-profit Consultant
- 15)

- a. Number of voting board members as of January 1, 2020 14 Vacancies? 1
- b. How many board members reside within the City of Norwalk? 9
- c. How are the board members chosen? - New Board members are recruited through referrals and community outreach, interviewed, then voted in by the majority of existing members.
- d. Does your organization provide any board training and/or orientation? ☒ yes ☐ no
If so, how often is training provided?
- e. How long is a term? 1 year How many consecutive terms may be served? 2

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. Has the organization attempted to coordinate the project with other agencies to avoid duplication of services? ☐ yes ☐ no If yes, please explain.
2. Identify other agencies in Norwalk (including non-profit and government) that provide services similar to your proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies?

ElderHouse's grant project will collaborate with the following human service agencies to fill gaps in senior care services:

- Connecticut Adult Family Living Program – ElderHouse offers a state supported Adult Family Living Service that offers guidance and financial support to caregivers, helping them to succeed in caring for their elders at home. Caregivers receive expert advice on managing daily tasks and a monthly tax-free stipend. This monthly payment affords caregivers the opportunity to be compensated for the care and assistance they give to seniors.
- Alzheimer's Association – ElderHouse develops programs with the Alzheimer's Association to address the needs of adults with early onset Alzheimer's disease in those younger than 65. The programming will be conducted as a memory workshop offering activities specific to the needs of younger adults with memory loss as well as support for family caregivers.
- Veteran's Administration – ElderHouse reaches out to local Veterans groups in a collaborative effort to offer care services in the local community to Veterans. ElderHouse was recently approved as a VA provider of community services.

3. Identify other agencies in Norwalk that provide services directed toward the same target beneficiaries of your proposed project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?

- Norwalk Hospital (Nuvance Health) – ElderHouse has been working with Norwalk Hospital on a community initiative to reduce emergency room use and readmission rates for senior adults. Over the past 12 months, ElderHouse has developed and maintained a critical partnership with their Community Care Team, a collaborative community outreach initiative, to reduce repeat emergency room use and hospital admissions for adults aged 65 and older, one of the highest users of hospital care. Through the Community Care Team, ElderHouse works with hospital staff, physician offices, representatives from EMS and Norwalk police, the Department of Protective services and other organizations to identify these seniors and connect them to coordinated medical management and senior care services, including those offered at ElderHouse.

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants:

ORGANIZATION NAME: ElderHouse, Inc.

Organization is:

1. Corporation ()
2. Non-Profit 501(c)(3) (✓)
3. Partnership ()
4. Sole Owner ()
5. Association ()
6. Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the above-mentioned organization or project proposed.

Not applicable

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a potential "financial interest" in the organization or project.

Not applicable

NOTE: If the applicant has provided names in question 1 or 2, please provide details regarding any known potential conflicts of interest in an attached narrative.



A caring place for seniors. A caring place for the day.

CLIENT INTAKE

Intake Person: _____ Date: _____

Referred By: _____

CLIENT DEMOGRAPHICS

Client Name: _____ Nickname: _____ ☐ M ☐ F

Address: _____

☐ Norwalk ☐ Westport ☐ Weston ☐ Wilton ☐ Darien Other: _____

Home Phone: _____ Name of Housing Complex: _____

Type of Housing: ☐ Pvt. Home ☐ Pvt. Apt ☐ Sr. Housing ☐ Other: _____

☐ Cong. Housing ☐ Public Housing ☐ Nursing Home

Current Age: _____ Date of Birth: _____

Place of Birth: _____ First Language: _____

Race: _____ Religion: _____

Veteran: ☐ Yes ☐ No Branch of Service: _____ Citizen: ☐ Yes ☐ No

Soc. Sec. #: _____ Medicare #: _____ Medicaid #: _____

FAMILY

Marital Status: ☐ M ☐ W ☐ D ☐ SEP ☐ NM Since: _____ Spouse: _____

Children: #: _____ Names: _____

Grandchildren: #: _____ Names: _____

HOUSING

Lives with: _____

Relationship: _____ Since: _____

Moved from: _____ When: _____

EDUCATION

Highest Level of Education: _____ Where: _____

Occupational History: _____

INTERESTS

Leisure Activities: Past: _____ Present: _____

Skills and Interests: _____

Caregiver Expectations: _____

HEALTH STATUS

Primary Diagnosis: _____

Secondary Diagnosis: _____

Medical History: _____

Psychiatric History: _____

Last Hospitalization/Reason: _____

Presenting Problem: _____

Physicians/Specialists:

Name	Address	Phone
1.		
2.		

Date of Last Full Physical Exam by Primary Care Physician (must be within last 12 months): _____

Drug Strength	Frequency/Mode	Prescribed for	Side Effects	At ElderHouse
				☐ Yes ☐ No
				☐ Yes ☐ No
				☐ Yes ☐ No
				☐ Yes ☐ No
				☐ Yes ☐ No
				☐ Yes ☐ No
				☐ Yes ☐ No
				☐ Yes ☐ No
				☐ Yes ☐ No

Who is responsible for daily dosage at home? ☐ Self ☐ Other: _____**Dietary Restriction:** _____**Allergies:** _____

Sight	☐ No Corrective Lens	☐ Reading Glasses Only	☐ Always Wears Glasses	
Hearing	☐ Good	☐ Fair	☐ Poor/Left	☐ Poor/Right
	☐ Left Hearing Aid	☐ Right Hearing Aid	☐ Comment:	
Mobility	☐ Independent	☐ Assist	☐ Cane	☐ 4-Prong Cane
	☐ Walker	☐ Wheelchair	☐ Comment:	
Toileting	☐ Independent	☐ Needs Reminding	☐ One Person Assist	
	☐ Two Person Assist	☐ Wears Protection	☐ Catheter	
Appetite	☐ Good	☐ Bad	☐ Irregular	
Feeding	☐ Independent	☐ Cut	☐ Puree	
	☐ Cue	☐ Special Tools	☐ Assist	
Dentures	☐ Yes ☐ No			
Bathing	☐ Independent	☐ Family Assist	☐ ElderHouse	☐ Aide
Dressing	☐ Independent	☐ Partial Family Assist	☐ Full Family Assist	☐ Aide
Sleeping Habits	☐ Good	☐ Poor	☐ Irregular	☐ Assist w/ Meds
Speech	☐ Good	☐ Fair	☐ Difficult to Understand	
	☐ Poor Word Retrieval	☐ Word Confusion	☐ Repetitive Language Patterns	
	☐ Doesn't Speak English			
Mentation	☐ Alert	☐ Disoriented	☐ Oriented	☐ Confused
	☐ Forgetful	☐ Lethargic	☐ Depressed	☐ Agitated

SUPPORT

Outside Services	☐ Live-in	☐ Aide	☐ Bath Services Only	☐ Lifeline
	☐ Cleaning	☐ Safe Return	☐ Dispatch-A-Ride	☐ Meals on Wheels
	☐ PT	☐ OT	☐ Speech	

Other: _____

Name of Agency/Person: _____ How often? _____

Primary Caregiver: _____	
Relationship: _____	
Address: _____	Home Phone: _____
Cell Phone: _____	Email Address: _____
Employer: _____	Work Phone: _____
In case of an emergency, do we contact this person <u>first</u> ? ☐ Yes ☐ No	

Other Contact: _____

Relationship: _____

Address: _____ Home Phone: _____

Cell Phone: _____ Email Address: _____

Employer: _____ Work Phone: _____

In case of an emergency, do we contact this person first? ☐ Yes ☐ No

Other Contact: _____

Relationship: _____

Address: _____ Home Phone: _____

Cell Phone: _____ Email Address: _____

Employer: _____ Work Phone: _____

In case of an emergency, do we contact this person first? ☐ Yes ☐ No

FOLLOW UP

Visitation Day: _____ Requested Start Date: _____ Days Desired ☐ M ☐ T ☐ W ☐ TH ☐ F ☐ S

Interest in Other ElderHouse Services: ☐ Bath Service

Transportation: ☐ Self ☐ Family ☐ Aide ☐ Friend ☐ ElderHouse ☐ Norwalk Transit

Applied for Financial Assistance from Outside Sources: ☐ HCEP ☐ Respite Program ☐ Other

Is Interested in Applying for Financial Assistance from: _____

Is Financial Assistance requested from ElderHouse? ☐ Yes ☐ No

Private Payment Source: ☐ Self/Spouse ☐ Family ☐ Other: _____

Signature: _____ Date: _____

Elderhouse, Inc.

Financial Statements

June 30, 2019 and 2018

INDEPENDENT AUDITORS' REPORT

**To the Board of Directors of
Elderhouse, Inc.**

We have audited the accompanying financial statements of Elderhouse, Inc., which comprise the statements of financial position as of June 30, 2019 and 2018, and the related statements of activities, functional expenses and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Elderhouse, Inc. as of June 30, 2019 and 2018, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Report on Supplementary Information

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The supplementary Schedule of Revenue and Expenditures for Title III Projects on page 17 is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Change in Accounting Guidance

As discussed in Note 2 to the financial statements, during the year ended June 30, 2019, Elderhouse, Inc. adopted new accounting guidance resulting in a change in the manner in which it presents net assets and reports certain aspects of its financial statements. Our opinion is not modified with respect to this matter.

PKF O'Connor Davies, LLP

Stamford, CT
October 17, 2019

Elderhouse, Inc.

Statements of Financial Position

	June 30,	
	2019	2018
ASSETS		
Cash	\$ 126,645	\$ 182,966
Accounts receivable, net of allowance for doubtful accounts of \$0 and \$8,300	61,244	52,438
Investments	672,187	656,692
Prepaid expenses	5,697	5,119
Building and equipment, net	<u>1,063,360</u>	<u>1,119,351</u>
	<u>\$ 1,929,133</u>	<u>\$ 2,016,566</u>
 LIABILITIES AND NET ASSETS		
Liabilities		
Accounts payable and accrued expenses	<u>\$ 59,292</u>	<u>\$ 38,969</u>
 Net Assets		
Without donor restrictions		
Operating	172,977	209,412
Property and equipment, net	1,063,360	1,119,351
Board designated funds	<u>272,576</u>	<u>263,420</u>
Total Without Donor Restrictions	1,508,913	1,592,183
 With donor restrictions	<u>360,928</u>	<u>385,414</u>
Total Net Assets	<u>1,869,841</u>	<u>1,977,597</u>
	<u>\$ 1,929,133</u>	<u>\$ 2,016,566</u>

Elderhouse, Inc.

Statement of Activities
Year Ended June 30, 2019

	Without Donor Restrictions					
	Operating	Property and Equipment, Net	Board Designated Funds	Total Without Donor Restrictions	With Donor Restrictions	Total
REVENUE						
Program service fees	\$ 584,145	\$ -	\$ -	\$ 584,145	\$ -	\$ 584,145
Special events, net of direct donor benefit expenses of \$53,780	<u>105,993</u>	<u>-</u>	<u>-</u>	<u>105,993</u>	<u>-</u>	<u>105,993</u>
Total Revenue	690,138	-	-	690,138	-	690,138
PUBLIC SUPPORT						
Contributions	200,636	-	-	200,636	-	200,636
Government grants	102,344	-	-	102,344	-	102,344
Net assets released from restriction	<u>38,056</u>	<u>-</u>	<u>-</u>	<u>38,056</u>	<u>(38,056)</u>	<u>-</u>
Total Public Support	<u>341,036</u>	<u>-</u>	<u>-</u>	<u>341,036</u>	<u>(38,056)</u>	<u>302,980</u>
Total Revenue and Public Support	<u>1,031,174</u>	<u>-</u>	<u>-</u>	<u>1,031,174</u>	<u>(38,056)</u>	<u>993,118</u>
EXPENSES						
Program Services						
Adult day care	908,892	54,137	-	963,029	-	963,029
Family living	<u>2,923</u>	<u>-</u>	<u>-</u>	<u>2,923</u>	<u>-</u>	<u>2,923</u>
Total Program Services	<u>911,815</u>	<u>54,137</u>	<u>-</u>	<u>965,952</u>	<u>-</u>	<u>965,952</u>
Management and general	112,464	1,104	-	113,568	-	113,568
Fundraising	<u>43,330</u>	<u>-</u>	<u>-</u>	<u>43,330</u>	<u>-</u>	<u>43,330</u>
Total Expenses	<u>1,067,609</u>	<u>55,241</u>	<u>-</u>	<u>1,122,850</u>	<u>-</u>	<u>1,122,850</u>
Excess (Deficiency) of Revenue and Public Support Over Expenses	(36,435)	(55,241)	-	(91,676)	(38,056)	(129,732)
NON OPERATING ACTIVITIES						
Loss on fixed asset disposal	-	(750)	-	(750)	-	(750)
Investment return, net	<u>-</u>	<u>-</u>	<u>9,156</u>	<u>9,156</u>	<u>13,570</u>	<u>22,726</u>
Change in Net Assets	(36,435)	(55,991)	9,156	(83,270)	(24,486)	(107,756)
NET ASSETS						
Beginning of year	<u>209,412</u>	<u>1,119,351</u>	<u>263,420</u>	<u>1,592,183</u>	<u>385,414</u>	<u>1,977,597</u>
End of year	<u>\$ 172,977</u>	<u>\$ 1,063,360</u>	<u>\$ 272,576</u>	<u>\$ 1,508,913</u>	<u>\$ 360,928</u>	<u>\$ 1,869,841</u>

Elderhouse, Inc.

Statement of Activities
Year Ended June 30, 2018

	Without Donor Restrictions					
	Operating	Property and Equipment, Net	Board Designated Funds	Total Without Donor Restrictions	With Donor Restrictions	Total
REVENUE						
Program service fees	\$ 582,919	\$ -	\$ -	\$ 582,919	\$ -	\$ 582,919
Transportation services	7,980	-	-	7,980	-	7,980
Special events, net of direct donor benefit expense of \$50,592	<u>123,297</u>	<u>-</u>	<u>-</u>	<u>123,297</u>	<u>-</u>	<u>123,297</u>
Total Revenue	714,196	-	-	714,196	-	714,196
PUBLIC SUPPORT						
Contributions	181,491	-	1,000	182,491	-	182,491
Government grants	91,795	-	-	91,795	-	91,795
Net assets released from restriction	<u>13,279</u>	<u>-</u>	<u>-</u>	<u>13,279</u>	<u>(13,279)</u>	<u>-</u>
Total Public Support	<u>286,565</u>	<u>-</u>	<u>1,000</u>	<u>287,565</u>	<u>(13,279)</u>	<u>274,286</u>
Total Revenue and Public Support	<u>1,000,761</u>	<u>-</u>	<u>1,000</u>	<u>1,001,761</u>	<u>(13,279)</u>	<u>988,482</u>
EXPENSES						
Program Services						
Adult day care	760,739	54,614	-	815,353	-	815,353
Community transportation	<u>123,076</u>	<u>9,871</u>	<u>-</u>	<u>132,947</u>	<u>-</u>	<u>132,947</u>
Total Program Services	883,815	64,485	-	948,300	-	948,300
Management and general	120,604	1,315	-	121,919	-	121,919
Fundraising	<u>41,192</u>	<u>-</u>	<u>-</u>	<u>41,192</u>	<u>-</u>	<u>41,192</u>
Total Expenses	<u>1,045,611</u>	<u>65,800</u>	<u>-</u>	<u>1,111,411</u>	<u>-</u>	<u>1,111,411</u>
Transfers, net	<u>(20,718)</u>	<u>20,718</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
Excess (Deficiency) of Revenue and Public Support Over Expenses	(65,568)	(45,082)	1,000	(109,650)	(13,279)	(122,929)
NON OPERATING ACTIVITIES						
Investment return, net	<u>-</u>	<u>-</u>	<u>15,417</u>	<u>15,417</u>	<u>24,644</u>	<u>40,061</u>
Change in Net Assets	(65,568)	(45,082)	16,417	(94,233)	11,365	(82,868)
NET ASSETS						
Beginning of year	<u>274,980</u>	<u>1,164,433</u>	<u>247,003</u>	<u>1,686,416</u>	<u>374,049</u>	<u>2,060,465</u>
End of year	<u>\$ 209,412</u>	<u>\$ 1,119,351</u>	<u>\$ 263,420</u>	<u>\$ 1,592,183</u>	<u>\$ 385,414</u>	<u>\$ 1,977,597</u>

Elderhouse, Inc.

Statement of Functional Expenses
Year Ended June 30, 2019

	Program Services						
	Adult Day Care	Family Living	Total Program Services	Management and General	Fund- raising	Direct Donor Benefit	Total
PERSONNEL COSTS							
Salaries	\$ 531,001	\$ 2,923	\$ 533,924	\$ 63,437	\$ 34,767	\$ -	\$ 632,128
Employee benefits	103,977	-	103,977	12,354	6,771	-	123,102
Payroll taxes	<u>52,824</u>	<u>-</u>	<u>52,824</u>	<u>5,909</u>	<u>355</u>	<u>-</u>	<u>59,088</u>
Total Personnel Costs	687,802	2,923	690,725	81,700	41,893	-	814,318
OTHER THAN PERSONNEL COSTS							
Transportation expenses	20,303	-	20,303	-	-	1,830	22,133
Event venue and catering expenses	-	-	-	-	-	50,550	50,550
Personal care and meals	39,866	-	39,866	-	-	-	39,866
Program supplies	56,431	-	56,431	-	-	-	56,431
Cleaning service	15,138	-	15,138	1,618	537	-	17,293
Utilities	16,391	-	16,391	1,751	581	-	18,723
Telephone	1,278	-	1,278	137	45	-	1,460
Office expenses and postage	3,138	-	3,138	214	274	600	4,226
Insurance	34,512	-	34,512	4,238	-	-	38,750
Repairs and maintenance	16,894	-	16,894	126	-	-	17,020
Professional fees	-	-	-	22,680	-	-	22,680
Public relations	3,154	-	3,154	-	-	800	3,954
Conference and training	2,474	-	2,474	-	-	-	2,474
Miscellaneous	<u>11,511</u>	<u>-</u>	<u>11,511</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>11,511</u>
Total Expenses Before Depreciation and Direct Donor Benefits	908,892	2,923	911,815	112,464	43,330	53,780	1,121,389
Depreciation	54,137	-	54,137	1,104	-	-	55,241
Direct donor benefits	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>(53,780)</u>	<u>(53,780)</u>
Total Expenses	<u>\$ 963,029</u>	<u>\$ 2,923</u>	<u>\$ 965,952</u>	<u>\$ 113,568</u>	<u>\$ 43,330</u>	<u>\$ -</u>	<u>\$ 1,122,850</u>

See notes to financial statements

Elderhouse, Inc.

Statement of Functional Expenses
Year Ended June 30, 2018

	Program Services			Management and General	Fund- raising	Direct Donor Benefit	Total
	Adult Day Care	Community Transportation	Total Program Services				
PERSONNEL COSTS							
Salaries	\$ 460,550	\$ 77,238	\$ 537,788	\$ 67,649	\$ 31,865	\$ -	\$ 637,302
Employee benefits	105,787	23,817	129,604	14,155	7,566	-	151,325
Payroll taxes	<u>44,238</u>	<u>5,507</u>	<u>49,745</u>	<u>5,682</u>	<u>279</u>	<u>-</u>	<u>55,706</u>
Total Personnel Costs	610,575	106,562	717,137	87,486	39,710	-	844,333
OTHER THAN PERSONNEL COSTS							
Transportation expenses	7,337	7,337	14,674	-	-	-	14,674
Event venue and catering expenses	-	-	-	-	-	50,592	50,592
Personal care and meals	43,159	-	43,159	-	-	-	43,159
Program supplies	1,524	-	1,524	-	-	-	1,524
Cleaning service	15,653	-	15,653	1,673	555	-	17,881
Utilities	14,509	-	14,509	1,550	514	-	16,573
Telephone	1,258	-	1,258	135	45	-	1,438
Office expenses and postage	4,211	-	4,211	288	368	-	4,867
Insurance	20,464	9,177	29,641	3,639	-	-	33,280
Repairs and maintenance	16,197	-	16,197	120	-	-	16,317
Professional fees	-	-	-	25,713	-	-	25,713
Public relations	14,674	-	14,674	-	-	-	14,674
Conference and training	1,017	-	1,017	-	-	-	1,017
Miscellaneous	<u>10,161</u>	<u>-</u>	<u>10,161</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>10,161</u>
Total Expenses Before Depreciation and Direct Donor Benefits	760,739	123,076	883,815	120,604	41,192	50,592	1,096,203
Depreciation	54,614	9,871	64,485	1,315	-	-	65,800
Direct donor benefits	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>(50,592)</u>	<u>(50,592)</u>
Total Expenses	<u>\$ 815,353</u>	<u>\$ 132,947</u>	<u>\$ 948,300</u>	<u>\$ 121,919</u>	<u>\$ 41,192</u>	<u>\$ -</u>	<u>\$ 1,111,411</u>

See notes to financial statements

Elderhouse, Inc.

Statements of Cash Flows

	Year Ended June 30,	
	2019	2018
CASH FLOWS FROM OPERATING ACTIVITIES		
Change in net assets	\$ (107,756)	\$ (82,868)
Adjustments to reconcile changes in net assets to net cash from operating activities		
Depreciation	55,241	65,800
Realized and unrealized (gains) losses on investments	21,078	(16,641)
Loss on disposal of building and equipment	750	-
Changes in operating assets and liabilities		
Accounts receivable	(8,806)	(8,357)
Prepaid expenses	(578)	2,618
Accounts payable and accrued expenses	20,323	(8,631)
Net Cash from Operating Activities	<u>(19,748)</u>	<u>(48,079)</u>
CASH FLOWS FROM INVESTING ACTIVITIES		
Purchase of building and equipment	-	(20,718)
Purchase of investments	(302,365)	(69,606)
Proceeds from sales of investments	265,792	50,607
Net Cash from Investing Activities	<u>(36,573)</u>	<u>(39,717)</u>
 Net Change in Cash	 (56,321)	 (87,796)
CASH		
Beginning of year	182,966	270,762
End of year	<u>\$ 126,645</u>	<u>\$ 182,966</u>

Elderhouse, Inc.

Notes to Financial Statements June 30, 2019 and 2018

1. Organization and Tax Status

Elderhouse, Inc. ("Elderhouse" or the "Organization") provides services to care for the wellbeing of frail older adults and support for caregivers. It operates a certified medical model adult day center where it offers a therapeutic supportive environment in a group setting to care for the needs of older adults with aging diseases and chronic conditions; primarily serving residents in the Connecticut towns of Norwalk, Westport, Wilton, Darien, and New Canaan. The Organization provides medical monitoring, therapeutic recreation, personal care, door-to-door transportation, and caregiver support services.

To serve the growing number of individuals taking on the role of caregiving, Elderhouse is also an accredited provider of Adult Family Living services. The Adult Family Living Program offers guidance and financial support to caregivers, helping them to succeed in providing the best care possible at home. Caregivers receive expert advice on managing the daily tasks associated with caring for an aging adult.

The programs Elderhouse offer provide the support and services that enable older adults to remain living with their families and in their communities.

Pursuant to a determination letter received from the Internal Revenue Service, Elderhouse is a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code.

2. Summary of Significant Accounting Policies

Basis of Presentation and Use of Estimates

The accompanying financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America ("U.S. GAAP"), which requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Accordingly, actual results could differ from those estimates.

Change in Accounting Guidance

On July 1, 2018, the Organization adopted new U.S. GAAP guidance regarding the Presentation of Financial Statements for Not-for-Profit Entities. This guidance requires Elderhouse to collapse the three-category (unrestricted, temporarily restricted, and permanently restricted) classification of net assets into two categories: without donor restrictions and with donor restrictions. In addition, the new guidance requires Elderhouse to make certain expanded disclosures relating to (1) the liquidity of financial assets; and (2) expense by both their natural and functional classification in one location in the financial statements. As a result of implementing this standard, prior year amounts for unrestricted net assets were reclassified to net assets without donor restrictions and temporarily and permanently restricted net assets were reclassified to net assets with donor restrictions.

Net Asset Presentation

Net assets without donor restrictions may be expended for any purpose in performing the primary objective of Elderhouse. Net assets with donor restrictions are subject to stipulations imposed by donors. Some donor restrictions are temporary in nature or satisfied by the passage of time. Other donor restrictions may be perpetual in nature, whereby the donor has stipulated the funds be held in perpetuity.

Elderhouse, Inc.

Notes to Financial Statements June 30, 2019 and 2018

2. Summary of Significant Accounting Policies (*continued*)

Cash and Cash Equivalents

Cash and cash equivalents consist of cash and temporary investments with a maturity of three months or less at the time of purchase.

Property and Equipment

Elderhouse records property and equipment at cost or, in the case of donated items, at fair value at the date the gift was received. Building and equipment are depreciated using the straight-line method over their useful lives which range from three to thirty-nine years.

Contributions

Contributions are recognized when the donor makes an unconditional promise to give to Elderhouse. Contributions that are restricted by the donor are reported as increases in net assets without donor restrictions if the restrictions expire in the fiscal year in which the contributions are recognized. All other donor restricted contributions are reported as increases in net assets with donor restrictions, depending on the nature of the restriction. When a restriction expires (that is, when a stipulated time restriction ends or a purpose restriction is accomplished), net assets with donor restrictions are reclassified to net assets without donor restrictions and reported in the statements of activities as net assets released from restrictions.

Contributed Services and Assets

For the years ended June 30, 2019 and 2018, no contributed services met the requirements for recognition in the accompanying financial statements. However, a substantial number of volunteers have contributed their time to Elderhouse's programs and supporting services; none of these services meet the requirements for financial statement recognition.

Allowance for Doubtful Accounts Receivable

An allowance for doubtful accounts receivable is estimated based on a combination of write-off history, aging analysis and any specific known troubled accounts.

Functional Expenses

Elderhouse allocates its expenses on a functional basis among its program and support services. Expenses that can be specifically identified with a program or support service are allocated directly according to their natural classifications. Other expenses that are common to several functions are allocated based on estimates made by management.

Connecticut Enactment of UPMIFA

U.S. GAAP guidance on net asset classification of donor restricted endowment funds for a nonprofit organization that is subject to an enacted version of the Uniform Prudent Management of Institutional Funds Act of 2006 ("UPMIFA"), requires additional disclosures about an organization's endowment funds (both donor-restricted endowment funds and board-designated endowment funds).

Elderhouse, Inc.

Notes to Financial Statements June 30, 2019 and 2018

2. Summary of Significant Accounting Policies *(continued)*

Connecticut Enactment of UPMIFA (continued)

The State of Connecticut enacted its own version of UPMIFA effective October 1, 2007, the provisions of which apply to endowment funds existing on or established after that date. The Board of Directors has determined that all of Elderhouse's net assets held in perpetuity meet the definition of endowment funds under UPMIFA.

Accounting for Uncertainty in Income Taxes

Elderhouse recognizes the effects of income tax positions only if those positions are more likely than not to be sustained. Management has determined that Elderhouse had no uncertain tax positions that would require financial statement recognition or disclosure. Elderhouse is no longer subject to examinations by the applicable taxing jurisdictions for periods prior to 2016.

Fair Value of Financial Instruments

Elderhouse follows U.S. GAAP on fair value measurements which defines fair value and establishes a fair value hierarchy organized into three levels based upon the input assumptions used in pricing assets. Level 1 inputs have the highest reliability and are related to assets with unadjusted quoted prices in active markets. Level 2 inputs relate to assets with other than quoted prices in active markets which may include quoted prices for similar assets or liabilities or other inputs which can be corroborated by observable market data. Level 3 inputs are unobservable inputs and are used to the extent that observable inputs do not exist.

Investments

Investments are reported at fair value in the statements of financial position. Realized and unrealized gains and losses, as well as interest and dividend income, are included within the change in net assets in the statements of activities.

Subsequent Events Evaluation by Management

Management has evaluated subsequent events for disclosure and/or recognition in the financial statements through the date that the financial statements were available to be issued, which date is October 17, 2019.

3. Concentrations of Credit Risk

Financial instruments that potentially subject Elderhouse to significant concentrations of credit risk consist principally of cash and investments. Certain funds maintained in cash, cash equivalent and investment accounts are not insured.

Elderhouse, Inc.

Notes to Financial Statements June 30, 2019 and 2018

4. Investments

Investments grouped by the fair value hierarchy consisted of the following at June 30:

	2019		2018	
	Cost	Fair Value	Cost	Fair Value
Level 1 Investments				
Money market funds	\$ 30,782	\$ 30,782	\$ 48,754	\$ 48,754
Mutual funds	162,329	205,513	340,389	399,149
Exchange traded funds	107,503	124,452	93,361	109,180
Equities	207,811	211,040	28,317	27,127
U.S. Government bonds	55,599	56,941	-	-
	564,024	628,728	510,821	584,210
Level 2 Investments				
Corporate bonds	42,411	43,459	75,305	72,482
	<u>\$ 606,435</u>	<u>\$ 672,187</u>	<u>\$ 586,126</u>	<u>\$ 656,692</u>

Investment returns, net for the years ended June 30 were as follows:

	2019	2018
Interest and dividends	\$ 47,424	\$ 26,999
Realized and unrealized gains (loss)	(21,078)	16,641
	26,346	43,640
Investment fees	(3,620)	(3,579)
	<u>\$ 22,726</u>	<u>\$ 40,061</u>

5. Building and Equipment

Building and equipment, net, consisted of the following at June 30:

	2019	2018
Building	\$1,164,998	\$1,164,998
Building improvements	115,733	115,733
Furniture and equipment	92,726	107,036
Transportation equipment	285,485	285,485
	1,658,942	1,673,252
Accumulated depreciation	(595,582)	(553,901)
	<u>\$1,063,360</u>	<u>\$1,119,351</u>

Elderhouse, Inc.

Notes to Financial Statements June 30, 2019 and 2018

6. Line of Credit

Elderhouse has a line of credit, which expires on January 26, 2021, with a bank in the amount of \$50,000. Outstanding borrowings bear interest at the prime rate rounded to the nearest 0.125%, but never lower than 5.25% per annum, and are unsecured. There were no outstanding balances at June 30, 2019 and 2018 on the line of credit.

7. Lease Commitments

Elderhouse leases the land upon which its facilities are located from the First Congregational Church of Norwalk. The term of the lease is forty years, expiring June 30, 2026, with an option for renewal for an additional forty years. The lease calls for rent of \$1 per year, with the entire amount payable in advance. In lieu of additional rent, the lease requires the organization to pay all maintenance, insurance and taxes on the property. At the expiration of the lease term, any building improvements made by Elderhouse will revert to the First Congregational Church of Norwalk. Since the cost of the building approximates the fair market rental of the land over the extended term of the lease, Elderhouse has not recorded any contribution income in connection with the lease transaction.

8. Retirement Plan

Elderhouse has a 401(k) plan (the "Plan") for employees. Upon employment, employees are eligible to participate in the Plan and make voluntary contributions. Employees become eligible for employer contributions after one year of service and 1,000 hours worked. Employer contributions for eligible employees are currently 5% of employees' gross salary. The Plan is fully funded on a current basis. Total expense for the years ended June 30, 2019 and 2018 was approximately \$30,000 each year.

9. Funds Held for Long-Term Investments

Elderhouse maintains donor-restricted and board-designated funds whose purpose is to provide long term support for programs. In classifying such funds for financial statement purposes as either net assets with donor restrictions or without donor restrictions, the Board of Directors looks to the explicit direction of the donor, where applicable, and the provisions of the laws of the State of Connecticut. It is the intent of the Board that a portion of income may not be withdrawn but remain for future growth. This amount will be determined by the Board of Directors on an annual basis.

Elderhouse, Inc.

Notes to Financial Statements June 30, 2019 and 2018

9. Funds Held for Long-Term Investments (*continued*)

Activity of funds held for long-term investments is as follows:

	Endowment Funds			
	Operating Without Donor Restrictions	Board Designated Without Donor Restrictions	With Donor Restrictions	Total
Balance July 1, 2018	\$ 7,858	\$ 263,420	\$ 385,414	\$ 656,692
Investment income, net	-	13,759	30,045	43,804
Capital depreciation	-	(4,603)	(16,475)	(21,078)
Transfers, net	30,825	-	(30,825)	-
Distributions / appropriations	-	-	(7,231)	(7,231)
Balance June 30, 2019	<u>\$ 38,683</u>	<u>\$ 272,576</u>	<u>\$ 360,928</u>	<u>\$ 672,187</u>

	Endowment Funds			
	Operating Without Donor Restrictions	Board Designated Without Donor Restrictions	With Donor Restrictions	Total
Balance July 1, 2017	\$ -	\$ 247,003	\$ 374,049	\$ 621,052
Contributions	-	1,000	-	1,000
Investment income, net	-	5,765	17,655	23,420
Capital appreciation	-	9,652	6,989	16,641
Transfers, net	7,858	-	(7,858)	-
Distributions / appropriations	-	-	(5,421)	(5,421)
Balance June 30, 2018	<u>\$ 7,858</u>	<u>\$ 263,420</u>	<u>\$ 385,414</u>	<u>\$ 656,692</u>

Board Designated Endowment amounts can be accessed only upon a vote of 90% of the Board of Directors.

At times, certain of Elderhouse's donor restricted endowments have experienced losses due to market fluctuations and the continuing requirements of funded programs. U.S. GAAP typically requires that such excess losses be absorbed by Elderhouse's net assets without donor restrictions and that future gains be allocated to net assets without donor restrictions until such losses have been restored. The Organization had no underwater funds at June 30, 2019 and 2018.

Elderhouse, Inc.

Notes to Financial Statements June 30, 2019 and 2018

9. Funds Held for Long-Term Investments (*continued*)

In September of 2011, Elderhouse received a term endowment gift of \$293,347; the fund's income will be used primarily to provide for the enhancement of the arts for the benefit of Elderhouse's clientele. No more than 20% of the principal may be expended to help fund a capital project. The publication of the project shall note that the fund was a contributor. Such expenditure may be made no more often than once every ten years. The term endowment gift is included in net assets with donor restrictions.

10. Liquidity and Availability

The following reflects Elderhouse's financial assets as of June 30, 2019, reduced by amounts not available for general use within one year of that date because of donor-imposed restrictions or internal designations. Amounts available include the Board-approved appropriation from the endowment fund for the following year as well as donor-restricted amounts that are available for general expenditures in the following year. Amounts not available include amounts set aside for operations and other reserves that could be drawn upon if the Board of Directors approves that action.

Total financial assets available to meet cash needs for general expenditures within one year at June 30, 2019 are as follows:

Cash	\$ 126,645
Accounts receivable	61,244
Investments	<u>672,187</u>
Financial assets at year end	860,076
Amounts unavailable for general expenditures due to:	
With donor restrictions, perpetual in nature	(50,000)
Subject to satisfaction of donor purpose restrictions	(310,928)
Board designated funds	<u>(272,576)</u>
	<u>\$ 226,572</u>

Elderhouse, Inc.

Notes to Financial Statements June 30, 2019 and 2018

11. Net Assets With Donor Restrictions

Net assets with donor restrictions consisted of the following at June 30:

	2019	2018
Subject to a specific purpose		
Term endowment	\$ 293,347	\$ 293,347
Unappropriated term endowment earnings	17,581	14,610
George F. Carroll Jr. Scholarship	<u>-</u>	<u>27,457</u>
Total Purpose Restrictions	310,928	335,414
Perpetual in nature		
Endowment fund	<u>50,000</u>	<u>50,000</u>
Total With Donor Restrictions	<u>\$ 360,928</u>	<u>\$ 385,414</u>

Donor-restricted net assets released from restrictions during the year ended June 30 were as follows:

	2019	2018
Term endowment	\$ 7,231	\$ 5,421
George F. Carroll Jr. Scholarship	28,769	5,000
Appropriated earnings on restricted endowment fund	<u>2,056</u>	<u>2,858</u>
	<u>\$ 38,056</u>	<u>\$ 13,279</u>

12. Related Party Transactions

During the year ended June 30, 2019, contributions totaling \$21,410 were received from Board Members.

In April 2019, Elderhouse completed its search for a new finance manager. The selected candidate is related to a member of the Board of Directors.

Elderhouse, Inc.

Supplementary Information

June 30, 2019

Elderhouse, Inc.

Schedule of Revenue and Expenditures for Title III Projects
Year Ended June 30, 2019

ALZHEIMER DAY CARE

Revenue	
Grant Award	<u>\$8,246</u>
Expenditures	
Salary and Benefits	<u>\$8,246</u>

ELDERHOUSE ADULT DAY CARE

Revenue	
Service Fees	<u>\$34,384</u>
Expenditures	
Salaries and Benefits	<u>\$34,384</u>

See independent auditors' report

FAMILY & CHILDREN'S AGENCY

**NORWALK REDEVELOPMENT AGENCY obo CITY OF NORWALK
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG-CV) PROGRAM
APPLICATION FORM FOR CDBG-CV FUNDS**

Applicant Agency/Organization Name: Family & Children's Agency, Inc.

President/CEO/Executive Director's Contact Information: Robert Cashel, President & CEO

Type of Organization: 501c3 non-profit social service organization

Applicant Mailing Address: 9 Mott Avenue Norwalk CT 06850

Project Location Address: 9 Mott Avenue Norwalk CT 06850 / 140 Water Street Norwalk CT 06854

Age of Building (Public Facility/Housing Applications Only): Not applicable

Contact Person (designated contact person for the project/proposal):

Name: Mary Ellen Hass

Title: COO

Phone #: (203) 855-8765

Email Address: MHass@FCAgency.org

Proposed Project/Activity Name: PPE and sanitation products to safely serve Norwalk's most vulnerable residents in light of COVID-19.

Brief Description of the Proposed Project/Activity: Family & Children's Agency is seeking \$26,000 in CDBG-CV funding to purchase Personal Protective Equipment (PPE) and EPA approved sanitation supplies to continue delivering a public service through programs that work with some of our community's most vulnerable residents.

I certify that all information provided is correct to the best of my knowledge.



May 19, 2020

Name, Title & Signature

Date

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

PART 1. GENERAL INFORMATION

ORGANIZATION

1. Provide in the space below (or on a separate page) a brief description of your organization.

Indicate if your organization has prior experience in carrying out a federally funded project/activity.

Based in Norwalk, Family & Children's Agency (FCA) is a leading nonprofit, 501(c)(3) human service organization based in that is committed to increasing the social and emotional well-being of our clients. FCA was established in 1942 as the Family Service Bureau of Norwalk. The initial focus was on counseling women and families as they sought to cope with stress, separation and loss during World War II. Today, the Agency has over 200 employees who deliver more than 30 programs aligned with our mission: Building better lives and strengthening our community by providing essential human services to children, families, adults, and seniors.

2. Identify the "core" programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated. Example: A homeless shelter's "core" program might be its basic overnight shelter service, while it's counseling or job placement services are "support" programs.

FCA works to build better lives by offering more than 30 programs that meet needs across the lifespan. We work to build families through our Foster Care and Adoption programs. We work to strengthen families through our Family Support, Child & Family Development and after school (ASPIRE) programs. We work to stabilize families through our Behavioral Health services and, for individuals experiencing homelessness, we offer a safe space to help them rebuild their lives through our Community Connections programs. Finally, we support families and the elderly with services to assist them throughout the aging process in our Home Care programs.

3. Check "YES" or "NO" to the following questions.

- | | | | |
|----|--|---|--|
| A. | Does your organization have a Board of Directors? | ☒ YES | ☐ NO |
| B. | Is your organization exempt under IRS Code 501(c) (3)? (If yes, provide documentation*) | ☒ YES | ☐ NO |
| C. | Are your organization's services available to Norwalk residents? | ☒ YES | ☐ NO |
| D. | Does your organization have an EEO Policy? (Include a copy*) | ☒ YES | ☐ NO |
| E. | If a housing provider, does your organization have a written Fair Housing Policy including accessibility (504) requirements? (Include a copy*) | ☐ YES | ☐ NO
N/A |
| F. | Does your organization have a written Procurement Policy? (Include a copy*) | ☐ YES | ☒ NO |
| G. | Is your organization considered a Faith-Based Organization? | ☐ YES | ☒ NO |
| H. | Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal* <i>Not applicable</i> | | |
| I. | Include a copy of your written Policy on Record Keeping* | | |
| J. | Include a copy of your most current audited Financial Statements | | |

****Please note that requested documentation (from above) must be submitted to the Norwalk Redevelopment Office only if you are a new applicant or if there have been any changes to a previously filed documentation.***

PART 2. PROPOSED PROJECT/ACTIVITY

GENERAL DESCRIPTION

1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of preventing, preparing for and/or responding to the COVID-19 outbreak. Omission of requested information may be a cause to reject application.

Each year, FCA works with over 13,000 clients of which 50% reside in Norwalk, approximately 7% are elderly and 17% are children. We provide an essential public service to prevent or respond to child abuse/neglect (Family Support and Foster Care), promote kindergarten readiness (Child & Family Development), close the opportunity gap among Norwalk's students (ASPIRE), work with the homeless to become self-sufficient (Community Connections), promote mental wellbeing (Behavioral Health) and support the elderly to live safely and independently (Home Care). To ensure these vulnerable client populations have a low barrier to accessing services, over 70% of our services are delivered in the home. In response to the COVID-19 epidemic, the Agency moved all of its staff to working remotely in mid-March and we continue to provide services using telehealth.

Now, as the state of Connecticut begins to enact its reopening plans, FCA is identifying its core programs that provide services that are essential to be delivered in person/in office and *not* via telehealth. One such core program is Community Connections. Here, FCA serves adults who are unsheltered or marginally housed, 100% of whom have "resided" in Norwalk for at least a portion of the year and 100% are LMI. For over 300 clients per year, the Community Connections Center provides: assistance securing state and federal benefits, case management, housing advocacy, on-site skill building workshops and referrals to additional supportive services (e.g. mental health; domestic violence) throughout the community. While Community Connections offers these support programs, an additional benefit of the Center is that it offers a safe, indoor location for adults who are homeless to be during the day, out of the extreme weather, which is more critical now than ever with little to no places to go, including local shelters. In response to the COVID-19 pandemic, when the Center reopens, we will have to follow safety protocols which will include providing employees and clients with appropriate PPE, sanitizing the Center daily and limiting capacity. These efforts are geared toward preventing the spread of the virus while also responding to the current reality we are living in and providing a public service for some of Norwalk's most vulnerable adults.

Similarly, our substance abuse program for women (Project REWARD) is a service that is critical to be provided in person. While telehealth has worked well for individual therapy, we are not able to offer groups which is a central piece of the substance abuse treatment modality. Additionally, taking into consideration that more than 85% of women in substance abuse treatment have histories of trauma, the hallmark work of Project REWARD – integrating trauma therapy into addiction treatment – is challenging to do in an emotionally safe way via telehealth and thus is a barrier to women beginning to heal from trauma and achieve sobriety. Each year, Project REWARD works with approximately 70 women, 75% of whom reside in Norwalk, 96% are LMI and the majority of whom are mothers. As FCA begins to plan to re-start in-person treatment in Project REWARD, we will need to follow similar protocols as those described for Community Connections Center: providing employees and clients with appropriate PPE, sanitizing the Center daily and using a large enough space to ensure proper social distancing. This, too, is an effort to

prevent the spread of COVID-19 while continuing to provide a public service to end addiction and the associated consequences that tend to strain our legal and child protective systems.

2. Check the box that best describes the proposed project/activity.

- ☒ Public service activity
- ☐ Rehabilitation activity
- ☐ New construction activity
- ☐ Real property acquisition activity (i.e. land/building).
- ☐ Other (explain) _____

3. Check the box that applies to the proposed project/activity.

- ☐ New “core” program
- ☐ Expansion of existing “core” program
- ☒ Support of existing “core” program (with no expansion)
- ☐ New “support” program
- ☐ Expansion of existing “support” program
- ☐ Existing “support” program (with no expansion)
- ☐ Other (explain) _____

4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose? ☐ YES ☒ NO

5. How many persons or families (unduplicated #s) will the proposed project/activity serve? Indicate one as follows:

_____ Week
_____ Month
370 / Year

6. How many persons or families (unduplicated #s) in Question 7, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)? # _____ Week
_____ Month
367 Year
7. How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG-CV income guidelines on Page 2 of this application)? # _____ Week
_____ Month
349 Year

*** Failure to answer Questions 6 – 9 may disqualify application.**

8. What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? ☒ **Name**
☒ **Address**
☒ **Income**
☐ **Other**
Check more than one box, if necessary. Note that the organization must be able to prove the income eligibility of beneficiaries.
9. Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation with the application evidencing the below qualification. Examples: Client In-take forms (no names), proposed rents, etc.

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

- ☐ **Area Benefit.** Activity meets needs of LMI persons residing in an area where at least 51% of the residents are LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood.

Documentation Attached: ☐

- ☒ **Limited Client Benefit.** Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the subcategories, check the applicable number.

Documentation Attached: ☒

- (1) Project/activity maintains client records on income and family size records documenting that such persons qualify as LMI.
- (2) Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons.
- (3) Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons.
- (4) Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.)

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? __Yes ☒ No

If yes, please explain:

Not applicable.

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? __Yes ☒ No.

If yes, please explain below and include any letter(s) of commitment for ongoing funds or approved funds from other source(s) to assist with the proposed project that you are requesting.

If yes, what funding source?	Amount Requeste	Amount Approve	Amount Pending	Amount
NOT APPLICABLE		NOT	APPLICABLE	

2. What is the total cost of the proposed project? Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor and/or architect/engineer estimate.

The total cost of the project is \$26,077 as detailed in the attached budget.

3. Describe your organization's fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

FCA's Board of Directors determines the present and future direction of the Agency by: setting overall policy; establishing goals and objectives with regular feedback and appraisal; hiring and evaluating the President & CEO; stewardship of assets; resource development; monitoring financial practices; and serving as ambassadors to the community. FCA's Finance Committee monitors the finance functions and provides accurate and timely financial information to the Board of Directors. The Committee also reviews the annual financial statements completed by independent auditors and provides advice to management and the Board of Directors to assure that the financial structure of the Corporation is adequate for current and long-term needs. This committee meets six (6) times per year and provides written financial reports to Committee members during months when meetings are not held.

The Agency follows operational procedures that address internal auditing controls. We have a comprehensive and descriptive chart of accounts that was approved by our auditor and is the basis of our general ledger. All reports generated for Agency monitoring follow the chart of accounts.

To the extent possible, the Agency separates the duties of the fiscal management team. Revenues and expenses are recorded daily by our Bookkeeping Department and bank deposits are made daily. All expenses are pre-approved by department managers or supervisors and checks are signed by the pre-approved signatories listed with our bank. Checks of more than \$5,000 require any two approved signatures. No staff financial personnel are signatories. All Agency assets are managed by the Board of Directors and require Board approval for any changes.

Additionally, each year, an independent audit firm evaluates FCA's accounting practices and financial statements. For over 20 years, the Agency has been issued a "clean audit", with the external auditor finding no material deficiencies in internal accounting practices.

4. Attach an explanation on how the proposed project will affect your administrative budget (example: additional personnel, maintenance, office space, etc.) Include an explanation on long- term plans for funding/sustaining the proposed project.

While FCA is a large organization, PPE and sanitation to simply bringing two core programs back into the office will cost the Agency over \$25,000 annually. As we create out FY21 budget, this will be included and we anticipate our budgetary gap will grow. FCA has a robust Development Department what is responsible for raising over \$2.5M each year. They will continue to actively pursue all public and private philanthropy opportunities to support this increase in our maintenance and G&A line items going forward.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish).

As long as guidance from state and local officials indicate it remains appropriate to do so, beginning in July 2020 FCA will begin to enact its plans to move the above mentioned programs back to in-office work, using the PPE, sanitation procedures and capacity limitations noted. We anticipate having to continue doing so until this public health crisis is over. As a result, as of May 2020, FCA has already begun to procure the requisite PPE and sanitation supplies needed to safely have clients and staff in the Community Connections Center and Project REWARD.

PART 4. ORGANIZATIONAL EFFICIENCY

1. How many staff members will be directly associated with the proposed project?

	Professional	Support	Volunteer
Full-Time Staff	6	1	
Part-Time Staff	1	2	

Include a list of those involved in completing the project. The list must include: each person's name and a brief summary of job duties in relation to the proposed project.

See attached.

2. If your organization has an elected or appointed board, complete the questions below.

NAME OF BOARD/COMMITTEE: Family & Children's Agency's Board of Directors

List the names of the individuals on the board and the position they may hold on the board.

Please see attached Board list.

- a. **Number of voting board members as of January 1, 2020** 30 **Vacancies?** 0

- b. **How many board members reside within the City of Norwalk?** 6

- c. **How are the board members chosen?**

The Board Governance Committee develops and modifies the criteria for Board membership and then uses this criterion to nominate proposed Officers and Directors. The committee is also responsible for Board orientation and Board succession planning. The committee's list of prospective Board members is presented in writing to the Board of Directors no later than 30 days preceding the annual meeting. This committee meets two to three (2-3) times per year.

- d. **Does your organization provide any board training and/or orientation?** ☒ yes ☐ no
If so, how often is training provided?

Orientation is provided for Board members once they have been voted onto the Board of Directors. This covers FCA's program array, fundraising activities and Board Committee opportunities (e.g. Finance Committee; Board Governance Committee etc.). Each year, Board members sign a Conflict of Interest form and are provided with on-going education around the Agency's programs and shifting community needs at Board meetings.

- e. **How long is a term?** 3 years **How many consecutive terms may be served?** Unlimited

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. **Has the organization attempted to coordinate the project with other agencies to avoid duplication of services?** ☒ Yes ☐ no **If yes, please explain.**

Through the various collective impact (Opening Doors Fairfield County; Norwalk ACTS) and community collaborations (e.g. South Western Area Agency on Aging) that FCA participates in, we have worked to identify cost-effective ways to procure PPE and sanitizing products. While we were fortunate to connect with the Grace Farms Foundation to receive some PPE (including disposable

facemasks and gloves) and a limited amount of PPE from the City of Norwalk through Deanna D'Amore (Director of Health), the Agency has prioritized this to be used by our Home Care caregivers who are working in the homes of elderly clients. We have not yet found a source of support to purchase PPE and sanitizing products for our in-office programs like the Community Connections Center and Project REWARD so that FCA can safely begin to deliver these services in person again this summer.

2. Identify other agencies in Norwalk (including non-profit and government) that provide services similar to your proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies?

FCA knows its community partners providing services to people experiencing homelessness or recovering from addictions (e.g. Open Door Shelter; Liberation Programs; Connecticut Renaissance etc.) are each endeavoring to define internal policies and procedures to begin delivering in-person services again. Since each organization is unique, our proposed project is geared specifically toward FCA's clients and employees. Having said that, FCA leadership actively participate in collective impact efforts (e.g. Opening Doors Fairfield County) and, if a collaborative opportunity to procure PPE and/or sanitizing products, we would be happy to participate. Additionally, our program leadership continually communicates with community partners to identify what other organizations are doing to adapt service delivery in the face of COVID-19 so we can share lessons learned and best practices. Finally, FCA's Executive Team regularly communicates with Lamond Daniels (Chief of Community Services) and Deanna D'Amore (Director of Health) to ensure our plans are aligned with city recommendations and that FCA can collaborate with local government, where applicable.

3. Identify other agencies in Norwalk that provide services directed toward the same target beneficiaries of your proposed project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?

While some shelters now remain open during the day, the majority of our clients are unsheltered or marginally housed and *not* engaged in the shelter system, which makes the Center their only resource. The individuals we serve at the Community Connections Center have very limited resources and often struggle to cope with day-to-day expectations. In fact, of the 320 clients served in FY19, 84% came to the Center multiple times, demonstrating what a critical community resource it is for individuals who are homeless or marginally housed.

Similarly, other organizations provide addiction treatment services (e.g. Liberation Programs) but *no* other program is **only** for women, providing substance abuse treatment at the Intensive Outpatient and Outpatient levels of care. This is essential due to the previously noted high co-occurrence of trauma and substance abuse where, oftentimes, women have been victimized by men. Having a gender-specific program provides a level of safety and security other programs cannot provide, even if they offer gender-specific groups within their programs.

While our programs are unique, FCA values collaborations and partnerships and absolutely refers to and works closely with these other providers.

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants:

ORGANIZATION NAME: Family & Children's Agency

Organization is:

1. Corporation ()
2. Non-Profit 501(c)(3) (**X**)
3. Partnership ()
4. Sole Owner ()
5. Association ()
6. Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the above-mentioned organization or project proposed.

Name, Job Title and Norwalk Redevelopment Agency Department

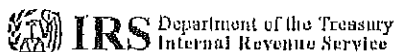
Not applicable.

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a potential "financial interest" in the organization or project.

Name/Title

Not applicable.

NOTE: If the applicant has provided names in question 1 or 2, please provide details regarding any known potential conflicts of interest in an attached narrative.



Department of the Treasury
Internal Revenue Service

P.O. Box 2508
Cincinnati OH 45201

In reply refer to: 0248325826
Nov. 24, 2008 LTR 4168C E0
06-0970985 000000 00 000
00019300
BODC: TE

FAMILY & CHILDRENS AGENCY INC
% S RICH
9 MOTT AVE
NORWALK CT 06850

7783

Employer Identification Number: 06-0970985
Person to Contact: Ms. Fox
Toll Free Telephone Number: 1-877-829-5500

Dear Taxpayer:

This is in response to your request of Nov. 13, 2008, regarding your tax-exempt status.

Our records indicate that a determination letter was issued in February 1994, that recognized you as exempt from Federal income tax, and discloses that you are currently exempt under section 501(c)(03) of the Internal Revenue Code.

Our records also indicate you are not a private foundation within the meaning of section 509(a) of the Code because you are described in section(s) 509(a)(1) and 170(b)(1)(A)(vi).

Donors may deduct contributions to you as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

If you have any questions, please call us at the telephone number shown in the heading of this letter.

Sincerely yours,

Michele M. Sullivan, Oper. Mgr.
Accounts Management Operations I

Equal Employment Opportunity

POLICY

It is the policy of Family & Children's Agency, Inc. (FCA) that applicants for employment are recruited, selected, and hired on the basis of individual merit and ability with respect to positions being filled. An integral part of this policy is to provide equal employment opportunity for all persons. FCA will administer hiring, working conditions, benefits, compensation practices, training, employment functions (including, but not limited to promotion, demotion, transfer, termination and reduction in force), and FCA-sponsored educational, social, and recreational programs, without regard to race, creed, color, religion, national origin, ancestry, alienage or citizenship status, age, disability or handicap, sex, marital status, familial status, veteran status, sexual orientation, gender identity or expression, genetic information or any other protected status.

In accordance with applicable law, and to ensure equal employment opportunities to qualified individuals with disabilities, FCA will endeavor to make reasonable accommodations for the known physical or mental disabilities of an otherwise qualified employee to enable the employee to perform the essential functions of his or her position unless the accommodation would impose an undue hardship on FCA's operations.

PROCEDURE

FCA will administer hiring, working conditions, benefits, compensation practices, training, employment functions (including, but not limited to promotion, demotion, transfer, termination and reduction in force), and FCA-sponsored educational, social and recreational programs, without regard to race color, religion, national origin, gender, age, mental or physical disability, sexual orientation, marital status, veteran status, or any other proscribed basis.

FCA shall maintain a plan for positive action to achieve equal employment for all persons in the filling of its staff positions. The Director of Human Resources shall be assigned to act as an Affirmative Action Officer for the agency.

Family & Children's Agency, Inc

Administration and Management

MANUAL SECTION: RISK PREVENTION & MANAGEMENT

REVISED: January 2017

POLICY: CASE RECORD CONTENT AND MAINTENANCE

Policy

It is the policy of Family & Children's Agency to maintain case records for all clients that contain complete, sufficient and factual documentation of services provided.

Procedure

Staff providing direct services to the Agency's clients and their supervisors are considered "authorized personnel" and are the only staff able to enter information into FCA's Electronic Health Record (EVOLV). These authorized personnel are responsible for maintaining accurate client records. Work with clients is expected to be documented in a way that identifies the client, supports the services/interventions used and documents service delivery from intake to discharge.

To do so:

- A record is opened for each primary client served at the Agency. Family members of the primary client are also entered into EVOLV if they are engaged in the Agency's services.
- Case records include demographic information of all clients served (primary clients and their family members engaged in services)
- Staff maintain case records in compliance federal/state laws (including HIPAA privacy laws) and, where applicable, adhere to contractual expectations with funders and/or billing requirements. As such, case records include:
 - Reason for referral
 - Intake and subsequent assessments
 - Legal, medical and psychiatric information (as applicable)
 - Intake documents including (but not limited to) Consent for Services and Release of Information documents signed by the client or guardian in cases where the client is a minor
 - Service plans that have been co-signed by the client (either electronically or on paper) demonstrating the client's active involvement in service planning and the development of mutually agreed upon goals
 - Progress notes documenting ongoing services at a frequency that meets the legal/contractual/billing requirements for the service

- Electronic staff signatures on all case notes, with co-signatures by a supervisor where appropriate
 - Documentation of collateral contact and coordination of care (as applicable)
 - Discharge and aftercare planning as appropriate
 - A discharge summary
- At case closure, un-summarized notes and personal observations/impressions are removed, as needed.

To ensure case records are maintained accurately and appropriately, each quarter a representative sample of client cases are reviewed through the Agency's PQI process. Each program area has a record review tool specifically designed for their records, which not only ensures consistency across reviewers but also identifies program-specific items needed to maintain compliance and high-quality content.

Family & Children's Agency, Inc.

Administration and Management

MANUAL SECTION: ETHICAL PRACTICE

REVISED: August 2013

POLICY: CLIENT RECORD RETENTION AND DESTRUCTION

Page 1 of 1

Policy:

All client records are safely retained by Family and Children's Agency for a specified period of time in accordance with state and federal laws.

Procedure

1. Unless dictated by specific state statute, all closed paper records are routinely kept in a locked file or secured area for seven (7) years. Electronic records continue to be maintained as a closed record in FCA's Electronic Health Record. If there has been no contact at all during that 7-year period, written and electronic records may be destroyed.
2. In the case of foster care records, they will be kept for a period of 25 years.
3. In the case of adoption records in which FCA is the child placing agency, records will be kept in perpetuity. Records in which an adoption has occurred are kept permanently in locked files or on CD's (archived). Those cases of couples or individuals who applied for adoption or a birthparent who was counseled regarding adoption, but no adoption ever occurred, will be destroyed after seven (7) years.
4. If services resume during the 7-year period, the records remain in our possession, the record will be reactivated and appropriately updated with new intake data.
5. All paper client records will be destroyed through shredding after the aforementioned time periods have expired. The Agency's Electronic Health Record has the capacity to securely store client records in perpetuity.

Family & Children's Agency, Inc

Human Resources

POLICY: PERSONNEL RECORDS

REVISED: August 2017

PAGE 1 OF 1

POLICY

Personnel records are the property of FCA. The information they contain is considered confidential and is disclosed only to those who have a business need to see the information they contain. Employees may view and obtain copies of their personnel records by submitting a written request to Human Resources. Human Resources will handle all requests in accordance with Connecticut state law.

Any employee who views, accesses or shares information from a personnel record without authorization is subject to disciplinary action, up to and including discharge.

PROCEDURE

Personnel files will not be permitted to be removed from agency premises, employee requests to view personnel files shall be submitted to Human Resources in writing and will be responded to in accordance with Connecticut's personnel file law.

The Agency follows operational procedures that address internal auditing controls. We have a comprehensive and descriptive chart of accounts that was approved by our auditor and is the basis of our general ledger. All reports generated for Agency monitoring follow the chart of accounts.

Summary

1. Revenues and expenses are recorded daily by our Accounting Department and bank deposits are made daily. All expenses are pre-approved by department managers or supervisors. Checks are signed by the pre-approved signatories listed with our bank and no staff financial personnel are signatories. Checks of more than \$5,000 require any two approved signatures.
2. The Agency is always very careful to maximize its resources. FCA always uses our tax-exempt status for all purchases, gets at least three bids for any large purchases or contracts, and has a centralized purchasing person who buys for all the departments. All purchase requisitions must be approved by the director of the program.
3. All Agency assets are managed by the Board of Directors and require Board approval for any changes. To the extent possible, the Agency separates the duties of the fiscal management team. An Administrative Assistant opens and distributes the mail, placing all checks in the safe. The Accounting Clerk receipts money and make deposits. Accounts Payable clerk enters cost-center manager-approved vouchers into the system for payment (Refer to Accounts Payable procedures); system-printed checks are signed and mailed (Refer to Signatories policy). The Accountant reconciles the bank statements. As stated previously, the Accountant does not sign the checks.
4. All payments to the IRS and other taxing authorities are made on a timely basis and the payroll reports are filed directly for us by ADP, the vendor who handles our payroll. During the year, the Agency operates on a modified accrual system. At the end of each fiscal year we report the final audit on the accrual method. Records of bank statements, receipts and disbursements, and monthly updating of the general ledger can be examined on site. Bank reconciliation is done monthly by the Accountant, reviewed by the Director of Finance and annually by our auditor.

Signature Authorities

Type of Expenditure or Transaction		Authority Amount by Position	
A.	<i>Business Commitments and Authorizations</i>		
1.	Proposals/grants	any	President
2.	Contracts	any	President
B.	<i>Banking and Financing</i>		
1.	Password access to bank accounts	na	Vice President/CFO Director of Finance
2.	Authorized to negotiate and commit the Corporation to financing arrangement (with approval of the full Board of Directors upon recommendation of the Finance Committee)	any	President
3.	Authorized to execute investments	any	Endowment Committee
C.	<i>Personnel Matters</i>		
1.	New hires of the President	Director of HR with approval	
2.	Temporary employees or contract labor personnel	Vice Presidents with approval of the President	
3.	Transfers or changes in labor classification (direct to indirect and vice versa)	Program Vice President	
4.	Employment agency fees and/or employment advertising	Program Manager, Vice President and Director of HR	
5.	Salary action, transfer, promotion and termination	Vice President with approval of the President	
6.	Job descriptions	Program Manager and Vice President	
7.	Leave of absence	President	
8.	Education authorization and refund	Senior Management Committee	
D.	<i>Expenditures for:</i>		
1.	Major investments (capital and construction-in-progress; sale/lease- back arrangements; major modifications or betterment; intangible assets)	Over \$100,000	Board of Directors
2.	Capital asset purchases: As budgeted and approved by the Board of Directors		
		\$25,000--\$99,999	President
		Up to \$24,999	Vice President/CFO
3.	Overhead expenses These are common operating costs and occupancy expenses that can include rent, common fees, utilities, insurances, benefits, general office		

supplies (paper, etc.), etc.	up to \$4,999	Program Mgr.
	\$5,000 and over	VP/CFO
4. Consultants and representatives and executive search agreements	any	President
5. Legal fees and retainers	any	President
E. <i>Other Costs</i>		
1. Time sheet (electronic) approvals	Direct supervisor/Program Manager for each area worked in	
2. Non-Exempt overtime authorization	In advance by Program Manager	
3. Association dues – Agency Membership		President
4. Expense reports	Direct supervisor/Program Manager	
F. <i>Other Matters</i>		
1. Disposal of capital assets	Vice President/CFO	
2. Write-off of accounts receivable	Program Director and VP/COO	

Endorsement Requirements for Agency Checks

- A. All checks issued by the Agency over \$5,000 must be signed by **two** authorized officials, each of whom is independent of the control of the other person. Any one authorized signer can sign checks under this amount. The authorized signers are the:
Board Chair, Treasurer, President and/or any authorized Vice President
- B. The practice of pre-signing blank checks is a specific violation of the Organization's internal control structure.

Security of Financial Data

- A. The organization's automated accounting system will have sufficient built-in general controls and application controls to preclude unauthorized access to data.
- B. Access to any computer-based financial data will be granted on a need-to-know basis and will be restricted by a series of passwords to be revised periodically.
- C. The system's accounting data will be backed up after use and stored in a safe location (data and system files are backed-up locally and offsite); paper records are stored in locked file cabinets.

Security of Corporate Documents

Originals of the following important corporate documents will be maintained at the indicated location and its presence verified on a periodic basis (electronic versions – PDF files – are usually maintained as files in secured directories):

<u>Document</u>	<u>Location</u>	<u>Frequency of Inventory</u>
Minutes of the Board of Directors	President's Office	Bi-Monthly
Banking agreements	Finance Files	Annually

Financing documents	Finance Files	Annually
Leases	Finance Files	Annually
Insurance policies	Finance Files	Annually
Contracts and subcontracts	Finance Files	Annually

Use of Company Credit Cards

Scope of Policy

Company Credit cards may be issued to senior management based upon need and at the determination of the President/CEO and the V.P./CFO. A card will be issued to an individual only if there is a significant and ongoing requirement for the benefits provided by its usage. The President/CEO will approve all expenditures and the Finance Department will maintain close oversight and control over company credit card usage to reduce the risk of fraud.

Credit Card Usage

1. The credit card may only be used for business-reimbursable expenses. These expenses may include items such as miscellaneous purchases, travel expenses, hotel accommodations, books, subscriptions, seminars, etc., where the issuance of a check is not practicable, or where a credit card is required as the means of payment or it is needed for a deposit or to make a reservation.
2. Detailed transaction receipts supporting the credit card statement must be provided to accounting to enable payment processing by the statement due date and to serve as backup to the employee's expense report or request for reimbursement.
3. The employee may not use the credit card for cash advances or check writing privileges.
4. The credit card expenditures made by the President/CEO may be reviewed by board, finance committee, and/or audit committee chairs at any time.
5. Violations of this policy will result in termination of corporate credit card privileges and may result in disciplinary action up to and including termination of employment.
6. The Finance Committee will review periodically the list of cardholders and the individual card limits.

Credit Card Payment Processing Procedure

The agency receives one consolidated invoice for the charges on all US Bank agency credit cards. Since it is our policy to pay the entire balance to avoid interest charges, the consolidated bill allows us to make one payment (usually via ACH payment through the bank's website upon receipt of the statement (bill)) by the due date to additionally insure that late fees are eliminated.

Each card holder will receive a monthly statement – a 'pro-forma' or memo statement of the individual account / card transactions.

Processing procedure:

1. Apply the proper account code for each transaction on the statement (in the 'notation' column)
2. Attach all receipts and transaction documentation to the statement
3. Sign your statement (this signifies that all charges are proper business expenses)
4. Submit to the President for approval signature
5. President submits to Accounts Payable department for payment processing
6. Each memo statement will be matched to the official consolidated statement by A/P department.
7. Consolidated payment request will be reviewed and approved by the CFO
8. A/P prepares payment, insuring adequate time for US Bank's receipt by the due date

Credit Cardholders List

Per the Company Credit Card Usage Policy, the Finance Committee will review periodically the list of cardholders and the individual card limits.

At December, 2016, the following cards are authorized and issued:

Rob Cashel	President & CEO	\$30,200.
Rocky Rossetti	Vice President & CFO	\$25,000.
Mary Ellen Hass	Executive Vice President & COO	\$20,000.
Kathy Seiden	Vice President	\$10,000.

The Agency has a combined \$30,200 credit limit (USBank.Visa.Business).

Service Delivery Administration Standards

MANUAL SECTION: RISK PREVENTION & MANAGEMENT

REVISED: January 2017

POLICY: ESTABLISHING AND MONITORING CONTRACTS

Page 1 of 3

Policy

It is the policy of Family & Children's Agency, Inc. to use written contracts and purchase of service agreements that contain all significant terms and conditions in accordance with applicable law. The organization has a standardized system for contracting practices and conducts due diligence in all of its contracting activities.

Procedure

1. When it is determined that the agency wishes to contract with outside vendors for services needed a purchase of service (POS) agreement will be executed. Information to be included in the agreement will be:

Description of the services to be provided
Length of time of the contract
Cost for services rendered
Conditions for termination

All POS agreements will be reviewed and approved by the Executive Vice President and when necessary, the Chief Financial Officer. Ongoing monitoring and compliance with POS agreements will be the responsibility of the Human Resource & Facility Supervisor and the Chief Operating Officer/Executive Vice President.

2. When it is determined that a sub-contract is necessary in order to provide a service to our client population, the Program Director of the service identifies potential agencies with the capability and expertise to provide the service. Also considered is whether contractors meet applicable licensing standards and/or national accreditation standards. The organization must further have sufficient human and financial resources to fulfill the terms of the contract.
3. This is discussed with the COO/Executive Vice President and a decision is made based on prior experience with the agency and discussions with the Director of the potential collaborating and contracting agency.

Family & Children's Agency, Inc.

Service Delivery Administration Standards

MANUAL SECTION: RISK PREVENTION & MANAGEMENT

REVISED: January 2017

POLICY: ESTABLISHING AND MONITORING CONTRACTS

Page 2 of 3

4. These discussions are wide ranging and cover all aspects of service delivery and contracting procedures including:
 - a. administrative and programmatic accountability
 - b. reporting on the quantity and quality of services delivered under the contract
 - c. performance evaluation
5. The terms of compensation and the payment method are discussed and agreed upon.
6. Once all the terms of the service have been agreed upon, the COO/Executive Vice President will review the contract. The contract will include, among other items:
 - a. Description of the roles and responsibilities of the participating organizations
 - b. Description of the services to be provided
 - c. Eligibility criteria
 - d. Target population
 - e. Length of time of the contract
 - f. Procedure for sharing information
 - g. Conditions for termination
 - h. Expected outcomes
 - i. Cost for services rendered
7. The Executive Vice President reviews each agreement, ensures that all the terms of the agreement are consistent with what was negotiated between the Agency and the vendor, ensures compliance by the Agency to all reporting requirements, both programmatic and financial, and that the Agency can meet all statutory requirements. If necessary, the agreement is reviewed by the CFO/Vice President of Finance to review the budget and all other financial aspects of the contract. All contracts must comply with the Agency's mission and purpose. Upon satisfactory review the Executive Vice President and the CFO/Vice President of Finance, the contract is presented to the President/CEO for signature.

Service Delivery Administration Standards

MANUAL SECTION: RISK PREVENTION & MANAGEMENT

REVISED: January 2017

POLICY: ESTABLISHING AND MONITORING CONTRACTS

Page 3 of 3

8. After the service begins, meetings are held between the Program Directors of the two collaborating agencies monthly for the first quarter and then quarterly thereafter. At these meetings the agency monitors the terms of the contract, progress toward outcome measures are discussed, human resource issues are resolved, and the effectiveness of the collaboration is discussed and evaluated.
9. If, during the monitoring and evaluation activities, deficiencies are discovered, the collaborating agencies develop a corrective action plan and follow up to ensure remediation has occurred.
10. At the end of the contract year an evaluation meeting is held which covers
 - a. Administrative and programmatic accountability
 - b. Reporting on the quantity and quality of services delivered under the contract
 - c. Performance evaluation
11. If corrective action is needed, it is outlined in writing, shared with the sub-contractor, and followed up on in the quarterly meetings.

Family & Children's Agency, Inc.

Service Delivery Administration Standards

MANUAL SECTION: RISK PREVENTION & MANAGEMENT

REVISED: Sept. 2009

POLICY: COLLABORATIVE SERVICE AGREEMENTS

Page 1 of 1

Policy

Family & Children's Agency, Inc. has numerous collaborative service agreements for each of its services. When the Agency enters into a collaboration to provide a service to a family or individual, we sign an agreement that lists:

- The services exchanged or provided
- The goals and objectives of the collaborative
- The roles and responsibility of each organization, including reporting responsibilities
- Procedures for sharing information
- Confidentiality protections, including signed written consent forms

These service collaborative agreements are signed by both agency executives and kept on file in the contract storage room at the administrative offices at Mott Avenue as well as at the program office.



9 Mott Ave | Norwalk, CT 06850 | (203) 855-8765
www.FamilyandChildrensAgency.org

Family And Childrens Agency Client Personal Information v3

Client: DOB: Gender: ID#

Name

Last Name: _____
First Name: _____
Name Suffix: _____
Salutation: _____
AKA: _____
Maiden Name: _____
Gender: _____
Anonymous: _____

Address Information

Personal Address:

Type Type of Residence Care of Name ZIP Code Street Address 1 Street Address 2 City State Community District County Landlord Address Date Mailing Address? GeoCode Zipcode Zone Home Phone Directions

Emergency Contact Info

Add Emergency Contact:

Relationship	Emergency Team	Treatment Member	Post Discharge Incident Follow Up	Notify? Contact?	Can Handle	Has Consent to Release	Personal Information	Area(s) of Medical Assistance	Frequency of Interactions	Eligible Off Campus	On Campus	Can Pick Up	Day Overnight	To From	Collateral Collateral	Calls to from Client	Allow Access to Client Portal?	Remarks
Collateral To	Effective Contact	Member	Notify? Contact?	Caregiver Affairs	to	Assistance	Consenter	Interactions	Visitor	Campus	Campus	Client	Pass	Pass	Collateral Collateral	allowed	allowed	

Family Information

Family Structure:

Family Size:

of Dependents:

Family Employed:

Annual Family Income Range:

Primary Language:

Demographic Information

Date of Birth:

State of Birth:

City Of Birth:

Birth Certificate Attachment: No document attached

City of Birth Other:

County of Birth:

Country of Birth:

Country of Birth (Other):

Birth Last Name:

Birth First Name:

Birth Middle Name:

Birth Suff Name:

Mothers First Name:

Special Population:

Deceased:

Date of Death:

Blood Type:

Declined to Provide Ethnicity:

Ethnicity:

Ethnicity Detail:

Declined to Provide Race:

Race - Select Only One Option:

Race

Detail

Other Designation

Priority

Religion:

Citizenship:

Is Veteran:

Veteran Status:

Marital History:

Marital Status

Start Date

End Date

Reason for Ending

Disabilities:

Disability

Other Description

Accommodation Needed

Identifying Information

Social Security Number:

SSN Card Attached:

Social Security Attachment: No document attached

SSI Number:

Drivers License:



Line Item	Cost	Narrative
KN95 Masks	\$ 3,160	One year supply of KN95 masks for 10 staff; Employees will use KN95 masks for up to five days in alignment with what hospitals (e.g. Yale New Haven Health Systems) are having medical staff do.
Disposable surgical masks	\$ 15,818	One year supply of disposable surgical masks for Community Connections Center and Project REWARD clients, based on FCA's COVID-19 site capacity limits for both programs.
Gloves (Size S,M&L)	\$ 2,420	One year supply of disposable gloves in sizes small, medium and large for clients and staff in both programs, assuming both clients and staff will need at least 3 pairs of gloves/day (e.g. after eating at the Center; after giving a urinalysis sample in Project REWARD.)
Viking Pure (Pure SAN; Pure Clean)	\$ 4,680	One year supply of EPA-approved sanitizing solution applied via fogger in Community Connections Center and Project REWARD after daily use.
TOTAL	\$ 26,077	

STAFF LIST

Community Connections Center

Name	Title	Licensure	Description of duties
Chris Jachino	Director of Community Connections	MSW, LCSW	Administrative oversight of program and supervision of Manager; establishes plans to mitigate COVID-19 risk to
Brooke Pantaleo	Coordinator, Community Connections Center	N/A	Responsible for day to day program operations, including ensuring adequate supply orders of PPE
Jodi Wesley	Program Assistant	N/A	Work with clients at the Center on weekdays; distributes PPE to clients
Adriana Fuchs	Case Manager	N/A	Support clients with information and referrals for housing, employment, behavioral health etc.; Distributes PPE to clients
Michelle Nelson	Program Aide	N/A	Work with clients at the Center on weekends; distributes PPE to clients
Tatum Miller	Program Aide	N/A	Work with clients at the Center on weekends; distributes PPE to clients

Project REWARD

Name	Title	Licensure	Description of duties
Elizabeth Murdoch	Director of Behavioral Health	MSW, LCSW	Administrative oversight of program and supervision of Manager; establishes plans to mitigate COVID-19 risk to

Keith Lepp, MD	FCA Medical Director	MD	Medical oversight of program, collaborates with staff and provides psychiatric care to clients
Jessica Vivenzio	Manager, Project Reward	MSW, LCSW, CAC,	Responsible for day to day program operations, including ensuring adequate supply orders of PPE; maintains a caseload of clients for group and individual therapy
Sheila Sneed	Clinical Coordinator, S.A. Counselor	LADC, CAC	Providing individual and group therapy to women in treatment for substance abuse disorders; distributes PPE to clients for individual and group therapy

FILLING IN THE BLANKS

**NORWALK REDEVELOPMENT AGENCY obo CITY OF NORWALK
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG-CV) PROGRAM
APPLICATION FORM FOR CDBG-CV FUNDS**

Applicant Agency/Organization Name: **Filling in the Blanks**

President/CEO/Executive Director's Contact Information: Tina Kramer, tkramer@fillingintheblanks.org, 203-496-0733
and Shawnee Knight, sknight@fillingintheblanks.org,
203-722-5439

Type of Organization: Non-profit providing meals to children in need

Applicant Mailing Address: 346 Main Avenue, Suite 3A, Norwalk, CT 06851

Project Location Address: 346 Main Avenue, Suite 3A, Norwalk, CT 06851,
as well as 45 schools/after-school programs in Fairfield and Westchester Counties.

Age of Building (Public Facility/Housing Applications Only): N/A

Contact Person (designated contact person for the project/proposal):

Name: Kristin Thomas

Title: Grant Writer

Phone #: 203-252-0240

Email Address: kthomas@fillingintheblanks.org

Proposed Project/Activity Name: **Weekend Meal Program**

Brief Description of the Proposed Project/Activity:

The Weekend Meal Program provides over 2,200 food insecure children in Fairfield and Westchester County with meal bags every Friday for 44 weeks per year to bridge the weekend gap when they often do not know where their next meal will come from. Each weekend meal bag contains: two milks, two breakfast items, two entrees, a vegetable, and four snacks, and a piece of fresh fruit. Children will benefit by knowing where his or her weekend meals will come from and arrive to school each Monday morning ready to learn.

I certify that all information provided is correct to the best of my knowledge.

Kristin Thomas, Grant Writer, 

5/13/2020

Name, Title & Signature

Date

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

PART 1. GENERAL INFORMATION**ORGANIZATION**

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

Please see attached separate page.

2. Identify the “core” programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated. Example: A homeless shelter’s “core” program might be its basic overnight shelter service, while it’s counseling or job placement services are “support” programs.

Please see attached separate page.

3. Check “YES” or “NO” to the following questions.

- | | | | |
|----|--|---|--|
| A. | Does your organization have a Board of Directors? | ☒ YES | ☐ NO |
| B. | Is your organization exempt under IRS Code 501(c) (3)? (If yes, provide documentation*) | ☒ YES | ☐ NO |
| C. | Are your organization’s services available to Norwalk residents? | ☒ YES | ☐ NO |
| D. | Does your organization have an EEO Policy? (Include a copy*) | ☒ YES | ☐ NO |
| E. | If a housing provider, does your organization have a written Fair Housing Policy including accessibility (504) requirements? (Include a copy*) | N/A ☐ YES | ☐ NO |
| F. | Does your organization have a written Procurement Policy? (Include a copy*) | ☐ YES | ☒ NO |
| G. | Is your organization considered a Faith-Based Organization? | ☐ YES | ☒ NO |
| H. | Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal* | | |
| I. | Include a copy of your written Policy on Record Keeping* | | |
| J. | Include a copy of your most current audited Financial Statements | | |

****Please note that requested documentation (from above) must be submitted to the Norwalk Redevelopment Office only if you are a new applicant or if there have been any changes to a previously filed documentation.***

PART 1. GENERAL INFORMATION

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

The mission of Filling in the Blanks is to fight childhood hunger by providing children in need with meals on the weekends. According to Feeding America's Map the Meal Gap project, 29,400 children in Fairfield County do not know where their next meal will come from. Most eat breakfast and lunch at school on weekdays, but many will go from Friday lunch until Monday morning without a decent meal. The purpose of Filling in the Blanks is to remove the obstacle of food insecurity for local children by providing each student with a bag of food to take home every Friday, through the Weekend Meal Program. The program is designed to allow every child consistent access to enough food for an active, healthy life. Children will benefit by knowing where his or her weekend meals will come from and arrive at school each Monday morning ready to learn. We expect to see a child who can focus on learning instead of their empty stomachs. The long-term intention of the program is to increase overall academic achievement in school and increase opportunities for success, breaking the poverty cycle. In order to be healthy, children need to be nourished. We provide consistent nutritional support year-round to local students and have found that nourished children are also productive children. Filling in the Blanks believes that all children deserve the chance to be healthy and strong and that no child should be limited by hunger.

Filling in the Blanks has been operating since 2013. The program has grown from serving 50 students in one town to over 2,200 in five towns, and works closely with the public school systems, town governments, and other community agencies. Filling in the Blanks has not been federally funded but has been awarded a grant from the City of Norwalk.

2. Identify the "core" programs of your organization.

The "core" program of Filling in the Blanks is the Weekend Meal Program. This program provides balanced food for children in need and delivers it directly to them through their schools, after school programs or camps. Students are identified by their school or program as being food insecure. The parents of each child are sent an information letter and permission slip to enroll the student in the Weekend Meal Program from Filling in the Blanks. Each meal bag contains: two milks, two breakfast items, two entrees, a vegetable, and four snacks. Every week, weekend meal bags are delivered to school/after-school programs and distributed to each child prior to dismissal on Friday. Fresh fruit is also delivered for each child to take home. The Weekend Meal Bags are provided once a week for 44 weeks of the year.

Results of Weekend Meal Program: children are no longer coming to school starving on Monday, children are present more often at school on Friday (the day the food goes home), 75% of teachers reported a decrease in hunger complaints, 63% reported a decrease in the following hunger symptoms: tiredness, headache, and disruptive behavior, 100% of all

responses gave us a Net Promoter Score of 10, meaning they would highly recommend us to other schools with a similar population, 94% of families report that the food sent home with the children on the weekends benefits the whole family, 88% of families reported the weekend meal bags decreased stress in the household, 70% of parents reported improved behavior at home.

PART 2. PROPOSED PROJECT/ACTIVITY**GENERAL DESCRIPTION**

1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of **preventing, preparing** for and/or **responding** to the **COVID-19 outbreak**. Omission of requested information may be a cause to reject application.

Please see attached separate page.

2. Check the box that best describes the proposed project/activity.

- ☒ Public service activity
☐ Rehabilitation activity
☐ New construction activity
☐ Real property acquisition activity (i.e. land/building).
☐ Other (explain) _____

3. Check the box that applies to the proposed project/activity.

- ☐ New "core" program
☐ Expansion of existing "core" program
☒ Support of existing "core" program (with no expansion)
☐ New "support" program
☐ Expansion of existing "support" program
☐ Existing "support" program (with no expansion)
☐ Other (explain) _____

4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose? ☐ YES ☒ NO
5. How many persons or families (unduplicated #s) will the proposed project/activity serve? Indicate one as follows: # 2,246 Week
 # _____ Month
 # _____ Year

****Filling in the Blanks measures how many children we feed weekly, but are feeding the same 2,246 children per week throughout the year.**

PART 2. PROPOSED PROJECT/ACTIVITY

GENERAL DESCRIPTION

1. For seven years, Filling in the Blanks has been bridging the gap over the weekend when many children from low-income families do not have enough to eat by providing a weekend meal bag each Friday.

During this COVID-19 pandemic, it is more important than ever, that Filling in the Blanks continues to serve the most vulnerable children in our communities. The students enrolled in the Weekend Meal Program are the same students that received 2/3 of their nutrition from school-provided breakfast and lunch services. With school closures, weekend meals have become even more vital, as many parents are unable to work creating financial stress on families. We are continuing to deliver weekend meal bags at distribution sites to guarantee the children will continue to have the nutrition that their growing minds and bodies need, and have responded by making some significant changes since the end of March.

Filling in the Blanks has come up with creative and innovative delivery methods to reach all children. The overall need for meals has increased in the towns of Norwalk, Stamford, and Greenwich, CT. Since COVID-19, Filling in the Blanks has added 577 students so far to the weekend meal delivery. 182 of those are children are in Norwalk. We have added 67 children at a Norwalk preschool, 30 students at a Norwalk Elementary School, 35 children living in Roodner Court and King Kennedy Homes on Chestnut Street, 10 children who are living with their grandparents and are being served by Senior Services Coordinating Council, and are also providing 40 meal bags to Person to Person in Norwalk weekly. The need is still rising.

The Weekend Meal Program has also added 7 weeks to the yearly delivery since we are no longer following a school or camp calendar. The prices of items that are running low in supply are beginning to rise and the average cost per meal bag could increase slightly in the coming weeks. At least one item in each of our three menus is out of stock, so alternate menus will have to be created during this time. At this point our budget for Food Costs have gone up 18%, and we expect this to increase. The addition of the 182 Norwalk children alone has added \$31,531.50 to food costs until the end of 2020. There has been an interruption to our fundraising, which could result in a decrease of over \$500,000 in revenue. In addition, volunteers cannot be utilized to pack, so part-time staff is working overtime to ensure all meal bags are packed.

6. How many persons or families (unduplicated #s) in Question 7, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)?

2,246 Week
_____ Month
_____ Year

****Filling in the Blanks measures how many children we feed weekly, but are feeding the same 2,246 children per week throughout the year.**

7. How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG-CV income guidelines on Page 2 of this application)?

880 Week
_____ Month
_____ Year

*** Failure to answer Questions 6 – 9 may disqualify application.**

8. What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? Check more than one box, if necessary. Note that the organization must be able to prove the income eligibility of beneficiaries.

☐ Name
☐ Address
☐ Income
☒ Other

****Filling in the Blanks does not keep any client records. We receive eligibility (eligible for free or reduced lunch or part of ALICE population) information from the child's school. Schools also keep signed opt-in letters from caregivers.**

9. Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation with the application evidencing the below qualification. Examples: Client In-take forms (no names), proposed rents, etc.

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

☒ **Area Benefit.** Activity meets needs of LMI persons residing in an area where at least 51% of the residents are LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood.

Documentation Attached: ☐

****Filling in the Blanks does not keep any client records. We receive eligibility (eligible for free or reduced lunch or part of ALICE population) information from the child's school. Schools also keep signed opt-in letters from caregivers.**

☐ **Limited Client Benefit.** Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the subcategories, check the applicable number.

Documentation Attached: ☐

- (1) Project/activity maintains client records on income and family size records documenting that such persons qualify as LMI.
- (2) Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons.
- (3) Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons.
- (4) Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.)

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? X yes no

If yes, please explain:

Filling in the Blanks applied to all COVID emergency funds from current community partners or those that we qualified to apply for as soon as we were made aware of them. We applied to the Fairfield County COVID-19 Resiliency Fund, New Canaan Community Foundation COVID Fund, Inner City Fund for Charity and Education COVID Fund, Truist Charitable Fund - COVID Response, and the Greenwich United Way COVID Response Fund.

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? X yes no.

If yes, please explain below and include any letter(s) of commitment for ongoing funds or approved funds from other source(s) to assist with the proposed project that you are requesting.

If yes, what funding source?	Amount Requested	Amount Approved	Amount Pending	Amount Denied
Norwalk Community Development Block Grant - CV Funds	31,000		31,000	
Truist Charitable Fund - COVID Response	10,000	10,000		
Fairfield County COVID-19 Resiliency Fund	20,000	15,000		5,000

** Other COVID funds listed on attached separate page

2. What is the total cost of the proposed project? Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor and/or architect/engineer estimate.

The Total Program Budget is currently \$763,153. Total Food Costs are estimated at \$517,488, but are expected to rise. Food costs for Norwalk students are \$152,460 and the cost for the Norwalk students added to meal delivery since COVID-19 is \$31,531.50 for the remainder of 2020. The cost of food and program staffing could rise in the next months, due to overtime hours, food supply issues, and increase in need. (See attached Budget).

3. Describe your organization's fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

See attached separate page.

4. Attach an explanation on how the proposed project will affect your administrative budget (example: additional personnel, maintenance, office space, etc.) Include an explanation on long-term plans for funding/sustaining the proposed project.

The administrative budget and the program budget are separate, so the program costs should not affect administrative costs. To sustain the program, we rely on our generous donors and we also actively search and apply for grants from organizations that share the similar focus of providing basic needs and ending food insecurity. We have a designated volunteer staff member responsible for grant research and writing and have increased the number of grants applied for and awarded over the past year. Our grant writer receives ongoing education training. Our Board of Directors are committed to being both fundraisers and donors. A generous donor covers all operating expenses.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish).

The Weekend Meal Program is ongoing and year-round. Weekend meals will be delivered 51 weeks this year. The budget includes program costs from now until 12/31/2020.

PART 3. PROJECT/ACTIVITY FUNDING

COVID-19 Funds Awarded (continued)

If yes, what funding source?	Amount Requested	Amount Approved	Amount Pending	Amount Denied
Greenwich United Way COVID-19 Fund	\$8,900	\$8,900		
William Caspar Graustein Memorial Fund-COVID	\$5,000	\$5,000		
Inner City Foundation for Charity and Education COVID Response	\$10,000	\$10,000		

Project Budget: Weekend Meal Program 2020 Updated

Program Expenses

Category	Description	2020 Budget	Norwalk Students	Requeusted from Norwalk CDBG-CV	CHANGE SINCE COVID-19
Food	Provides for the food that is purchased weekly for the students enrolled. Includes all non-perishable snacks, breakfast and lunch items for each child.	\$ 517,488	\$ 152,460	\$ 31,000	Added 182 children in Norwalk in response to effects of COVID-19 and the number keeps rising.
Materials	Provides for the food pouches that are packed and sealed individually for each student, tables, sorting bins, sealers, labels and shipping costs of materials. Also, includes disposal fees of packaging.	\$ 29,250			
Transportation	Provides necessary transportation to transport food to each school every week for distribution. Includes, fuel, repair & maintenance, and insurance.	\$ 29,254			
Staffing	Provides for the salary of Program Operations Manager and the Delivery Driver/Warehouse Manager	\$ 65,962			Estimated to increase by 8% as hours worked increase
Storage/ Warehouse	Provides necessary space where all operations take place. Includes space to store, sort and pack meals, forklift expense and utilities.	\$ 121,199			
TOTAL		\$ 763,153	\$ 152,460	\$ 31,000	

PART 3. PROJECT/ACTIVITY FUNDING

3. Describe your organization's fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

The daily operations of Filling in the Blanks (FITB) are primarily conducted by their two founding members, Tina Kramer and Shawnee Knight, who report to the board of directors (the "Board"). Under the guidance of the Board an annual operating budget is reviewed and approved. The budget contains both financial and operating metrics. The Board also conducts quarterly reviews of operations including a review of actual financial results to the Board approved budget.

FITB uses a third-party bookkeeping service to maintain its general ledger on QuickBooks, process disbursements to vendors, reconcile bank accounts and prepare a monthly financial statement package which includes balance sheet support, analysis of key operating metrics and comparison of actual results to budget. Financial statement packages are also reviewed by a financial consultant who provides finance and accounting support to FITB as needed. In addition, as an additional measure of fiscal assurance, an annual financial statement audit is conducted by a regional CPA firm.

Prior to payment by the bookkeeping service, all vendor invoices are approved by one of 2 FITB founding members who run daily operations. Expenses are also paid using a credit card controlled by either of the two founding members. Payment for food, the largest program operating cost, is also controlled by a thorough budgeting process where each component of the delivered food package is bid by several vendors to achieve the best quality and price. Purchases for most components are made in several bulk buys each fiscal year to control costs and create efficiency in operations.

The majority of cash receipts are managed through Kindful which is a CRM software developed specifically for nonprofits to organize data and manage their donor base. FITB events, programs and appeals are setup in Kindful which shares information with QuickBooks bidirectionally so that no cash receipt is unaccounted for.

PART 4. ORGANIZATIONAL EFFICIENCY

1. How many staff members will be directly associated with the proposed project?

	Professional	Support	Volunteer
Full-Time Staff			2
Part-Time Staff		2	6

Include a list of those involved in completing the project. The list must include: each person's name and a brief summary of job duties in relation to the proposed project.

2. If your organization has an elected or appointed board, complete the questions below.

NAME OF BOARD/COMMITTEE: Filling in the Blanks Board of Directors

List the names of the individuals on the board and the position they may hold on the board.

- a. Number of voting board members as of January 1, 2020
- 7
- Vacancies?
- 0

- b. How many board members reside within the City of Norwalk?
- 0

- c. How are the board members chosen? **Board members are often leaders in the community referred by current Directors. They are chosen based on their experience and their commitment to giving of their time and resources.**

- d. Does your organization provide any board training and/or orientation? yes x no
If so, how often is training provided?

- e. How long is a term?
- 1 year
- How many consecutive terms may be served?
- no limit

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. Has the organization attempted to coordinate the project with other agencies to avoid duplication of services?
- x
- yes
- no
- If yes, please explain.

The Co-President's of Filling in the Blanks participate on a weekly phone call with other organizations, including food pantries, other non-profits, and schools that provide food to those in need in Norwalk, to assess local needs, make sure there is no duplication in services and that all agencies are working together.

2. Identify other agencies in Norwalk (including non-profit and government) that
- provide services similar
- to your proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies?

The Norwalk Public Schools, Carver Center, and Person to Person all provide food assistance to Norwalk residents in need. Filling in the Blanks does collaborate with the public schools and Person to Person, but we are the only organization providing prepackaged weekend meals specific for and directly to children.

3. Identify other agencies in Norwalk that
- provide services directed toward the same target beneficiaries
- of your proposed project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?

Bridgeport Rescue Mission, Person to Person, the CT Foodbank and Carver Center all provide services to the target beneficiaries that Filling in the Blanks does. Filling in the Blanks has provided information on SNAP benefits to those we serve as well as referring to the above agencies where we see a need.

PART 4. ORGANIZATIONAL EFFIECIENY

1. STAFF MEMBERS INVOLVED IN PROJECT

Tina Kramer, Co-Founder and Co-President

- Oversees all operations
- Manages relationships with all partner agencies
- Makes all financial decisions
- Fundraising
- Responsible for Strategic Planning

Shawnee Knight, Co-Founder and Co-President

- Oversees all operations
- Manages relationships with all partner agencies
- Makes all financial decisions
- Maintains Website
- Fundraising
- Responsible for Strategic Planning

Deena Youngs , Operations Manager

- Tracks inventory
- Places food orders
- Coordinates all meal bag packing
- Plans menus
- Schedules delivery with Schools/Programs
- Keeps record of deliveries

Hunter VanVeghel, Warehouse Manager and Delivery Driver

- Accepts delivery of all food items
- Organizes food by type and date
- Operates forklift
- Packs meal bags
- Loads/unloads all meal bags
- Recycles all cardboard
- Delivers all meal bags to schools
- Maintains delivery truck

Holly Kennedy, Volunteer Warehouse Coordinator

- Organizes food items into separate menus
- Sets up tables for packing
- Trains lead and assistant packers
- Recycles cardboard

Jera Flood, Volunteer Social Media Coordinator

- Manages all social media accounts
- Promotes work of Filling in the Blanks as well as Community Partners
- Brings awareness to need and work being done

Cheryl Tierney, Volunteer New Business Development

- Bring awareness to need and work being done
- Creates partnerships with local businesses/corporations
- Raises money for program costs

Kristin Thomas, Volunteer Grant Writer

- Collects data
- Researches grant opportunities
- Hosts site visits and informational calls
- Completes grant applications
- Completes grant reports
- Maintains funder relationships

Filling in the Blanks

2020 Board of Directors

Thomas Conheeney, Director (New Canaan, CT) 2015-Present

President of Investment Management Services, Inc from 1996 to 1999.

Chief Operating Officer SAC Capital 1999-2008.

President of SAC Capital 2008-2014.

Serves on Boards of Multiple Myeloma Research Foundation and King School.

Michael Johnson, Director (Greenwich, CT) 2018-Present

Worked with Cigna Health Care 1992-1997.

Senior Vice President at USI Insurance Services.

CEO of Old Greenwich Consulting 2007-2016.

Currently CEO/Founder of J5Consulting.

Douglas Knight, Director (New Canaan, CT) 2014 – Present

Worked at Cardillo / Associated Travel 1981 – 1986.

General Manager and Controller, McGregor Travel 1987-1993 purchasing the assets of the company in 1993.

Currently the Managing Partner of Worldtek.

Shawnee Knight, Founder (New Canaan, CT) 2014- Present

Co-Founder Filling in the Blanks

Classically trained at the French Culinary Institute of NYC.

Member of the Stamford Food Collaborative, and the Stamford Public Schools

Strategic Planning Advisory Committee.

Michael Kramer, Director (New Canaan, CT) 2014-Present

Founding and Managing Director of Kramer Capital Partners.

Partner at Perella Weinberg Partners.

Founding member and CEO of Ducera LLC.

Trustee of Board of St. Luke's School.

Tina Kramer, Founder (New Canaan, CT) 2014- Present

Co-Founder of Filling in the Blanks.

Active non-profit board member and volunteer.

Member of the Stamford Food Collaborative, and the Stamford Public Schools

Strategic Planning Advisory Committee.

Sue Scribner Mirza, Lead Director (Greenwich, CT) 2018- Present

Past Trustee and member of the Executive Committee of King School. private

Co-founder & President of the Save the Children Greenwich Leadership Council.

Member of the Cancer Advisory Council at Columbia University Medical Center

Member of Advisory Council of the Keough School of Global Affairs at the University of Notre Dame.

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants:

ORGANIZATION NAME: **Filling in the Blanks**

Organization is:

1. Corporation ()
2. Non-Profit 501(c)(3) ☒
3. Partnership ()
4. Sole Owner ()
5. Association ()
6. Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the above-mentioned organization or project proposed.

Name, Job Title and Norwalk Redevelopment Agency Department

None

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a potential "financial interest" in the organization or project.

Name/Title

None

NOTE: If the applicant has provided names in question 1 or 2, please provide details regarding any known potential conflicts of interest in an attached narrative.

INTERNAL REVENUE SERVICE
P. O. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: **MAY 21 2014**

FILLING IN THE BLANKS INC
C/O WHITMAN BREED ABBOTT & MORGAN LLC
KATHRYN ONEILL
500 W PUTNAM AVE
GREENWICH, CT 06830

Employer Identification Number:
46-4980002
DLN:
17053126383014
Contact Person:
JACOB A MCDONALD ID# 31649
Contact Telephone Number:
(877) 829-5500
Accounting Period Ending:
December 31
Public Charity Status:
170 (b) (1) (A) (vi)
Form 990 Required:
Yes
Effective Date of Exemption:
February 28, 2014
Contribution Deductibility:
Yes
Addendum Applies:
No

Dear Applicant:

We are pleased to inform you that upon review of your application for tax exempt status we have determined that you are exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code. Contributions to you are deductible under section 170 of the Code. You are also qualified to receive tax deductible bequests, devises, transfers or gifts under section 2055, 2106 or 2522 of the Code. Because this letter could help resolve any questions regarding your exempt status, you should keep it in your permanent records.

Organizations exempt under section 501(c)(3) of the Code are further classified as either public charities or private foundations. We determined that you are a public charity under the Code section(s) listed in the heading of this letter.

Please see enclosed Publication 4221-PC, Compliance Guide for 501(c)(3) Public Charities, for some helpful information about your responsibilities as an exempt organization.

Letter 947

FILLING IN THE BLANKS INC

We have sent a copy of this letter to your representative as indicated in your power of attorney.

Sincerely,

A handwritten signature in black ink, reading "Tamera Rippanda". The signature is written in a cursive, flowing style with a large initial 'T'.

Director, Exempt Organizations

Enclosure: Publication 4221-PC

Dear Grantee,

On behalf of the Board of Directors of Fairfield County's Community Foundation (FCCF), we are pleased to inform you that your request for funding has been approved.

[Please log into your account to access your grant agreement:

(<https://www.grantinterface.com/Common/LogOn.aspx?eqs=fm--YAU5T6ssYxM7-EH7DPDUC9BE2lcN0>).

Please review, sign and submit the grant agreement. Be sure to note any special grant conditions that may be noted by your program officer. **Please note, grant awards cannot be processed until you have submitted a signed grant agreement.**

Due to overwhelming demand for funding, we may not have been able to meet your full funding request. However, as additional resources become available, we will consider increasing your funding award.

There is no need to contact us to request additional funding; we will be in touch as soon as possible if we are able to increase funding to your organization.

We wish you the best of luck implementing your programs. We have several resources available on our [Covid-19 Nonprofit Resource Page](#) to support your work. We are collectively facing unprecedented dynamics and hope to be a continued resource as you navigate these difficult times.

Thank you again for all that you do!

Mendi Blue-Paca
Chief Community Impact Officer

FILLING IN THE BLANKS, INC.

**Audited Financial Statements
For the Year Ended December 31, 2018**

TABLE OF CONTENTS

	Page
Financial Statements:	
Statement of Financial Position	4
Statement of Activities and Change in Net Assets.....	5
Statement of Functional Expenses.....	6
Statement of Cash Flows	7
Notes to Financial Statements	8-11



TOBIN & COMPANY
CERTIFIED PUBLIC ACCOUNTANTS, PC

INDEPENDENT AUDITORS' REPORT

To the Board of Directors of
Filling in the Blanks, Inc.
Norwalk, CT

We have audited the accompanying financial statements of Filling in the Blanks, Inc. (a nonprofit organization) which comprise the statements of financial position as of December 31, 2018 and the related statements of activities and change in net assets, functional expenses, and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Filling in the Blanks, Inc. as of December 31, 2018 and the changes in its net assets and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Tobin & Company
Certified Public Accountants, PC

Purchase, New York
May 24, 2019

Filling in the Blanks, Inc.

Statement of Financial Position

<i>As of December 31,</i>	2018
ASSETS	
Cash and Equivalents	\$ 1,030,256
Prepaid Expenses	10,210
Property and Equipment, net of accumulated depreciation	66,713
Total Assets	\$ 1,107,179
LIABILITIES AND NET ASSETS	
Liabilities	
Accounts Payable and Accrued Expenses	\$ 46,129
Deferred Rent	7,694
Total Liabilities	53,823
Net Assets	
Without restriction	1,053,356
Total Net Assets	1,053,356
Total Liabilities and Net Assets	\$ 1,107,179

See accompanying notes to financial statements

Filling in the Blanks, Inc.

Statement of Activities and Change in Net Assets

<i>For the Year Ended December 31,</i>	Without Restriction	With Restriction	2018 Total
Support and Revenue			
Fundraising	\$ 601,915	-	\$ 601,915
Contributions	225,990	4,500	230,490
Other Income	38,225	-	38,225
Interest Income	5,316	-	5,316
Satisfaction of Restriction	4,500	(4,500)	-
Total Support and Revenue	875,946	-	875,946
Expenses			
Program Services	303,026	-	303,026
Fundraising	129,769	-	129,769
General and Administrative	78,142		78,142
Total Expenses	510,937	-	510,937
Change in Net Assets	365,009	-	365,009
Net Assets at Beginning of Year	688,347		688,347
Net Assets at End of Year	\$1,053,356	\$ -	\$1,053,356

See accompanying notes to financial statements

Filling in the Blanks, Inc.

Statement of Functional Expenses

<i>For the year ended December 31,</i>	Program Services	General and Administrative	Fundraising	2018 Total Expenses
Food Costs	\$ 198,818	\$ -	\$ -	\$ 198,818
Direct Fundraising Costs	-	-	129,769	129,769
Occupancy	49,134	10,734	-	59,868
Professional Services	-	19,053	-	19,053
Subcontractor Fees	-	180	-	180
Computer and Internet	-	4,022	-	4,022
Travel	6,904	53	-	6,957
Depreciation	13,317	64	-	13,381
Job Materials	8,212	-	-	8,212
Advertising and Promotion	-	4,766	-	4,766
Office Expense	-	4,370	-	4,370
Payroll	11,053	22,947	-	34,000
Dues and Subscriptions	-	4,256	-	4,256
Disposal Fees	5,415	-	-	5,415
Meals and Entertainment	-	738	-	738
Taxes and Licenses	-	50	-	50
Utilities	5,796	350	-	6,146
Repairs and Maintenance	1,252	-	-	1,252
Insurance	-	5,388	-	5,388
Telephone	-	1,171	-	1,171
Shipping and Delivery	3,125	-	-	3,125
Holiday Backpack Program	-	-	-	-
Supplies	-	-	-	-
Total Expenses	\$ 303,026	\$ 78,142	\$ 129,769	\$ 510,937

See accompanying notes to financial statements

Filling in the Blanks, Inc.**Statement of Cash Flows**

<i>For the Year Ended December 31,</i>	<i>2018</i>
Cash Flow from Operating Activities:	
Changes in Net Assets	\$ 365,009
Adjustments to reconcile changes in net assets to cash provided by operating activities:	
Depreciation	13,381
Changes in Operating Assets & Liabilities:	
Decrease in accounts receivable	9,600
Decrease in prepaid expenses	10,154
Increase in accounts payable	34,781
Increase in deferred rent	435
Net Cash Provided by Operating Activities	433,359
Cash Flow from Investing Activities:	
Purchase of equipment	(8,779)
Net Cash Used in Investing Activities	(8,779)
Net Increase in Cash and Equivalents	424,580
Cash and equivalents, beginning of the year	605,676
Cash and Equivalents, End of the Year	\$ 1,030,256

See accompanying notes to financial statements

Note 1 - Organization

Filling in the Blanks, Inc. ("the Organization"), a not-for-profit formed in the State of Connecticut, fights childhood hunger by providing children in need with meals on the weekends. The program is available throughout the year to needy children who are eligible for free and reduced lunch programs. The Organization was formed in 2014.

Note 2 - Summary of Significant Accounting Policies

Basis of Presentation

The Organization prepares its financial statements on the accrual basis in accordance with accounting principles generally accepted in the United States of America. The financial statements are presented in accordance with Financial Accounting Standards Board (FASB) Accounting Standards Codification (ASC) 958 dated August 2016, and the provisions of the American Institute of Certified Public Accountants (AICPA) "Audit and Accounting Guide for Not-for-Profit Organizations" (the "Guide"). (ASC) 958-205 was effective January 1, 2018. Under the provisions of the Guide, net assets and revenues, and gains and losses are classified based on the existence or absence of donor-imposed restrictions. Accordingly, the net assets of the Organization and changes therein are classified as follows:

Net assets without donor restrictions: Net assets that are not subject to donor-imposed restrictions and may be expended for any purpose in performing the primary objectives of the Organization. The Organization's board may designate assets without restrictions for specific operational purposes from time to time.

Net assets with donor restrictions: Net assets subject to stipulations imposed by donors, and grantors. Some donor restrictions are temporary in nature; those restrictions will be met by actions of the Non-Profit Organization or by the passage of time. Other donor restrictions are perpetual in nature, where by the donor has stipulated the funds be maintained in perpetuity.

Pledges Receivable and Contributions

Unconditional contributions are recognized when pledged and recorded as net assets without donor restrictions or net assets with donor restrictions, depending on the existence and/or nature of any donor-imposed restrictions. Conditional promises to give are recognized when the conditions on which they depend are substantially met. Gifts of cash and other assets are reported with donor restricted support if they are received with donor stipulations that limit the use of the donated assets.

When a restriction expires, that is, when a stipulated time restriction ends or a purpose restriction is accomplished, net assets with donor restrictions are reclassified to net assets without donor restrictions and reported in the statement of activities as net assets released from restrictions. Donor-restricted contributions whose restrictions are met in the same reporting period are reported as net assets without donor restriction support. Donations of property and equipment are recorded as support at their estimated fair value at the date of donation.

Property and Equipment

Property and equipment are recorded at cost and are being depreciated using the straight-line method over the estimated useful lives of the assets ranging between 5 and 7 years.

Note 2 - Summary of Significant Accounting Policies (continued)

Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

Tax Status

The Organization is a not-for-profit organization exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code and has been designated as an organization which is not a private foundation.

The Organization has evaluated the recognition requirements for uncertain income tax positions as required by accounting principles generally accepted in the United States of America, with no cumulative effect adjustment required. Income tax benefits are recognized for income tax positions taken or expected to be taken in a tax return, only when it is determined that the income tax position will more-likely-than-not be sustained upon examination by taxing authorities. Accordingly, the Organization has not recorded any reserves, or related accruals for interest and penalties for uncertain income tax positions at December 31, 2018.

Cash and Cash Equivalents

For purposes of the Statements of Cash Flows, the Organization considers all highly liquid investments with an initial maturity of three months or less to be cash equivalents.

Financial instruments, that potentially subject the Organization to concentrations of credit risk, consist of cash, and cash equivalents. The Organization's cash and cash equivalents are on deposit with several financial institutions. At times during the year such investments may be in excess of Federal Deposit Insurance Corporation (FDIC) limits.

Expense Allocation

Directly identifiable expenses are charged to programs and supporting services. Expenses related to more than one function are charged to programs and supporting services on the prorated basis determined by Management. Administrative and general expenses include expenses that are not directly identifiable with any other specific function but provide for the overall support and direction of the Organization.

Advertising

The Organization uses advertising to promote its programs among the public it serves. Advertising costs are expensed as incurred. During the year ending December 31, 2018, advertising costs totaled \$4,766.

Rent

In accordance with accounting principals generally accepted in the United States of America, the Organization records rent expense on a straight-line basis for its leases that contain rent escalation. Amounts expensed in excess of the actual payments are recorded as deferred rent liabilities on the accompanying statement of financial position.

Note 3 - Property and Equipment

Property and equipment consist of the following as of December 31:

	2018
Machinery and Equipment	\$ 10,222
Furniture, Fixtures and Equipment	45,487
Leasehold Improvements	31,057
Property and Equipment	\$ 86,766
Less: Accumulated Depreciation	(20,053)
Property and Equipment, Net	\$ 66,713

Note 4 – In-Kind Donations

The Organization receives various types of in-kind support throughout the year.

Donated goods and services are recognized in circumstances where those goods and services create or enhance non-financial assets or require specialized skills, are provided by individuals or organizations providing those goods and services and would typically need to be purchased if not provided in-kind. During the year ended December 31, 2018, the Organization recognized income of \$9,433 in donated goods and services.

A substantial amount of management, administrative, fundraising and program relate services are performed voluntarily by the Board of Directors and other individual volunteers. Those services have not been recorded as they do meet the criteria outlined above.

Note 5 – Liquidity

The Organization's financial assets available within one year of the balance sheet date for general expenditure are as follows:.

	2018
Cash - operating account - Unrestricted	\$ 514,745
Cash - savings account - Unrestricted	515,511
Total unrestricted cash and cash equivalents	\$ 1,030,256

Note 6 – Leases

The Organization leases a facility in Norwalk Connecticut, from where it conducts its operations. The lease commitment is for five years beginning June 1, 2017 and ending on May 31, 2022. There are two (5) year renewal options. The monthly rent ranges from \$3,300 in the first year to \$3,714 in year five. The Organization is responsible for all utility costs, as well as general repairs and maintenance, including HVAC maintenance.

Note 6 – Leases (continued)

The following is a schedule of future annual minimum lease payments under the operation lease:

December 31, 2019	\$ 41,502
December 31, 2020	42,746
December 31, 2021	44,029
December 31, 2022	18,571

Note 7 – Related Party Transactions

During the year ended December 31, 2018, the Organization received approximately \$176,305 in donations from the Executive Directors and individuals related to the Executive Directors. These individuals also serve as Board Members of the Organization. The total amount received in donations for the year approximates 20% of the total support of the Organization. No goods or services were provided to these individuals for their donations.

Note 8 – Subsequent Events

The Organization has evaluated subsequent events through May 24, 2019 which is the date the financial statements were available to be issued.

greenwich UNITED WAY

Local Insights. Lasting Results.

Board of Directors

Executive Committee

Eileen Kim
Board Chair

Nicole Kwasniewski
*Vice Chair
Community Impact*

Diane Viton
*Vice Chair
Fund Development &
Marketing*

Debra Hess
Vice Chair Finance

Grace Lockhart Djuranovic
Vice Chair Stewardship

William Finger
Secretary

Members of the Board

Shari Aser

Karen Chaplin

Hagar Chemali

Timothy Drinkall

Jaime Eisenberg

Laura Erickson

Daniel Fitzgerald

Mario Forlini

Joui Hessel

Eva Maria Janerus

Caitlin Kraus-Long

John Maus

Erin McCall

JP Muir

Karen Scrivanos Oztemel

Kirsten Riemer

Angela Swift

Laurie Tropiano

Nancy Weissler

David Rabin
CEO

April 20, 2020

Tina Kramer and Shawnee Knight
Executive Directors
Filling in the Blanks
346 Main Avenue, Suite 3A
Norwalk, CT 06851

Dear Ms. Kramer and Knight,

Thank you for submitting an application. We are pleased to inform you that the Greenwich United Way (GUW) Board of Directors has approved a grant, totaling \$8,900, for Filling in the Blanks to be disbursed on April 21, 2020, to address needs caused by the COVID-19 public health crisis. If additional needs arise, due to COVID-19, please contact us as additional funds may be requested.

The amount awarded is for The Weekend Meal Program. This amount will be used to provide weekend meal bags (containing 4 meals and 4 snacks) to 106 low-income Greenwich students for sixteen weeks. That is a total of 6,784 meals. GUW will request a monthly report to ensure funds are being used in a timely manner and to address any immediate needs with community partners. A plan for the distribution of awarded funds must be submitted back to the GUW within one month of receipt and monthly going forward until the grant is depleted.

The **Greenwich COVID-19 Community Relief Fund** (the "Fund") was designed for the relief of economic hardship due to the COVID-19 crisis, and the GUW will distribute appropriately to agencies located in Greenwich providing aid, assistance, and relief to Greenwich residents. In March 2020, the GUW's board of directors voted to support COVID-19 disaster relief and recovery efforts for Greenwich residents. While the Greenwich United Way recognizes the need for emergency response funding, we remain committed to ensuring that funds are available for longer-term recovery and building a resilient community, which is dependent on ongoing successful fundraising.

GUW funding commitments are conditional, based on the success of our fundraising efforts as well as Filling in the Blank's adherence to GUW's Funding and Publicity Agreements and timely, accurate reporting. Please sign, scan and email the enclosed Funding and Publicity Agreements to Robert Moore, Director of Community Impact at rmoore@greenwichunitedway.org.

Sincerely,



David Rabin, CEO, Greenwich United Way
Cc: Eileen Kim, Chair, Greenwich United Way Board of Directors





THE INNER-CITY FOUNDATION
FOR CHARITY & EDUCATION

238 Jewett Avenue
Bridgeport, CT 06606
203 416 1495
Fax 203 372 0364
e-mail innercity.foundation@snet.net
www.innercityfoundation.org

April 28, 2020

Ms. Kristin Thomas
Grant Writer
Filling in the Blanks, Inc.
346 Main Street, Ste 3A
Norwalk, Connecticut 06851-1591

Reference: **Grant Application Number 20-2014 E**

Dear Ms. Thomas,

In accord with our previous email dated on or around April 14, 2020, enclosed is a check in the amount of \$10,000 representing our grant award for your COVID 19 Emergency Funding Request.

Your acceptance of this grant certifies that Filling in the Blanks, Inc.: 1. does not discriminate on the basis of a person's race, color, religion, national origin, sex, sexual orientation, age, disability, veteran status or other characteristic protected by law; and, 2. complies with the USA Patriot Act.

Our records indicate your Federal Tax Identification Number (TIN/EIN) is 46-4980002. If this information is incorrect, please send us a W-9 Form within 30 days of receipt of this letter.

We ask that acknowledgments of this grant in any publication identify "**The Inner-City Foundation For Charity & Education**" as the donor, not the Inner-City Foundation.

We wish you every success with your program. Please forward a detailed progress report on this program by October 2020 to The Inner-City Foundation For Charity & Education, 238 Jewett Avenue, Bridgeport, Connecticut 06606.

Sincerely,

Karen Barry Schwarz
Executive Director

enclosure

NON-DISCRIMINATION POLICY

OF

FILLING IN THE BLANKS, INC.

Filling in the Blanks, Inc. (the “Corporation”) prohibits discrimination or harassment in any of its activities or operations based on race, color, religion, creed, sex, gender identity, gender expression, national origin, age, disability, marital status, veteran status, sexual orientation, predisposing genetic characteristics, domestic violence victim status or any other status protected by applicable law. These activities and operations include, but are not limited to, hiring and firing of staff, selection of volunteers and vendors, and provision of services. We are committed to providing an inclusive and welcoming environment for all members of our staff, subcontractors, vendors, and clients.

Any member of staff, volunteer, subcontractor, vendor or client who feels that he or she has been harassed or discriminated against, or who has witnessed or become aware of discrimination or harassment in violation of this policy, should bring the matter to the immediate attention of any Director of the Corporation. The Corporation will promptly investigate all allegations of discrimination or harassment and will take action as appropriate based on the outcome of the investigation. Any such investigation and its results will be treated as confidential to the extent feasible.

No member of staff, volunteer, subcontractor, vendor or client will be retaliated against for making a complaint in good faith regarding a violation of this policy, or for participating in good faith in an investigation pursuant to this policy. If any such person feels that he or she has been retaliated against in connection with a complaint or any other action, such person should immediately contact any Director of the Corporation.

Filling in the Blanks, Inc. is an equal opportunity employer. We will not discriminate and will take affirmative measures to ensure against discrimination in employment, recruitment, advertisement for employment, compensation, termination, promotion, and other conditions of employment – with respect to both current members of staff, volunteers, subcontractors, vendors, and clients and prospective parties – on the basis of race, color, religion, creed, sex, gender identity, gender expression, national origin, age, disability, marital status, veteran status, sexual orientation, predisposing genetic characteristics, domestic violence victim status or any other status protected by applicable law.



THE
WINSTON-SALEM
FOUNDATION

751 West Fourth Street, Suite 200
Winston-Salem, NC 27101-2702
wsfoundation.org
(336) 725-2382 | F: (336) 727-0581

6,085

April 29, 2020

Ms. Kristin Thomas
Filling in the Blanks
346 Main Avenue, Suite 3A
Norwalk, CT 06851

Dear Ms. Thomas,

On the advice of **Truist Contributions Committee**, The Winston-Salem Foundation has awarded **Filling in the Blanks** a **\$10,000.00** grant with funds provided by the **(S0236) Truist Charitable Fund**, a donor-advised fund of The Winston-Salem Foundation. This grant was approved on April 24, 2020. Although your organization has exclusive legal control over its use, please note that the fund advisor's preferred designation is as follows: **Truist Cares COVID-19 Emergency Response Grant**.

By accepting this grant, your organization certifies to the Foundation that this grant will be used solely for charitable purposes, that it is not in payment of a personal pledge, and that no private individual received tangible benefits, goods, or services.

Although your organization should not provide a tax receipt for this check since this grant was made from a donor-advised fund, we do encourage you to reach out to Truist Contributions Committee with a note of appreciation at the following address: MC 001-91-03-20, 101 N. Cherry Street, Suite 300, Winston-Salem, NC 27101-4013. Should you have any questions regarding this grant, please contact Tamisha Keith at 336-714-3460. We wish you continued success in your endeavors.

Sincerely,

Lisa P. Purcell
Executive Vice President

LPP/adg

enclosure

Grant ID #: 20A122412

GREATER NORWALK HISPANIC CHAMBER OF COMMERCE

**Norwalk Community Development Block Grant (CDBG-CV)
Program Application Form/Request for Proposals (RFP)**

**For CDBG-CV CARES Act
Funding**

- Page 3 of 14

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Norwalk Redevelopment Agency CDBG-CV Application

**NORWALK REDEVELOPMENT AGENCY obo CITY OF
NORWALK COMMUNITY DEVELOPMENT BLOCK GRANT
(CDBG-CV) PROGRAM APPLICATION FORM FOR CDBG-
CV FUNDS**

Applicant Agency/Organization
Name: Greater Norwalk Hispanic
Chamber of Commerce

President/CEO/Executive Director's Contact
Information:

Mariella Costagnet, President 203-919-1154
castagnet.mariella@gmail.com

Warren Pena, Founder/ Vice President
www.gnorwalkhcc.com 203-515-0046
warrenapena@gmail.com

Type of
Organization:
501c6 non profit
organization

Applicant Mailing
Address: 197 Newtown
Avenue, Norwalk CT
06851

Project Location
Address: Norwalk, CT

Contact Person
Mariella Costagnet,
President 203-919-1154
castagnet.mariella@gmail.co
m

Warren Pena, Founder/ Vice President
www.gnorwalkhcc.com 203-515-0046 warrenapena@gmail.com

Proposed Project/Activity
Name: GNHCC Rise to
Respond and Prevent Covid-
19

Brief Description of the Proposed

Project/Activity: To provide assistance to the community to respond, prepare, and prevent the spread of covid and provide relief and support to local agencies, individuals and members. Primarily in the areas of education on Covid guidelines, assisting spanish speaking communities and directing them to services and information in their language.

Personal Protective Equipment PPE is highly needed now and in the future. We want to purchase PPE and distribute it to businesses that want to reopen such as restaurants, salons, hospitals, clinics, and child care centers.

I certify that all information provided is correct to the best of my knowledge.

Name _____, Title _____

Signature_____ Please see signature page
attached_____ Date _____

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

Norwalk Redevelopment Agency CDBG-CV Application

PART 1. GENERAL INFORMATION
ORGANIZATION

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

GNHCC has approximately 100 members. We promote Hispanic Businesses, workforce development, education and networking events. We work with and refer individuals to Score and WBDC to help with educational needs. Our board of directors have been working with the Hispanic Community for 5 years implementing programs, referrals and support services.

To provide assistance to the community to respond, prepare, and prevent the spread of covid and to provide support to local agencies, individuals and members by educating our business community on the guidelines for Covid 19 and marketing in spanish. Primarily in the areas of assisting spanish speaking communities and directing them to services and information in their language such as where to find tele health or covid test sites, emergency food, DOL help and local resources. PPE for businesses reopening and any other need to entities trying to prevent and prepare.

2. Identify the “core” programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated. Example: A homeless shelter’s “core” program might be its basic overnight shelter service, while it’s counseling or job placement services are “support” programs.

The core programs of our GNHCC organization are support programs for businesses, members and individuals in Norwalk with a focus on the Hispanic communities. We help provide networking events prior to covid, business openings, strategies, supports and solutions for individuals and businesses.

We want to help by responding and offering assistance and support in spanish and english to prepare and help prevent the spread of Covid-19. When businesses begin to reopen they will need guidance and PPE personal protective equipment for them employees and customers.

3. Check "YES" or "NO" to the following questions.

A. Does your organization have a Board of Directors?

YES we have board and are a non profit.

Is your organization exempt under IRS Code 501(c) (3)

No we are not a 501c3 we are a 501c6 non profit and we will supply the determination letter from the IRS.

-

C. Are your organization's services available to Norwalk residents?

YES our services are available and located here in Norwalk.

D. Does your organization have an EEO Policy?

YES we have an equal opportunity policy we will attach.

F. Does your organization have a written Procurement Policy? No the GHNCC has a working board with few board members. Our board oversees everything personally as we do not have any employees, just the working board. Our working board has effective by laws that also help to guide the decisions of the Chamber.

G. Is your organization considered a Faith-Based Organization?

No, we are not a faith based organization.

H. Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal* We are not requesting funds for a property. Employee Handbook attached

I. Include a copy of your written Policy on Record Keeping*

J. Include a copy of your most current audited Financial Statements.

We will include our most recent financial statement.

****Please note that requested documentation (from above) must be submitted to the***

Norwalk Redevelopment Office only if you are a new applicant or if there have been any changes to a previously filed documentation.

Norwalk Redevelopment Agency CDBG-CV Application

PART 2. PROPOSED PROJECT/ACTIVITY

GENERAL DESCRIPTION 1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete.

Description of Proposed Project

To provide assistance to the community to respond, prepare, and prevent the spread of covid and to provide support to local agencies, individuals and members by educating our business community on the guidelines for Covid 19 and marketing in spanish. Primarily in the areas of assisting spanish speaking communities and directing them to services and information in their language such as where to find tele health or covid test sites, emergency food, DOL help and local resources.

We have fees to become a member but no one would have to pay for our services related to Covid-19. We want to serve everyone who needs help. We feel that having so many that don't speak or write in english that providing education to individuals and businesses in their native language of spanish especially could effectively help. That portion of our community as well as others who may not know what to do, or where to go for resources and help for Covid related challenges. We feel that a response in the light of education on guidelines and resources in english and spanish related to Covid-19 will help prepare and prevent the spread of Covid-19. PPE such as face shields, masks, and distance temperature reading thermometers to individuals, hospitals, clinics, elderly homes, and local businesses that are planning on reopening. We want to purchase these items and distribute them to the businesses members and other businesses that are planning on reopening such as but not limited to restaurants, salons, child care facilities.

We serve clients with population data as broken down here

81% of the population falls well under the LMI.
81/100 members.

Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; 81% of our client population falls under the LMI status and the majority are adults 29-85 years of age. We have approximately 100 members served annually and will serve everyone in the Covid-19 Prevention and preparation program.

2. Check the box that best describes the proposed project/activity.

☒ **Public service activity**

☐ **Rehabilitation activity**

☐ **New construction activity**

☐ **Real property acquisition activity (i.e. land/building).**

☐ **Other (explain)**

3. Check the box that applies to the proposed project/activity.

☒ **New “core” program**

☒ **Expansion of existing “core” program**

- ☐ Support of existing “core” program (with no expansion)
- ☐ New “support” program
- ☒ Expansion of existing “support” program
- ☐ Existing “support” program (with no expansion)
- ☐ Other (explain)

follows:

4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose? NO religious purposes.

 —
 # _____
 # 150
 person
 s or
 families
 per
 month_

- Page 6 of 14

5. How many persons or families (unduplicated #s) will the proposed

project/activity serve? Indicate one as

Week
 Month
 h
 Year
 Week
 Month
 h
 Year
 Week
 Month
 h
 Year

Norwalk Redevelopment Agency CDBG-CV Application

6. How many persons or families (unduplicated #s) in Question 7, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)? 100 monthly

#_100

Monthly

Week

Mont

h

Year

Week

Mont

h

Year

What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? Check more than one box, if necessary. Note that the organization must be able to prove the income eligibility of beneficiaries.

☐

☒

☐

☒

☐

☒

☐

☒

7. How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG- CV income guidelines on Page 2 of this application)?

#150

Monthly

Week

Mont

h

Year

Week

Mont

h

Year

Name

Address

Income

Other

Name

Address

Income

Other

Name

Address

Income

Other

Name

Address

Income

Other

Name

Address

Income

Other

*** Failure to answer Questions 6 – 9 may disqualify application.**

9. Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation

application evidencing the below qualification. Examples: Client In-take forms (no names), proposed budget, etc.

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

X Area Benefit. Activity meets needs of LMI persons residing in an area where at least 51% of the population is LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood.

Documentation Attached:

☐ **Limited Client Benefit.** Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the criteria, check the applicable number.

Documentation Attached: ☐ (1) Project/activity maintains client records on income and family size, documenting that such persons qualify as LMI.

(2) Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons.

(3) Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons.

(4) Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.)

Norwalk Redevelopment Agency CDBG-CV Application

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ____yes ____X no If yes, please explain:

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ____yes _x_ no. If yes,

2. What is the total cost of the proposed project? Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor estimates, architect/engineer estimate.

3. Describe your organization's fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

All fiscal management is handled by the CPA on the treasury of the board. All reporting and accounting by him and overseen by the president and vice president/founder of the board. All reporting is aligned by the procurement policy and non profit by laws.

4. Attach an explanation on how the proposed project will affect your administrative budget. Statement as attachment 4.

(example: additional personnel, maintenance, office space, etc.) Include an explanation on long- term funding/sustaining the proposed project.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish). Attach timeline.

- Page 8 of 14 -
Amount Pending

Amount Denied

Norwalk Redevelopment Agency CDBG-CV Application

PART 4. ORGANIZATIONAL EFFICIENCY

1. How many staff members will be directly associated with the proposed project? 1 president, 1 vice president, 4 working board members will be directly associated with our proposed project. 1-2 staff members will be assigned additionally to solely serve this effort outlined in this application to respond, prepare and help prevent the spread of Covid-19. We have the potential for volunteer interns to work along side our team to help with fulfillment and disbursement of PPE, applications and education.

Professional Support Volunteer Full-Time Staff Part-Time Staff

Include a list of those involved in completing the project. The list must include: each person's name and a summary of job duties in relation to the proposed project.

Mariella Castagnet – President

Warren A. Peña – Vice President

Edgar R. Abreu Jr. – Treasurer

Eva Perello – Marketing Director

2. If your organization has an elected or appointed board, complete the questions below.

NAME OF BOARD/COMMITTEE: Greater Norwalk Hispanic Chamber of Commerce_

List the names of the individuals on the board and or the position they may hold on the board.

Mariella Castagnet – President

Warren A. Peña – Vice President

Edgar R. Abreu Jr. – Treasurer

Eva Perello – Marketing Director

Board-Duties assigned as needed.

Robert Vargas

Hector Pachas

Agustin Saravia

Cesar Pineda

Catalina Ramirez

Jose M Soto Ortiz

a. Number of voting board members as of January 1, 2020 _6 Board Members

Vacancies? _____0_____

b. How many board members reside within the City of Norwalk?

6 Board members reside in Norwalk CT

c. How are the board members chosen? By the guidelines set fourth in our By Laws. They are voted based on timely completion of their term which is 3 years.

d. Does your organization provide any board training and/or orientation? ____yes training is provided once every 3 years.

If so, how often is training provided?

e. How long is a term? ____3 years____ How many consecutive terms may be served? ____Unrestricted term____
duration____

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. Has the organization attempted to coordinate the project with other agencies to avoid duplication of services?
____yes ____

2. Identify other agencies in Norwalk (including non-profit and government) that provide services similar to the proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies?
The Norwalk Chamber of Commerce does similar activities and supports but they do not respond or really help the hispanic community and their lack of ability to speak and write in spanish.

3. Identify other agencies in Norwalk that provide services directed toward the same target beneficiaries of the project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?
provide interagency referrals to score and WDMD.

- Page 9 of 14 -

Norwalk Redevelopment Agency CDBG-CV Application

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants:

ORGANIZATION NAME:

Organization is:

1. Corporation ()

2. Non-Profit 501(c)(3)

GNHCC is a 501c6 non profit organization

(3. Partnership () 4. Sole Owner () 5. Association () 6.
Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the a mentioned organization or project proposed.

Name, Job Title and Norwalk Redevelopment Agency Department

No conflict of interest.

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a po interest" in the organization or project.

Name/Title

No Conflict of interest.

NOTE: If the applicant has provided names in question 1 or 2, please provide details regarding any known conflicts of interest in an attached narrative.



The area benefit is an LMI area around the Wall street area of Norwalk and it has 81% of its population meet the LMI but the program is offered to everyone regardless of income. 0437 (LMI Tract)



Budget Summary

The Greater Norwalk Hispanic Chamber of Commerce would like to apply for \$55,000

\$30,000 Education on guidelines related to Covid-19 and resources. Funds requested are for Materials for marketing, administrative costs, print, video and media to provide education on covid guidelines in english and spanish.

\$25,000 PPE personal protective equipment.

250 No contact thermometers \$17,250

500 Face Shields \$1245.00

1100 masks \$6,505

**Greater Norwalk Hispanic Chamber of
Commerce**
Employee Handbook

Table of Contents

Section 1: Introduction:	<i>1.1 Purpose of this Handbook</i>
	<i>1.2 Changes of Policy</i>
	<i>1.3 Employment Forms</i>
Section 2. Terms & Definitions:	<i>2.1 Definition of "At-Will" Employment</i>
	<i>2.2 Types of Worker</i>
Section 3. Payroll:	<i>3.1 Payment Schedule</i>
	<i>3.2 Wages</i>
	<i>3.3 Deductions & Garnishment</i>
Section 4. Rights & Policies:	<i>4.1 Equal Opportunity Employment Policy</i>
	<i>4.2 Accommodation for Disabled Employees</i>
	<i>4.3 Employment of Minors</i>
	<i>4.4 Employment of Relatives</i>
	<i>4.5 Religion & Politics</i>
	<i>4.6 Private Information</i>
	<i>4.7 Leaves of Absence</i>
Section 5: Employment Benefits:	<i>5.1 Unemployment Insurance</i>
	<i>5.2 Workers' Compensation</i>
	<i>5.3 Social Security Benefits (FICA)</i>
	<i>5.4 Additional Benefits</i>
Section 6. Rules of Conduct:	<i>6.1 On the Job</i>
	<i>6.2 Rules & Policies</i>
	<i>6.3 Disciplinary Action</i>

Section 1. Introduction

1.1. Purpose of this Handbook

The purpose of this Handbook is to familiarize you - the employee - with the policies, rules and other key aspects of Greater Norwalk Hispanic Chamber of Commerce (the "Company"). The information in this handbook supersedes all rules and policies that may previously have been expressed or implied, in both written and oral format. Compliance with this Handbook is compulsory for all employees. The Company reserves the right to interpret this Handbook's content as it sees fit, and to deviate from policy when it deems necessary.

1.2 Changes of Policy

Greater Norwalk Hispanic Chamber of Commerce reserves the right to change this Handbook's content, at any time and at our sole discretion. Its provisions may not be altered by any other means, oral or written. You will receive written notice of any changes we make to the employee handbook and are responsible for understanding and complying with all up-to-date policies. If you are confused about any information defined herein, please contact the Human Resources Manager.

1.3 Employment Forms

All new employees are required to complete and submit the following forms. Starred (*) forms can be found at the end of this manual. All others have been or will be provided separately.

*At-Will Employment Agreement and Acknowledgement of Receipt of Employee Handbook **

Employment Eligibility Form I-9

On the day of hire, each new employee is legally obligated to complete the Employment Eligibility Verification Form I-9 and submit documents to verify identity and employment eligibility within the next three (3) business days. The same policy applies to re-hired employees whose I-9's are over three (3) years old or otherwise invalid.

Section 2. Terms & Definitions

Greater Norwalk Hispanic Chamber of Commerce typically employs less than 20 employees regular and temporary employees on an "at-will" basis. This section defines the terms of "at-will" employment, as well as the different types of employees we hire.

2.1 Definition of "At-Will" Employment

The job of an "at-will" employee is not guaranteed. It may be ended, at any time and with or without notice, by the employee or, for a lawful reason, by the Company. The Company also reserves the right to alter an "at-will" employee's benefits, pay rate, and assignments as it sees fit. The "at-will" terms of employment may only be changed with the approval of the President, CEO or CFO, and must be signed off by the President or the CEO.

2.2 Types of Worker

This section distinguishes between the different types of workers the Company employs. Employee status is established at the time of hire and may only be altered via a written statement signed by the Company.

Exempt vs Non-Exempt

Most employees are non-exempt, meaning they are entitled by law to at least minimum wage and premium pay for overtime. Exempt employees are not subject to these laws. Exempt status is defined by standards set by state law and the Federal Labor Standards Act (FLSA). This class of employee is usually an executive, an administrator, or a highly paid specialist such as a programmer.

Regular vs. Temporary

Regular employees work a regular schedule, either on a full-time or part-time basis. To be considered full-time, an employee must work at least 35 hours per week. A temporary employee is a person we hire for a short period (usually 3 months at maximum) to assist with a project or remedy a staff shortage. A temporary employee is also employed on an "at-will" basis (defined above).

Independent Contractors & Consultants

Independent contractors and consultants are not Company employees, but rather self-employed professionals whom we hire for specific projects. Unlike employees, they do not operate under Company direction, and control their own methods, materials and schedules. They are not eligible for Company benefits.

Section 3. Payroll

3.1 Payment Schedule

Employees are paid twice a month generally on the 1st and the 15th of the month.

In cases where the regular payday falls on a holiday, Employees will receive payment on the last business day before said holiday.

3.2 Wages

Wages vary from employee to employee and are based on level of skill and experience. The Company conducts regular evaluations of all employees and issues promotions as it sees fit. Employees who feel entitled to higher pay may contact Treasurer Edgar R. Abreu Jr. to discuss.

In addition to regular pay, employees may have the option of earning overtime pay and/or bonuses.

Overtime

A non-exempt employee may work overtime on the terms defined by Connecticut law pending prior authorization by his or her manager.

3.3 Deductions & Garnishment

Deductions

Federal and state law requires that we deduct the following from every paycheck:

- Social Security
- Income tax (federal and state)
- Medicare
- State Disability Insurance & Family Temporary Disability Insurance
- Other deductions required by law or requested by the employee

A Wage and Tax Statement (W-2) recording the previous year's wages and deductions will be provided at the beginning of each calendar year.

If at any time you wish to adjust your income tax withholding, please fill out the designated form and submit it to Accounting.

Wage Garnishment

Sometimes, the Company receives legal papers that compel us to garnish an employee's paycheck - that is, submit a portion of said paycheck in payment of an outstanding debt of the Employee. We must, by law, abide by this either until ordered otherwise by the court or until the debt is repaid in full through withheld payments or otherwise.

Section 4. Rights & Policies

The following section summarizes your legal rights as an employee of Greater Norwalk Hispanic Chamber of Commerce. Questions about any policy detailed in this section may be addressed with a Human Resources representative.

4.1 Equal Opportunity Employment Policy

The Company provides equal employment opportunities to all applicants, without regard to unlawful considerations of or discrimination against race, religion, creed, color, nationality, sex, sexual orientation, gender identity, age, ancestry, physical or mental disability, medical condition or characteristics, marital status, or any other classification prohibited by applicable local, state or federal laws. This policy is applicable to hiring, termination and promotion; compensation; schedules and job assignments; discipline; training; working conditions, and all other aspects of employment with Greater Norwalk Hispanic Chamber of Commerce. As an employee, you are expected to honor this policy and to take an active role in keeping harassment and discrimination out of the workplace.

4.2 Accommodation for Disabled Employees

We are happy to work with otherwise qualified disabled employees in order to accommodate limitations, in accordance with the Americans with Disabilities Act (ADA). It is up to the employee to approach his or her supervisor with this request, and to provide medical proof of his or her needs upon the Company's request.

We are also happy to accommodate employees diagnosed with life-threatening illnesses. Such employees are welcome to maintain a normal work schedule if they so desire, provided that we receive medical papers proving their working cannot harm themselves or others and their work remains at acceptable standards.

4.3 Employment of Minors

Our policy on employment of minors adheres to all FLSA standards, including the following:

- Minimum employment age (14 for non-agricultural work)
- Maximum weekly hours for employees under 16
- Minimum hazardous job employment age (18)
- Minimum wage standards for students, apprentices, disabled employees, and employees under the age of 20.

4.4 Employment of Relatives

The employment of relatives can prove problematic, particularly in situations where relatives share a department or a hierarchical relationship. The Company will not hire relatives to work in any potentially disruptive situation. An employee must inform us if he or she becomes a co-worker's relative. If at any time we perceive the situation to be dysfunctional, we may have to reassign or ask for one relative's resignation in order to remedy the situation.

4.5 Religion & Politics

Greater Norwalk Hispanic Chamber of Commerce is respectful of all employees' religious affiliations and political views. We ask that if you choose to participate in a political action, you do not associate the Company in any way. We are happy to work with employees to accommodate political and religious obligations, provided accommodations are requested from a manager in advance.

4.6 Private Information

Employee information is considered to be private and only accessed on a need-to-know basis. Your healthcare information is completely confidential unless you choose to share it. In some cases, employees and management may receive guidelines ensuring adherence to the Health Insurance Portability and Accountability Act (HIPAA).

Personnel files and payroll records are confidential and may only be accessed for legitimate reasons. If you wish to view your files, you must set up an appointment in advance with Human Resources. A Company-appointed record keeper must be present during the viewing. You may only make photocopies of documents bearing your signature, and written authorization is needed to remove a file from Company premises. You may not alter your files, although you may add comments to items of dispute.

Certain information, such as dates of employment and rehiring eligibility, are available by request only. We will not release information regarding your compensation without your written permission.

4.7 Leaves of Absence

Employees requiring time off from work may apply for a leave of absence.

All leaves must be approved by management. For planned leaves, employees must submit requests at least 10 days in advance. Emergency leaves must be requested as soon as possible. Accepting/performing another job or applying for unemployment benefits during leave will be considered voluntary resignation.

We consider all requests in terms of effect on the Company and reserve the right to approve or deny requests at will, except when otherwise directed by law. Any request for a leave of absence due to disability will be subject to an interactive review. A medical leave request must be supported in a timely manner by a certification from the employee's healthcare provider. Extension of leave must be requested and approved before the current leave ends. No employee is guaranteed reinstatement upon returning from leave, unless the law states otherwise. However, the Company will try to reinstate each returning employee in his or her old position, or one that is comparable.

Below are the three main types of leave that Greater Norwalk Hispanic Chamber of Commerce offers employees. Some, but not all, are governed by law.

Work-Related Sickness & Injury

Employees eligible for Worker's Compensation rendered unable to work because of a work-related injury or illness will receive an unpaid leave for the period required. For eligible employees, the first 12 weeks will be treated concurrently as a family and medical leave under FMLA.

Maternity

An employee disabled on account of pregnancy, childbirth, or a related medical condition may request an unpaid leave of absence of up to four months. Time off may be requested for prenatal care, severe morning sickness, doctor-ordered bed rest and recovery from childbirth.

Election Days

Provided an employee's schedule does not allow time for voting outside of work, and that he/she is a registered voter, he/she may take up to two hours, with pay, at the beginning or end of a workday, to vote in local, state or national elections.

Section 5. Employment Benefits

5.1 Unemployment Insurance

Employees rendered unemployed through no fault of their own or due to circumstances prescribed by law, and who meet the State eligibility requirements for time worked or wages earned, may receive unemployment insurance (also called unemployment benefits or compensation). State agencies directly administer this insurance and determine benefit eligibility, amount (if any), and duration.

5.2 Workers' Compensation

Workers' Compensation laws compensate for accidental injuries, death and occupational disabilities suffered in the course of employment. Greater Norwalk Hispanic Chamber of Commerce provides Workers' Compensation Insurance for all employees. Generally, this includes lost wages, disability payments and hospital, medical and surgical expenses (paid directly to hospital/physician) and assistance for injured employees in returning to suitable employment.

5.3 Social Security Benefits (FICA)

Both employees and the Company contribute funds to the federal Social Security Program as prescribed by law, providing retirees with benefit payments and medical coverage where applicable.

Section 6. Rules of Conduct

6.1 On the Job

Reporting for Work

Employees are expected to begin and end each shift at the time and on the day appointed. You must inform your supervisor before the start of the workday if you will be absent or late and obtain his or her permission to leave early. Absences and late arrivals will be recorded. Should your absences or tardiness exceed a reasonable limit, you will be subject to disciplinary action and possible termination. Failing to call one's supervisor or report to work for consecutive workdays will be considered voluntary resignation and result in removal from payroll.

Staying Safe

Safety in the workplace is the Company's number one priority. You must inform your supervisor in the event of unsafe conditions, accident or injury, and use safe working methods at all times.

Meals & Breaks

Unless defined otherwise by Connecticut state law, non-exempt employees are entitled to a paid 10-minute break for every four hours of work, as well as a 30-minute meal break for any shift lasting longer than five hours.

Social Media Policy

Greater Norwalk Hispanic Chamber Of Commerce recognizes the importance and relevance of social media and its benefits in allowing us to receive feedback from customers as well as encourage loyalty and maximize revenue. Thus, we encourage employees to use their personal social networking channel to accomplish these goals provided the following guidelines are respected:

When referring to our Company in any way, Greater Norwalk Hispanic Chamber Of Commerce employees must always conduct themselves in a professional manner and must respect the views and opinions of others.

Behavior and content that may be deemed disrespectful, dishonest, offensive, harassing or damaging to the Company's interests or reputation are not allowed and will not be tolerated.

The use of social media channels on company time for personal purposes is not allowed.

Employees must not disclose private or confidential information about the Company, its employees, clients, suppliers or customers on social networks.

Greater Norwalk Hispanic Chamber Of Commerce reserves the right to monitor company-related employee activity in social media networks; violations of this policy are grounds for discipline in the Company's sole discretion.

Cell Phone Use

Cell phones brought to work must be on silent or vibrate mode to avoid disrupting coworkers. They may only be used during breaks and meal periods, away from where others are working. If cell phone use interferes with operations in any way, an employee's cell phone privilege may be rescinded and disciplinary action, up to and including termination, may be used.

Employees who receive Company cell phones should strive to use them for Company business only. All phones must be shut off during meetings.

6.2 Rules & Policies

Confidentiality

No previous or current employee may disclose or give access to confidential Company information, in any way or at any time, unless otherwise authorized by Management.

Discrimination & Harassment

In keeping with our Equal Opportunity Employment clause, the Company will not tolerate on-site discrimination or harassment on any legally protected basis, including that of physical characteristics, mental characteristics, race, religious or political views, nationality, disability, medical condition, sex, sexual preference, or gender identification. Harassment and discriminatory behavior among employees or contractors will result in disciplinary action, with the possibility of termination. Discrimination and harassment by customers or other business associates should be immediately reported to your supervisor, at which point the Company will investigate and take corrective action. You are welcome to seek legal relief if you find the Company's actions inadequate.

Drugs & Alcohol

Good performance on the part of our employees is crucial to Greater Norwalk Hispanic Chamber of Commerce's success. For this reason, we strictly forbid employees to do the following while at work*:

- Drinking alcohol and selling, purchasing or using illegal drugs at work. An "illegal drug" is any drug that has not been obtained by legal means. This includes prescription drugs being used for non-prescribed purposes.
- Possession of any non-prescribed controlled substance, including alcohol and legal but illegally obtained prescription drugs.
- Reporting for work intoxicated. We reserve the right to test employees for substance abuse. Illegal drugs, illegal drug metabolites, or excessive alcohol in your system will result in disciplinary action up to and including termination.

The Company cares about the overall health and well-being of its employees. Any employee who feels that he/she is developing a substance abuse problem is urged to seek help. The Company will grant time off (within reason) for rehabilitation. Be advised, however, that this will not excuse a substance-related offense. In some cases, completion of Company-approved rehabilitation program may serve as an alternative to termination.

*Including any part of Company property, Company vehicles, and during work hours.

6.3 Disciplinary Action

The Company takes disciplinary matters very seriously and will exact discipline as it sees fit for any unacceptable action or behavior. These may include:

- Excessive lateness and/or absence
- Improper or indecent conduct
- Poor communication
- Uncooperative attitude
- Abuse, perfunctory or unauthorized use, or unauthorized possession of Company property
- Unauthorized use or disclosure of Company information
- Possession and/or use of illegal drugs, weapons or explosives
- Illegal harassment and/or discrimination - of any kind
- Violations of Company policy

Disciplinary action may consist of anything from verbal/written warnings and counseling, to demotion, transfer, suspension or termination. Rather than follow rote procedures, the Company will handle each matter individually to ensure fairness to all involved. Please review and internalize the list of "Don'ts" above and try to use good judgment at all times.

Workplace Inspections

At Greater Norwalk Hispanic Chamber of Commerce we have a responsibility to protect our employees and our property. For this reason, we reserve the right to inspect the following, at any time, with or without notice:

- Offices
- Computers and other equipment
- Company vehicles
- Any personal possessions brought onto Company premises, such as handbags, briefcases, and vehicles.

All inspections are compulsory. Those who resist inspection may be denied access to Company premises and be subject to disciplinary action.

At-Will Employment Agreement and Acknowledgement of Receipt of Employee Handbook

Employee:

I acknowledge that I have received a copy of the Greater Norwalk Hispanic Chamber of Commerce Employee Handbook, which contains vital information on the Company's policies, procedures and benefits.

I understand that this Handbook's policies are intended only as guidelines, not as a contract of employment. I understand that my employment is on "at-will" terms and therefore subject to termination, with or without notice or obvious reason, by myself or the Company. Changes to my "at-will" status may only take the form of a written agreement signed by an authorized member of the Company as well as myself. This agreement supersedes all prior/contemporaneous inconsistent agreements.

I understand that the Company may change its policies, procedures and benefits at any time at its sole discretion, as well as interpret or vary them however it deems appropriate.

I have read (or will read) and agree to abide by all policies and procedures contained therein.

By: _____ Date: _____

By: _____ Date: _____
Warren Pena

Department of the Treasury
Internal Revenue Service

for Tax-Exempt Organization not Required to File Form 990 or 990-EZ

2019

Open to Public Inspection

A For the 2019 Calendar year, or tax year beginning 2019-01-01 and ending 2019-12-31**B** Check if available☐ Terminated for Business☒ Gross receipts are normally \$50,000 or less**C** Name of Organization: GREATER NORWALK HISPANICCHAMBER OF COMMERCE INC197 Newtown Ave, Norwalk,CT, US, 06851**D** Employee IdentificationNumber 47-3386280**E** Website:<http://www.gnorwalkhcc.com/>**F** Name of Principal Officer: Mariella Castagnet197 Newtown Ave, Norwalk,CT, US, 06851

Privacy Act and Paperwork Reduction Act Notice: We ask for the information on this form to carry out the Internal Revenue laws of the United States. You are required to give us the information. We need it to ensure that you are complying with these laws.

The organization is not required to provide information requested on a form that is subject to the Paperwork Reduction Act unless the form displays a valid OMB control number. Books or records relating to a form or its instructions must be retained as long as their contents may become material in the administration of any Internal Revenue law. The rules governing the confidentiality of the Form 990-N is covered in code section 6104.

The time needed to complete and file this form and related schedules will vary depending on the individual circumstances. The estimated average times is 15 minutes.

Note: This image is provided for your records only. Do Not mail this page to the IRS. The IRS will not accept this filing via paper. You must file your Form 990-N (e-Postcard) electronically.

INTERNAL REVENUE SERVICE
P. O. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: JUL 19 2016

THE GREATER NORWALK HISPANIC
CHAMBER OF COMMERCE INC
C/O MARIELLA CASTAGNET
197 NEWTOWN AVE
NORWALK, CT 06851

Employer Identification Number:
47-3386280
DLN:
17053158336026
Contact Person:
DENNIS C GRUESSER ID# 31992
Contact Telephone Number:
(877) 829-5500

Accounting Period Ending:
December 31
Form 990/990-EZ/990-N Required:
Yes
Effective Date of Exemption:
February 24, 2015
Contribution Deductibility:
No
Addendum Applies:
No

Dear Applicant:

We're pleased to tell you we determined you're exempt from federal income tax under Internal Revenue Code (IRC) Section 501(c)(6). This letter could help resolve questions on your exempt status. Please keep it for your records.

If we indicated at the top of this letter that you're required to file Form 990/990-EZ/990-N, our records show you're required to file an annual information return (Form 990 or Form 990-EZ) or electronic notice (Form 990-N, the e-Postcard). If you don't file a required return or notice for three consecutive years, your exempt status will be automatically revoked.

If we indicated at the top of this letter that an addendum applies, the enclosed addendum is an integral part of this letter.

For important information about your responsibilities as a tax-exempt organization, go to www.irs.gov/charities. Enter "4221-NC" in the search bar to view Publication 4221-NC, Compliance Guide for Tax-Exempt Organizations (Other than 501(c)(3) Public Charities and Private Foundations), which describes your recordkeeping, reporting, and disclosure requirements.

THE GREATER NORWALK HISPANIC

Sincerely,

A handwritten signature in black ink, appearing to read 'J. Cooper', with a stylized flourish at the end.

Jeffrey I. Cooper
Director, Exempt Organizations
Rulings and Agreements



Eligibility Intake Form

First NAME _____ Last Name _____

Address Street _____ Apt/unit # _____

City _____ Zip code _____

State _____ Household size _____

Income Weekly, by Weekly, Monthly or annually _____

Ethnicity _____

Signature _____ Date _____



Operating Budget 2019-2020

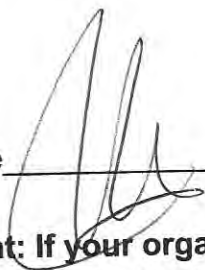
Year	Source	Amount	Total
2019	.Donations from The Daphne Seybolt Culpeper Memorial Foundation, Inc.	Donation \$15,000.	\$25,000
	Latinos Unidos de Connecticut	Donation \$5000.	
	GNHCC Member Fees	Members \$5000.	
2020	Funds Remaining from 2019	\$3800.	\$3,800.



Procurement Policy

1. Warren vice president and Mariella president both must sign off on all purchase orders.
2. Edgar the treasurer must also approve purchases before being submitted to Warren and Mariella.
3. Any purchase over \$2000. Must be discussed with the board for approval of project.
4. Any conflict of interest among board members or potential work must be made public at board meetings.
5. Any and all information discussed is private and written permission must be given by Mariella to share any important personal or business related information.
6. Record keeping must be carried out by Board members and the Secretary documenting any discussions, proposals, conflicts, board minutes, purchases and claims or requests and kept confidential.

Name Mariella Castagnet, Title President

Signature  Date 5/20/2020

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

- Page 4 of
14 -

Norwalk Redevelopment Agency CDBG-CV Application

PART 1. GENERAL INFORMATION ORGANIZATION

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

GNHCC has approximately 100 members. We promote Hispanic Businesses, workforce development, education and networking events. We work with and refer individuals to SCORE and WBDC to help with educational needs. Our board of directors have been working with the Hispanic Community for 5 years implementing programs, referrals and support services.

To provide assistance to the community to respond, prepare, and prevent the spread of covid and to provide support to local agencies, individuals and members by educating our business community on the guidelines for Covid 19 and marketing in spanish. Primarily in the areas of assisting spanish speaking communities and directing them to services and information in their language such as where to find tele health or covid test sites, emergency food, DOL help and local resources.



Statement of Equal Opportunity and Non-Discrimination

The Greater Norwalk Hispanic Chamber of Commerce does not and shall not discriminate on the basis of race, color, religion (creed), gender, gender expression, age, national origin (ancestry), disability, marital status, sexual orientation, or military status, in any of its activities or operations. These activities include, but are not limited to, hiring and firing of staff, selection of volunteers and vendors, and provision of services. We are committed to providing an inclusive and welcoming environment for all members of our staff, clients, volunteers, subcontractors, vendors, and clients.



Statement Regarding Individuals Who Are Not Proficient in English

GNHCC's Language Access Plan

- 1) Emphasizing the importance of providing appropriate language-based access to the GNHCC's programs and activities;
- 2) setting forth the GNHCC language access procedure; and
- 3) assigning and naming managers and staff responsible for implementation.

Definition of LEP Persons

For purposes of this Language Access Plan (the Plan), Limited English Proficient (LEP) persons or LEP customers mean individuals who do not speak English as their primary language and who have a limited ability to read, write, speak, or understand English. Such persons may be eligible to receive language assistance with respect to a particular service, benefit, or encounter.

Point of First Contact

GNHCC will, at the point of first contact with an LEP individual, make reasonable efforts to conduct or arrange for an initial assessment of the need for language assistance services. Components also should make reasonable efforts to obtain such services if they are needed to effectively communicate with the individual. Component staff can determine whether a person needs language assistance in several ways:

- Self-identification by the non-English speaker, LEP individual, or companion;
- Multilingual signage shall be posted in public contact places asking LEP customers to identify the language they need. The agency shall make use of bilingual personnel for initial interpretation services and may use telephonic interpretation services, contract interpreters, or community or professional services as may be necessary. The agency shall maintain a list of its bilingual staff that are willing to provide interpretation services as well as a list of the most common languages encountered
- Inquiring as to the primary language of the individual if they have self-identified as needing language assistance services;

- Asking a multilingual staff person or qualified interpreter to verify an individual's primary language;
- Using an "I Speak" language identification card or poster (examples can be found at <http://www.justice.gov/crt/lep/resources/ISpeakCards2004.pdf>)
- Identifying the language needs of an LEP individual;
- Working with an interpreter in person or on the telephone;
- Providing documents and notices in a multilingual format;
- Requesting documents for translation if not available;
- Accessing and providing language assistance services through multilingual employees, in-house interpreters and translators, or contracted personnel;
- Duties of professional responsibility with respect to LEP individuals;
- Interpreter ethics;
- Reporting and tracking the use of language assistance services; and
- Tips on providing effective assistance to LEP individuals;

Quality Control of Process and Outcomes

Ensuring the quality and accuracy of language assistance services provided by the GNHCC is critical to providing LEP individuals with meaningful access to Department programs and activities. Components should take reasonable steps to ensure that all staff or contracted personnel who serve as translators, interpreters, or who communicate "in-language" with LEP persons, are competent to do so.

Considerations of competency in light of particular tasks may include:

- Proficiency in and ability to communicate information accurately in both English and the target language;
- Ability to identify and employ the appropriate mode of interpreting (e.g., consecutive, simultaneous, or sight translation), translating, or communicating fluently in the target language;

- Knowledge in both languages of any specialized terms or concepts particular to the component's program or activity and of any particularized vocabulary used by the LEP person;
- Understanding and following confidentiality, impartiality, and ethical rules to the same extent as GNHCCf;
- Understanding and adhering to applicable role as interpreter, translator, or multilingual staff.

Special Guidance

Components should also take reasonable steps to ensure that all staff or contracted personnel who serve as translators are briefed by component staff on the context and intended audience for the translated text. For example, components may elect to provide guidance with respect to style, technical word choice, phrasing, or reading level depending on the context or target audience.



Covid-19 Response Plan Timeline

June 1, 2020 Marketing and Advertising of proposed programs to aide the Norwalk community and GHNCC members in the prevention of Covid-19 initiated.

June 4, 2020 Public hearing and presentation of our program proposal and request for funds to the council.

June 15, 2020 All PPE sources identified and quotes of prices completed.

July 6, 2020 Print and marketing materials verbiage on Covid-19 guidelines, resources and support in spanish completed and fully edited.

July 14, 2020 Common Council Action

July 16, 2020 Marketing materials in print and electronic media in spanish on guidelines for Covid-19 and resources launched.

July 16, Announcement on all supports from GHNCC to the community and members.

July 16, 2020 Marketing, Advertisements and education/translation services and PPE to begin and continually distribute until supplies are exhausted or December 31, 2020

December 31, 2020-6/31/2021 Continue scope of work to prepare, prevent and respond to the needs of the City of Norwalk.

HIGHER EDUCATION LITERACY PROGRAM

**NORWALK REDEVELOPMENT AGENCY obo CITY OF NORWALK
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG-CV) PROGRAM
APPLICATION FORM FOR CDBG-CV FUNDS**

Applicant Agency/Organization Name: Higher Education Literacy Professionals, Inc.

President/CEO/Executive Director's Contact Information: Tristan Fields (tfields@collegehelpinc.org)

Type of Organization: Non-Profit

Applicant Mailing Address: 100 Wolfpit Ave Unit 7, Norwalk, CT 06851

Project Location Address: TBD

Age of Building (Public Facility/Housing Applications Only):

Contact Person (designated contact person for the project/proposal):

Name: Tristan Fields

Title: President

Phone #: 203-842-8158

Email Address: tfields@collegehelpinc.org

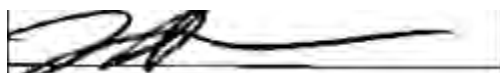
Proposed Project/Activity Name:

College Edge Program COVID19 Adjustments

Brief Description of the Proposed Project/Activity:

These adjustments will allow HELP, Inc. to continue to provide services to students in a safe environment. The College Edge Program is a comprehensive series of college & career readiness workshops, SAT test preparation lessons, college tours, and private coaching sessions designed to guide students and families to and through the college application process. The goal of the College Edge Program is 100% college placement for 20 low-income Norwalk program participants.

I certify that all information provided is correct to the best of my knowledge.



Name, Title & Signature

, Tristan Fields, President, 5/20/20

Date

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

Appendix of Attachments (Begins Page 14)

A. Financials

B. LMI Client intake form

C. Statement of Equal Opportunity and Non-Discrimination

D. Procurement Policy

E. Tax Exempt Letter

F. Liability Release Form

G. 501(c)3 Letter

H. FY19 Annual Report

I. Board Meeting Minutes

J. Press

PART 1. GENERAL INFORMATION

ORGANIZATION

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

Higher Education Literacy Professionals (HELP) has successfully raised college awareness for over 100 Norwalk teens and families through the College Edge Program, and those who enrolled in the SAT prep course saw gains around 100 points. HELP, Inc. has partnered with Norwalk High School, the Norwalk Education Foundation, Breakthrough Options for Families, and the Mayor's Summer Youth Employment Program to execute the Edge program. So far, every student who has successfully completed the program and graduated high school has matriculated onto a college campus. HELP has carried projects partially funded by CDBG for 3 consecutive years.

2. Identify the “core” programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated. Example: A homeless shelter’s “core” program might be its basic overnight shelter service, while it’s counseling or job placement services are “support” programs.

The College Edge Program

3. Check “YES” or “NO” to the following questions.

- | | | | |
|----|--|---|--|
| A. | Does your organization have a Board of Directors? | ☒ YES | ☐ NO |
| B. | Is your organization exempt under IRS Code 501(c) (3)? (If yes, provide documentation*) | ☒ YES | ☐ NO |
| C. | Are your organization’s services available to Norwalk residents? | ☐ YES | ☒ NO |
| D. | Does your organization have an EEO Policy? (Include a copy*) | ☒ YES | ☐ NO |
| E. | If a housing provider, does your organization have a written Fair Housing Policy including accessibility (504) requirements? (Include a copy*) | ☐ YES | ☒ NO |
| F. | Does your organization have a written Procurement Policy? (Include a copy*) | ☐ YES | ☒ NO |
| G. | Is your organization considered a Faith-Based Organization? | ☐ YES | ☒ NO |
| H. | Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal* | | |
| I. | Include a copy of your written Policy on Record Keeping* | | |
| J. | Include a copy of your most current audited Financial Statements | | |

****Please note that requested documentation (from above) must be submitted to the Norwalk Redevelopment Office only if you are a new applicant or if there have been any changes to a previously filed documentation.***

PART 2. PROPOSED PROJECT/ACTIVITY

GENERAL DESCRIPTION

1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of **preventing, preparing** for and/or **responding** to the **COVID-19 outbreak**. Omission of requested information may be a cause to reject application.

The funds will be used to help us provide our free educational services for students in a way in which infection transmission is controlled. For example, the cleaning products will be used on surfaces used by staff and students. The Chromebooks will allow students to work remotely on assignments when congregating is prohibited. The pencils will allow us to provide writing utensils to students so they don't have to share or borrow from one another which would increase exposure to germs. The mini-white boards and dry erasers will allow students to complete and show their work on camera while working remotely. The subscription to online platforms will allow staff to pre-screen students and staff for COVID 19 while remaining HIPAA compliant.

2. Check the box that best describes the proposed project/activity.

- ☒ **Public service activity**
☐ **Rehabilitation activity**
☐ **New construction activity**
☐ **Real property acquisition activity (i.e. land/building).**
☐ **Other (explain) _____**

2. Check the box that applies to the proposed project/activity.

- ☐ **New "core" program**
☒ **Expansion of existing "core" program**
☐ **Support of existing "core" program (with no expansion)**
☐ **New "support" program**
☐ **Expansion of existing "support" program**
☐ **Existing "support" program (with no expansion)**
☐ **Other (explain) _____**

4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose? ☐ YES ☒ NO
5. How many persons or families (unduplicated #s) will the proposed project/activity serve? Indicate one as follows:
20 Week
20 Month
40 Year

- | | | | |
|----|--|---------|-------|
| 6. | How many persons or families (unduplicated #s) in Question 7, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)? | # _____ | Week |
| | | # _____ | Month |
| | | # _____ | Year |
| | | | |
| 7. | How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG-CV income guidelines on Page 2 of this application)? | # _____ | Week |
| | | # _____ | Month |
| | | # _____ | Year |

*** Failure to answer Questions 6 – 9 may disqualify application.**

- | | | | |
|----|--|-------------|--|
| 8. | What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? <u>Check more than one box, if necessary</u> . Note that the organization must be able to prove the income eligibility of beneficiaries. | ✓
✓
✓ | Name
Address
Income
Other |
| | | | |
| 9. | Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation with the application evidencing the below qualification. Examples: Client In-take forms (no names), proposed rents, etc. | | |

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

- ☐ **Area Benefit.** Activity meets needs of LMI persons residing in an area where at least 51% of the residents are LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood.
Documentation Attached: ☐
- ✓ **Limited Client Benefit.** Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the subcategories, check the applicable number.
 - Documentation Attached: ☐
 - ✓ Project/activity maintains client records on income and family size records documenting that such persons qualify as LMI.
 - ☐ Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons.
 - ☐ Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons.
 - ☐ Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.)

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? X yes ____no

If yes, please explain:

Payroll Protection Program

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ____yes ____no.

If yes, please explain below and include any letter(s) of commitment for ongoing funds or approved funds from other source(s) to assist with the proposed project that you are requesting.

If yes, what funding source?	Amount Requested	Amount Approved	Amount Pending	Amount Denied
PPP	3,000	3,000		

2. What is the total cost of the proposed project? Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor and/or architect/engineer estimate.

Item	Cost
Personnel	\$3,000
4 Boxes of Masks (50 masks per box)	\$100
50 Bottles of Hand Sanitizer	\$200
20 Disinfectant Wipes Containers	\$100
4 Pencil Packs (100 pencils per pack)	\$120
10 Chromebooks	\$2,000
2 Tech Tubs for Chromebooks	\$400
1 Pack Dry Whiteboards (25 per pack)	\$40
No Touch Forehead Thermometer	\$50
Prescreening App	\$200
Total	\$6,210

3. Describe your organization's fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

HELP uses Gusto for payroll services, Quick Books for financial reporting and accounting, and outside firms for auditing. The board reviews the budget and accounting.

4. Attach an explanation on how the proposed project will affect your administrative budget (example: additional personnel, maintenance, office space, etc.) Include an explanation on long-term plans for funding/sustaining the proposed project.

These funds will increase our maintenance and materials budget.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish).

August – Begin posting job descriptions for SAT instructors and college counselors

September – Recruit students for program and launch program

October – April – Monitor program and communicate progress to parents and families

May – Host College Signing Day event to celebrate completion of the program and commitment to college

PART 4. ORGANIZATIONAL EFFICIENCY

1. How many staff members will be directly associated with the proposed project?

	Professional	Support	Volunteer
Full-Time Staff			
Part-Time Staff	3	1	10

Include a list of those involved in completing the project. The list must include: each person's name and a brief summary of job duties in relation to the proposed project.

Tristan Fields - Advertising the project, recruiting students, purchasing materials, reserving transportation, booking rooms, preparing program workbooks, and developing SAT prep curriculum. Managing the program expenses, organizing program documentation, and recording & compiling quarterly reports

Math Instructor – Prepping and teaching SAT math lessons as well as leading college workshops

English Instructor – Prepping and teaching SAT English lessons as well as leading college workshops

Admin - communicating with families, researching sub-contracting vendors, coordinating college tour & fair trips

Volunteers – Meeting to help with personal statements (college essays) and offering career exploration guidance

2. If your organization has an elected or appointed board, complete the questions below.

NAME OF BOARD/COMMITTEE: HELP Board and Advisory Council

List the names of the individuals on the board and the position they may hold on the board.

1. Tristan Fields – President
2. Adriana Fields – Secretary
3. Jeffery Kennerly – Treasurer
4. Jermaine Miller – Board Member
5. Tressan Garcia – Board Member
6. Emanuela Cerbert – Board Member
7. Rebecca Parmlee – Board Member

- a. Number of voting board members as of January 1, 2020 7 Vacancies? _____
- b. How many board members reside within the City of Norwalk? 2
- c. How are the board members chosen?
Candidates are brought before the board for a vote.

d. Does your organization provide any board training and/or orientation? X yes _____ no
If so, how often is training provided?

e. How long is a term? 2 years How many consecutive terms may be served? 10

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. Has the organization attempted to coordinate the project with other agencies to avoid duplication of services? X yes _____ no If yes, please explain.

We are in communication with Norwalk Public Schools and other community based organizations to ensure that were not duplicated.⁶

2. Identify other agencies in Norwalk (including non-profit and government) that provide services similar to your proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies?

There aren't really any organizations that offer the same set of services as HELP, Inc. The Carver Center offers college tours but those tend to be to Historically Black College and Universities. HELP hosts tours to only colleges in CT. The schools offer SAT prep but the SAT prep course aren't as long or focused. In other words, HELP's SAT prep course include more lesson, practice tests, and content than typically covered in the classes offered in school.

3. Identify other agencies in Norwalk that provide services directed toward the same target beneficiaries of your proposed project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants:

ORGANIZATION NAME: Higher Education Literacy Professionals, Inc.

Organization is:

1. Corporation ()
2. Non-Profit 501(c)(3) (X)
3. Partnership ()
4. Sole Owner ()
5. Association ()
6. Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the above-mentioned organization or project proposed.

Name, Job Title and Norwalk Redevelopment Agency Department

N/A

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a potential "financial interest" in the organization or project.

Name/Title

N/A

NOTE: If the applicant has provided names in question 1 or 2, please provide details regarding any known potential conflicts of interest in an attached narrative.

Higher Education Literacy Professionals, Inc

Budget vs. Actuals: Operating Budget - FY18 P&L Classes

July 2018 - June 2019

	TOTAL			% of
	Actual	Budget	over Budget	Budget
Revenue				
Grants & Contributions	22,262.23	23,800.00	-1,537.77	93.54%
Refunds-Allowances	297.95	0.00	297.95	
Security Deposit	868.00	0.00	868.00	
Services	27,960.00	22,450.00	5,510.00	124.54%
Uncategorized Income	700.00	0.00	700.00	
Total Revenue	\$ 52,088.18	\$ 46,250.00	\$ 5,838.18	112.62%
Expenditures				
Bank Charges	305.72	0.00	305.72	
Deposit Refund	700.00	0.00	700.00	
Dues & Subscriptions	90.00	0.00	90.00	
Insurance	632.42	600.00	32.42	105.40%
Insurance - Liability	1,556.00	1,300.00	256.00	119.69%
Job Materials	1,702.92	2,000.00	-297.08	85.15%
Legal & Professional Fees	1,818.57	2,000.00	-181.43	90.93%
Meals and Entertainment	1,182.62	1,000.00	182.62	118.26%
Office Expenses	122.19	0.00	122.19	
Postage And Delivery	112.00	0.00	112.00	
Promotional	1,715.73	1,500.00	215.73	114.38%
QuickBooks Payments Fees	686.80	600.00	86.80	114.47%
Salaries and wages	27,038.36	29,000.00	-1,961.64	93.24%
Shipping and delivery expense	144.00	0.00	144.00	
Taxes & Licenses	8,433.93	5,000.00	3,433.93	168.68%
Travel	3,216.55	3,000.00	216.55	107.22%
Total Expenditures	\$ 49,457.81	\$ 46,000.00	\$ 3,457.81	107.52%
Net Operating Revenue	\$ 2,630.37	\$ 250.00	\$ 2,380.37	1052.15%
Other Expenditures				
Miscellaneous	1,200.00	0.00	1,200.00	
Total Other Expenditures	\$ 1,200.00	\$ 0.00	\$ 1,200.00	
Net Other Revenue	-\$ 1,200.00	\$ 0.00	-\$ 1,200.00	
Net Revenue	\$ 1,430.37	\$ 0.00	\$ 1,430.37	

Sunday, Dec 01, 2019 12:38:36 PM GMT-8 - Cash Basis

Higher Education Literacy Professionals, Inc

Budget vs. Actuals: Operating Budget - FY18 P&L Classes

July 2018 - June 2019

	College Edge Program			
	Actual	Budget	over Budget	% of Budget
Revenue				
Grants & Contributions	21,773.53	23,800.00	-2,026.47	91.49%
Refunds-Allowances			0.00	
Security Deposit	868.00		868.00	
Services	4,450.00		4,450.00	
Total Revenue	\$ 27,091.53	\$ 23,800.00	\$ 3,291.53	113.83%
Gross Profit	\$ 27,091.53	\$ 23,800.00	\$ 3,291.53	113.83%
Expenditures				
Deposit Refund	700.00		700.00	
Dues & Subscriptions	90.00		90.00	
Insurance	632.42		632.42	
Insurance - Liability	1,014.90	1,300.00	-285.10	78.07%
Job Materials	1,618.16	2,000.00	-381.84	80.91%
Legal & Professional Fees	942.10	1,000.00	-57.90	94.21%
Meals and Entertainment	1,152.62	1,000.00	152.62	115.26%
Office Expenses			0.00	
Postage And Delivery			0.00	
Promotional	1,343.59	1,000.00	343.59	134.36%
QuickBooks Payments Fees			0.00	
Salaries and wages	10,101.76	12,000.00	-1,898.24	84.18%
Shipping and delivery expense			0.00	
Taxes & Licenses	8,408.93	2,500.00	5,908.93	336.36%
Travel	3,216.55	3,000.00	216.55	107.22%
Total Expenditures	\$ 29,221.03	\$ 23,800.00	\$ 5,421.03	122.78%
Net Operating Revenue	-\$ 2,129.50	\$ 0.00	-\$ 2,129.50	
Net Revenue	-\$ 2,129.50	\$ 0.00	-\$ 2,129.50	

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NORWALK

PROGRAMA DE DESARROLLO DE LA COMUNIDAD

Información del Jefe de Familia

Esta información es necesaria para determinar si usted es elegible y podrá recibir asistencia bajo las leyes federales del programa. Sus respuestas son confidenciales y solo se emplearán para su uso estadístico. **POR FAVOR CONTESTE TODAS LAS PREGUNTAS.**

Nombre(s) de el beneficiario o los beneficiarios de CDBG:	
Nombre del Jefe de Familia:	
Dirección (Apartado postal– PO Box):	
Edad del Jefe de Familia:	☐ Menos 62 ☐ Mas de 62
Cuantas Personas hay en la familia, incluya al jefe de familia:	
Edad del mas joven de la familia:	☐ Años
Sexo del Jefe de la Familia:	☐ Masculino ☐ Femenino
Tiene el Jefe de la Familia algún impedimento físico?	☐ Si ☐ No
Étnica y Raza del Jefe de la Familia:	Raza:
Étnica:	☐ Negro ☐ Blanco
☐ Hispano	☐ Asiático ☐ Otra _____
☐ No-hispano	☐ Nativo de Hawai / Isleño Pacifico
	☐ Indio Americano / Nativo de Alaska

Información de Ingreso Anual de la Familia

Indique todos los ingresos de las personas que viven en la casa, que tienen más de 16 años de edad y no están en la escuela. Asimismo señale de donde provienen éstos ingresos.

Fuente de Ingreso	Ingreso Anual
(Nombre de la compañía donde trabaja, banco, asistencia publica, agencia o individuo que le paga a usted)	

CERTIFICATIONS: Yo, certifico que la información proveída en este formulario esta completa y correcta. También autorizo a la Agencia del Desarrollo de Norwalk (Norwalk Redevelopment Agency) que verifique cualquier / o toda la información contenida en este foomulario.

FIRMA: _____ **FECHA:** _____

Office Use Only

INCOME CATEGORY: ☐ Extremely Low Income ☐ Low Income ☐ Moderate Income ☐ Over Income

COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

Household Information Sheet

This information is required in order to determine eligibility for assistance under a federally-assisted program. The responses on this form will be used for eligibility decisions and statistical purposes only and will otherwise be held strictly confidential. **PLEASE ANSWER ALL QUESTIONS.**

Name of Beneficiary of CDBG-funded Activity:	
Name of Head of Household:	
Street Address (No P.O. Boxes):	
Head of Household's Age: ☐ Under 62 years ☐ Over 62 years	
Number of persons in household, including head of household:	
Age youngest person in household: _____ Years old	
Gender of Head of Household: ☐ Male ☐ Female	
IS HEAD OF HOUSEHOLD HANDICAPPED? ☐ Yes ☐ No	
**If yes, please note type of disability:	
ETHNICITY AND RACE OF HEAD OF HOUSEHOLD:	Race:
Ethnicity:	☐ Black ☐ White
☐ Latino/a	☐ Asian ☐ Other _____
☐ Non-Latino/a	☐ Native Hawaiian/Pacific Islander
	☐ American Indian/Alaskan Native

Annual Household Income

Please list gross annual income and source of income for all persons living in the household who are over the age of 18 and not in school.

Source of Income (Employer, Agency, Public Assistance or Individual Who Pays Member of Household)	Annual Income

CERTIFICATIONS: I hereby certify that the information on this form is complete and correct to the best of knowledge. I also hereby authorize the Redevelopment Agency of the City of Norwalk to verify any and all income information provided on this form.

Signature, Head of Household: _____

Date: _____

Office Use Only

INCOME CATEGORY: ☐ Extremely Low Income ☐ Low Income ☐ Moderate Income ☐ Over Income

Equal Opportunity/Non-Discrimination Policy

Higher Education Literacy Professionals, Inc. does not and shall not discriminate on the basis of race, color, religion (creed), gender, gender expression, age, national origin (ancestry), disability, marital status, sexual orientation, or military status, in any of its activities or operations. These activities include, but are not limited to, hiring and firing of staff, selection of volunteers and vendors, and provision of services. We are committed to providing an inclusive and welcoming environment for all members of our staff, clients, volunteers, subcontractors, vendors, and clients.

Higher Education Literacy Professionals, Inc. is an equal opportunity employer. We will not discriminate and will take affirmative action measures to ensure against discrimination in employment, recruitment, advertisements for employment, compensation, termination, upgrading, promotions, and other conditions of employment against any employee or job applicant on the bases of race, color, gender, national origin, age, religion, creed, disability, veteran's status, sexual orientation, gender identity or gender expression.

Grievance procedure

Higher Education Literacy Professionals, Inc.'s aim is to ensure that employees with a grievance relating to their employment can use a procedure which can help to resolve grievances as quickly and as fairly as possible.

If an employee has a grievance about their employment they should discuss it informally with an immediate supervisor. We hope that the majority of concerns will be resolved this way.

If the employee feels that the matter has not been resolved through informal discussions, s/he should put the grievance in writing to an immediate supervisor.

Within two working days the supervisor will respond, in writing, to the statement, inviting the employee to attend a meeting where the alleged grievance can be discussed. This meeting should be scheduled to take place as soon as possible and normally 5 working days' notice of this meeting will be provided to the employee and they will be informed of their right to be accompanied.

Employees must take all reasonable steps to attend the meeting, but if for any unforeseen reason the employee, or the employer, can't attend, the meeting must be rearranged.

Should an employee's companion be unable to attend, then the employee must make contact within two days of the date of the letter to arrange an alternative date that falls within five days of the original date provided. These time limits may be extended by mutual agreement.

After the meeting the supervisor hearing the grievance must write to the employee informing them of any decision or action and offering them the right of appeal. This letter should be sent within two working days of the grievance meeting and should include the details on how to appeal.

If the matter is not resolved to the employee's satisfaction, s/he must set out his/her grounds of appeal in writing within two working days of receipt of the decision letter.

Within two working days of receiving an appeal letter, the employee should receive a written invitation to attend an appeal meeting. The appeal meeting should be taken by a more senior manager not involved in the original meeting.

After the appeal meeting, the senior manager must inform the employee in writing of his/her decision within five working days of the meeting. The decision is final.

Approved:

Tristan Fields
President

Higher Education Literacy Professionals, Inc. Procurement Policy

The policy set forth in this document establishes standards and guidelines for the procurement of supplies, equipment, construction, and services to ensure that they are obtained as economically as possible through an open and competitive process, and that contracts are managed with good administrative practices and sound business judgment.

Code of Conduct

A Code of Conduct shall govern the performance, behavior, and actions of the Organization, including Board members, employees, directors, volunteers, or agents who are engaged in any aspect of procurement, including – but not limited to – purchasing goods and services; awarding contracts and grants; or the administration and supervision of contracts.

1. No employee, officer, director, volunteer or agent of the Organization shall participate in the selection, award or administration of a bid or contract supported by Federal funds if a conflict of interest is real or apparent to a reasonable person.
2. Conflicts of interest may arise when any employee, officer, director, volunteer or agent of the Organization has a financial, family or any other beneficial interest in the vendor firm selected or considered for an award.
3. No employee, officer, director, volunteer or agent of the Organization shall do business with, award contracts to, or show favoritism toward a member of his/her immediate family, spouse's family or to any company, vendor or concern who either employs or has any relationship to a family member; or award a contract or bid which violates the spirit or intent of Federal, State and local procurement laws and policies established to maximize free and open competition among qualified vendors.
4. The Organization's employees, officers, directors, volunteers or agents shall neither solicit nor accept gratuities, gifts, consulting fees, trips, favors or anything having a monetary value in excess of fifty dollars (\$50) from a vendor, potential vendor, or from the family or employees of a vendor, potential vendor or bidder; or from any party to a sub-agreement or ancillary contract.
5. As permitted by law, rule, policy or regulation, the Organization shall pursue appropriate legal, administrative or disciplinary action against an employee, officer, director, volunteer, vendor or vendor's agent who is alleged to have committed, has been convicted of or pled no contest to a procurement related infraction. If said person has been convicted, disciplined or pled no contest to a procurement violation, said person shall be removed from any further responsibility or involvement with grants management, procurement actions or bids, consistent with State or Federal policy.

Solicitation and Competition

All procurement transactions will be conducted to provide – to the maximum extent possible – free and open competition among suppliers. The Organization must begin with an analysis of the need for the procurement, to avoid the purchase of unnecessary items (this may include an examination of lease versus purchase alternatives). The purchaser must then identify and clearly specify standards for the goods or services desired, and seek competitive offers where possible to obtain the best possible quality at the best possible price.

In general:

- Some form of cost or price analysis shall be made and documented in the procurement files in connection with every procurement action. Price analysis may be accomplished in various ways, including the comparison of price quotations submitted and market prices, together with discounts.
- Bids must be sought for goods and services exceeding \$1000.
- For procurements that exceed the Federal “small purchase” threshold (the federal threshold is \$100,000, but the locality or State may set a lower threshold), competitive bids will be utilized and requests for these bids will be written in a way that does not restrict competition. (A clear and accurate description of the technical requirements for the material, product or service to be procured; all requirements which offerors must fulfill; and all other factors to be used in evaluating bids or proposals.) Procurement files must include the following:
 - Basis for contractor selection.
 - Justification for lack of competition when competitive bids or offers were not obtained.
 - Basis of award cost or price.
- Whenever possible, the Organization must engage in affirmative efforts to utilize small businesses, minority-owned firms, and women's business enterprises.

Selection

Price should be one of the factors in the evaluation of responses, but the Organization is not required to take the lowest price if other factors are important to the decision.

- There should be an objective method for selection, and any factors for evaluation and selection should be listed in the procurement documents.
- Awards shall be made to the bidder or offeror whose bid is responsive to the solicitation and is most advantageous to the Organization (price, quality and other factors considered).
- A bid may be rejected when it is in the Organization's interest to do so.

Documentation

At a minimum, procurement records must clearly show how the Organization:

- Executed price sampling for small purchases;
- Selected the method of procurement and the type of contract to be used;
- Determined which bids or proposals to accept and which to reject; and
- Determined the basis for the contract cost or price.

Contract Administration

The Organization has an overall system of contract administration to ensure proper oversight and management of procurement actions. The Organization is responsible for evaluating contractor performance and documenting, as appropriate, whether contractors have met the terms, conditions and specifications of the contract. This may include progress inspections, interim products, inspection of goods delivered, and other such methods that provide assurance that the goods or services purchased are being delivered within the scope of the contract.

The Organization's contract administration system must ensure that:

- The method of procurement is documented and records maintained for five years after final payment is made;
- All activities are carried out and costs are incurred in compliance with applicable requirements; and
- Before payment is made, services performed are adequate and consistent with the contract scope of services.

INTERNAL REVENUE SERVICE
P. O. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: **APR 15 2016**

HIGHER EDUCATION LITERACY
PROFESSIONALS INCORPORATED
PO BOX 250722
NEW YORK, NY 10025-0000

Employer Identification Number:
47-5033668
DLN:
26053504001246
Contact Person:
CUSTOMER SERVICE ID# 31954
Contact Telephone Number:
(877) 829-5500
Accounting Period Ending:
June 30
Public Charity Status:
509(a)(2)
Form 990/990-EZ/990-N Required:
Yes
Effective Date of Exemption:
September 10, 2015
Contribution Deductibility:
Yes
Addendum Applies:
No

Dear Applicant:

We're pleased to tell you we determined you're exempt from federal income tax under Internal Revenue Code (IRC) Section 501(c)(3). Donors can deduct contributions they make to you under IRC Section 170. You're also qualified to receive tax deductible bequests, devises, transfers or gifts under Section 2055, 2106, or 2522. This letter could help resolve questions on your exempt status. Please keep it for your records.

Organizations exempt under IRC Section 501(c)(3) are further classified as either public charities or private foundations. We determined you're a public charity under the IRC Section listed at the top of this letter.

If we indicated at the top of this letter that you're required to file Form 990/990-EZ/990-N, our records show you're required to file an annual information return (Form 990 or Form 990-EZ) or electronic notice (Form 990-N, the e-Postcard). If you don't file a required return or notice for three consecutive years, your exempt status will be automatically revoked.

If we indicated at the top of this letter that an addendum applies, the enclosed addendum is an integral part of this letter.

For important information about your responsibilities as a tax-exempt organization, go to www.irs.gov/charities. Enter "4221-PC" in the search bar to view Publication 4221-PC, Compliance Guide for 501(c)(3) Public Charities, which describes your recordkeeping, reporting, and disclosure requirements.

Letter 5436

HIGHER EDUCATION LITERACY

Sincerely,

A handwritten signature in black ink, appearing to read "J. Cooper", written in a cursive style.

Jeffrey I. Cooper
Director, Exempt Organizations
Rulings and Agreements

Letter 5436

WAIVER AND RELEASE FORM

RELEASE OF LIABILITY

The undersigned here by agree(s) to assume all risk and bear all responsibility and to hold the Higher Education Literacy Professionals, Inc. (HELP, Inc.), its agents, representatives, servants officers and employees, harmless from and against any and all liabilities, losses, damages, and injuries to persons or property, including any and all costs and expenses incurred in the defense of such claim including court costs and attorneys' fees resulting from, arising out of, or in any way related to or connected with their participating in the College Edge Program sponsored by HELP, Inc. thereof. I hereby, for myself, my minor children or charges, my heirs and assigns, do forever discharge HELP, Inc., its agents, representatives, servants, officers and employees from all claims including claims of negligence or carelessness, alleging damages and any and all causes of action which I may have or may hereafter have, arising out of, related to, or in any manner connected with injuries or damages I may sustain by reason of my participation in the above-described program or use of HELP, Inc.

(Signature of Participant)

Date

I am of legal age and am freely signing this agreement. I have read this form and understand that by signing this form, I am giving up legal rights and remedies.

(Signature of Parent/Legal Guardian if Participant is Under 18)

Date

I am the parent or legal guardian of the Participant. I am of legal age and am freely signing this agreement. I have read this form and understand that by signing this form, I am giving up legal rights and remedies.

FY 19 Annual Report

Prepared for

July 2019 Board Meeting

Submitted July 13, 2019



H.E.L.P., INC
PO Box 1333
Norwalk, CT 06856-1333
(203) 842-8158
admin@literacy-pros.com
www.literacy-pros.com

Our Mission

It is the mission, duty and purpose of Higher Education Literacy Professionals (HELP), Inc. to increase access to higher education for underrepresented groups through workshops, classes, tutoring, and private coaching.

Our Programs

Spring College Edge Program

- Runs from January – May at the Norwalk Housing Authority Learning Center. Juniors prepare for the March SAT through lessons and practice tests and for the college admissions process through workshops on financial aid, college wish lists, personal statements, and getting teacher recommendations.

Fall College Edge Program

- Runs from September – December at the Norwalk Housing Authority Learning Center. Juniors prepare for the October PSAT through lessons and practice tests and for careers through career readiness workshops and panels. Students also attend a New Haven County college tour to narrow down college lists for applications.

Contracted Programs

Summer College Edge Program

- Runs from July – August at the Norwalk Public Library- South Norwalk Branch. Rising juniors and seniors prepare for the October PSAT and SAT's through lessons and practice tests and prepare for the college admissions process through workshops on financial aid, college wish lists, personal statements, and getting teacher recommendations. Students also attend a Fairfield County college tour to narrow down college lists for applications.

Fall Homework HELP via the Norwalk Public Library Foundation

- Runs from September – December at the Norwalk Public Library- South Norwalk Branch. Elementary school students work on math and reading remediation and enrichment through tutoring and guided practice.

Spring Homework HELP via the Norwalk Public Library Foundation

- Runs from January – May at the Norwalk Public Library- South Norwalk Branch. Elementary school students work on math and reading remediation and enrichment through tutoring and guided practice.

Early College Edge Program via the Norwalk Housing Authority

- Runs from September – May at the Norwalk Housing Authority Learning Center. Freshmen and sophomores attend a series of workshops that promote early college awareness and equip them with the skills to become college ready.

SAT Test Prep Course via the Carver Center

- Runs from September – December at the Carver Center in which high school students prepared for the SAT through lesson on reading, writing, and math.

SAT Boot Camp via the Norwalk Education Foundation

- Runs 1 day in March at Norwalk High School in which students prepared for the SAT through lesson on reading and writing.

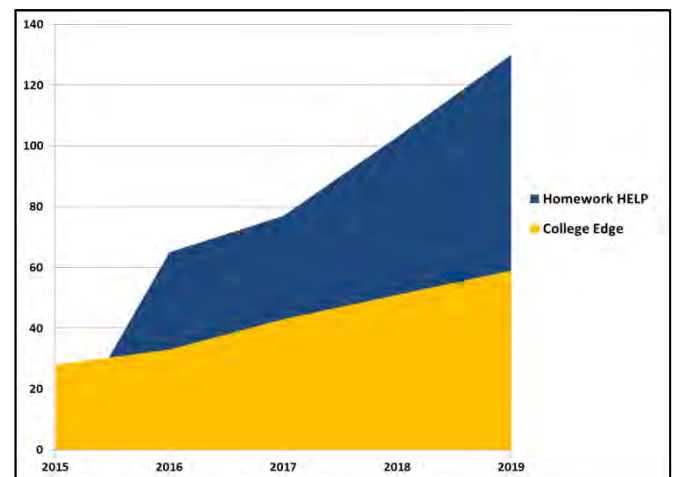
Greater Norwalk Literacy Volunteer Training via the Norwalk Public Library Foundation

- Runs from September – February in which volunteers attend trainings on ELA instructions and content in order to prepare lessons for their English Language Learner students.

Students Year over Year

HELP has increased the number of students served every year since its founding.

	Homework HELP	College Edge	Early Edge	Total
2015		28		28
2016	65	33		98
2017	77	43		120
2018	103	51		154
2019	130	47	12	189



Results

College Edge Program

- 100% of our graduates have matriculated onto college campuses.
- 100% of our graduates recommend our program.
- 100% of our graduates felt we prepared them for the college application process.

2019 Graduates are committed to the following schools...

Air Force Community College
College of the Holy Cross
La Salle University
Norwalk Community College
Pace University
Roanoke College

Roger Williams University
Sacred Heart University
Southern Connecticut University
University of Connecticut – Stamford (4)

University of Connecticut – Storrs
University of New Haven (2)
University of Scranton
University of Vermont
University of West Virginia

College Edge Program Testimonials

“Straight to the point program hits everything you need to prepare.”

“It helped me to get a better understanding about college and decide what college I wanted to go to.”

Homework HELP Program

- 100% of parents recommend our program
- 100% of parents report improvement of students performance in school
- 100% of parents agree that Homework HELP is a positive learning environment

Homework HELP Program Testimonials

“Mi hijo ha mejorado mucho en su lectura, ha mejorado en calculaciones, pero necesita mas ayuda”

“[My Child] has improved on his reading and math. He has only been here for about two weeks. I will continue to bring him here so as long as he keeps improving.”

Financials

HELP spends virtually every dollar raised on programs. *Fiscal Year 2019 (July 1, 2018 – June 30, 2019)*

	College Edge Program	Early Edge Program	Homework HELP Program	Literacy Volunteer Training	SAT Test Prep Services	Fullwood Family Scholarship	TOTAL
Total Revenue	\$ 27,389.48	\$3,000.00	\$18,000.00	\$1,200.00	\$1,310.00	\$ 488.70	\$ 51,388.18
Total Expenditures	\$ 29,825.62	\$ 480.00	\$17,376.47	\$ 720.00	\$ 750.00	\$ 500.00	\$ 49,152.09
Net Operating Revenue	-\$ 2,436.14	\$2,520.00	\$ 623.53	\$ 480.00	\$ 560.00	\$ -11.30	\$ 1,736.09

Fundraising Efforts

HELP received support from the government, local foundations, local businesses, and individuals.

Top Funders

Source	Total Amount
Norwalk Public Library Foundation	\$18,000
City of Norwalk - Community Development Block Grant	\$14,000
City of Norwalk – Mayor’s Summer Youth Employment Program	\$4,500
Norwalk Housing Authority	\$3,000
People’s United Bank Foundation	\$2,500
Total	\$42,000

Volunteers

This year HELP has increased the number of volunteers.

	Homework HELP	College Edge	Early Edge	Total
2018	0	9		9
2019	1	18	1	20

- 1 volunteer Pre-Calculus tutor at the Homework HELP Program
- 13 volunteer speakers for Career Conversations event
- 4 volunteers for College Signing Day
- 1 volunteer speaker for Early Edge on Student Loans

Community Partners & Sponsors

HELP partners with local businesses, community-based organizations, and schools to deliver quality programming free of charge to students and families.

Bowlmor	Los Poblanos Mexican Restaurant	Norwalk Public Library – South Norwalk Branch
Brien McMahon High School		
Caffè Social	Mecha Noodle Bar	Norwalk Taylor Rental
Carver Center	Norwalk Education Foundation	Nuestra Cultura Catering
Civic Nation		Rio Bravo Mexican Restaurant
Norwalk Mayor’s Summer Youth Employment Program	Norwalk High School	
	Norwalk Housing Authority	
Local Kitchen Restaurant and Bar	Norwalk Public Library Trustee Foundation	Sweet Ashely’s Ice Cream

Year in review

Vision for 2020

In 2020, we’ll focus on widening our net to offer more college prep programming to low-income students through strategic partnering with community-based organizations, schools, foundations, and corporations. To limits costs for events like Career Conversations and College Signing Day and to increase community engagement, we will recruit more volunteers to help plan and mange those events.

Board-Advisory Council Joint Meeting

Walk Bridge Program

24 Marshall Street

Norwalk, CT

June 13, 2019

ATTENDEES:

Board:

Tristan Fields

Jeffery Kennerly

Jermaine Miller (via telephone)

Advisory Council:

Emmanuela Cebert

Adriana Fields

Tressan Garcia

Rebecca Parmalee

Absent:

Advisory Council-

I. Call to Order 10:20am?

II. Approval of the Agenda

- a. T. Fields asked for amendments, none were requested. Agenda approved.

III. Approval of Minutes

IV. FY19 Annual Report

- a. Discussion of HELP Programs (funded directly through grants and donations)-
College Edge
- b. Discussion of Contracted Programs
 - i. Homework HELP
 1. Has the most “reach,” but least amount of data- ideally HELP should have a “data share” agreement with Norwalk Public Schools (NPS)
 2. Purpose- to keep kids on grade-level
 3. Freckle- Program to help assess and track student progress
 - a. Requested funding form Norwalk Education Foundation (NEF) but it was denied so licensing has been purchased by HELP
 4. T. Garcia Q: How are corporations aligned with education?
A: J. Kennerly gave brief overview- very political
 - a. Discussion on organizations like Future 5 and FactSet (similar organizations to HELP, but larger scale). Future 5 is based on volunteers- only 2 paid employees

- b. J. Kennerly Q: Because we are paying employees, are there employment grants?
A: T. Fields to research this.
- 5. It's been a struggle to figure out how to leverage families
 - a. T. Garcia Q: What does "leverage" mean?
A: (T. Fields) To build community, a network to support one another and to mobilize them. Our families are very diverse.
 - b. T. Garcia Q: Are we limited to serving only Norwalk?
A: (T. Fields) The source of our funding determines the communities served. If we had more unrestricted funding we could serve other communities- our mission doesn't restrict us to only Norwalk.
- ii. Early Edge
 - 1. Meets once a month
 - 2. The Norwalk Housing Authority has scholarships for students residing in housing that often don't get applied for. This program is meant to be a way to engage students earlier, to keep them engaged throughout high school, and to expand their options beyond NCC.
 - 3. These students are also able to attend college tours and other College Edge programs.
- iii. Literacy Volunteer Training
 - 1. Adult volunteers help teach adult English Language Learners
 - 2. Tie to our mission?
 - a. Many of the learners are parents of NPS students
 - 3. Q: (T. Garcia) What is the engagement level?
A: (T. Fields) It's difficult to say- the library took the program over and has been trying to formalize the program. They have similar attendance struggles as the Homework HELP program.
 - 4. Q: (T. Garcia) Is this a HELP program or is it a "dotted line" to the side?
A: (T. Fields) A "dotted line."
- c. Financials
 - i. Discussion on financial break down of all of the Programs, Funders, and Individual Donors
 - ii. College Edge doesn't bring in enough money on its own
- d. Volunteers
 - i. Most of our volunteers come from the Career Conversations program
 - ii. Definitely an area of growth that we are growing
- e. Q&A
 - i. Q: (E. Cebert) What does student recruitment look like?

- A: (T. Fields) High School Counselors (Norwalk High School mostly), Norwalk Housing Authority, E-blasts from the library and NPS
- ii. Q: (E. Ceibert) What are the demographics of the students A: (T. Fields) College Edge is pretty diverse (every student has a household income of <\$130K), mostly 1st generation, Latino>Black>Asian>White. Homework HELP is harder to account for due to lack of data.
 - iii. Q: (R. Parmalee) Do you have fliers/business cards to distribute?
A: (T. Fields) Yes, but need help designing fliers.
(T. Garcia) Has someone who can help with designing fliers.
 - iv. R. Parmalee offered tables at her programs/events for promoting.
 - v. Discussion on incentives to increase student participation. T. Garcia offered ideas like bring a friend with you and win a free movie pass and reaching out to Starbucks to see if they can collaborate with HELP.
 - vi. T. Fields is trying to recruit teams for the SONO Half Marathon from different gyms.
- f. New Business
- i. Annual Dues
 1. Discussion on how to determine amount
 - a. J. Kennerly- “Give or Get” to ensure revenue stream. Set an amount and the goal is to have that amount fulfilled through donations or in-kind donations and the member pays the difference, if any.
 - b. E. Ceibert- support levels that tie to a specific program offering (ex. X amount will get one student through College Edge).
 - c. T. Fields- we all agree on dues, but amount is not confirmed.
 - d. J. Miller- Requested clarification of dues amount
 - e. T. Fields- Maybe we can do \$100-200 every time we meet (~2/year)
 2. Further discussion concluded with “Give or Get” \$500 per year of Time/Talent/Treasure. We will come up with some calculation for the value of volunteer time.
 - ii. CEO Performance Evaluation
 1. T. Fields- I need to be evaluated.
 2. J. Kennerly to pull together an evaluation.
 - iii. Nigeria
 1. J. Miller discussed a program opportunity in Nigeria. Many families would like for their children to study abroad, but generally wealthy families have more opportunities. HELP could be that “bridge” to help average families. J. Miller has been having broad conversations with different people in Nigeria to see options. J. Miller helped a family with their application process using the

HELP “formula” and the student was admitted into several universities and will be attending the University of Houston. J. Miller wants us to be “the” organization when Nigerians think of applying to study abroad.

- a. Due to time constraints of the office space being used, further discussion was tabled and will continue offline.

V. Meeting Adjourned 12:10pm

THE HOUR<https://www.thehour.com/news/article/Norwalk-students-college-choices-celebrated-at-13830628.php>

Norwalk students' college choices celebrated at College Signing Day

By **Kelly Kultys** Published 10:13 pm EDT, Wednesday, May 8, 2019



IMAGE 1 OF 19

[Buy Photo](#)

Students in the Higher Education Literacy Professionals (HELP Inc.) College Edge program, including Shawana Thompson, participate in College Signing Day where Thompson signed to the Community College of the Air

[... more](#)

NORWALK — Parth Trivedi, 18, wasn't sure that he wanted to go to college. Still, he and his family knew he wanted to at least get a higher score on the SAT in case he did decide to go. Over the summer, Trivedi decided to enroll in Higher Education Literacy Professional's, better known as HELP Inc., SAT assistance program.

"I was skeptical it would be effective," he said on Wednesday evening.

But it was. His SAT score rose over 100 points after his work with the program, which also provided him with support in filling out applications and college paperwork.

AP Top Stories November 29 A



Now Trivedi and about 20 others kicked off their college journey on Wednesday at College Signing Day, held by HELP Inc. Trivedi is heading to the University of Connecticut at Stamford to get his degree in business.

College Signing Day is a part of a nationwide initiative to encourage students to go to college and celebrate those who are. The Norwalk students were a part of HELP's College Edge Program, which includes a series of college-readiness workshops, SAT test preparation lessons, college tours and application coaching sessions. The program aims to help low to moderate income students and families who are going through the college application process.

Trivedi said it helped him because he was able to get more personalized attention than with a high school guidance counselor.

"They can't really put a lot of attention on one (student)," he said. "It's more one-on-one."

The students committed to a variety of schools including the University of Connecticut, Sacred Heart University, University of Vermont and the University of Scranton.

Parent Ulanda Manning said she came back this year, even though her daughter graduated the program last year and went on to Marist, because she was so grateful for how HELP assisted them.

"It was very informative — everything's changed since I've been going to school," she said.

Breana Ramsay, a 2018 graduate of Brien McMahon High School and the College Edge Program said the program helped her get into University of Connecticut's Stamford program for chemistry where she hopes to become a physician assistant.

Still, she acknowledged that college isn't always easy, especially when she was balancing three jobs on top of her freshman year work.

"I felt like, 'oh I wanted to give up,' " she said. "I wanted to become this perfect African-American woman in this community."

However, she told the students she worked hard and was able to persevere and encouraged them to do the same.

"You can do everything you want to do," she said.

Emanuela Cerbert, a Norwalk native who is now the director of Global Development for MGM Resorts International, after her work on President Barack Obama's 2012 re-election campaign, shared her story with the students to encourage them to pursue their passions.

Cerbert told the students not to get "stuck in a box" that society can push a person into. She told them about how she went to visit Haiti last summer, where her parents are from, and made it to the village where her great-grandmother was from. Cerbert said that there was a beautiful tree that had a breathtaking view overlooking the island and it made her stop and think.

"I wonder if she (my great-grandmother) thought her great-granddaughter, me, would see more than Haiti and the United States," she said. "I wonder if she thought I would work for the first African-American President of the United States."

The event was the 3rd annual for the organization, and it aimed to inspire the students to take advantage of their opportunities in college and work to get ahead for their careers.

They read the College Edge Program Commitment, which emphasized their dedication to bettering themselves. Miguel Plaza, received the Dr. James and Charena Fullwood scholarship given out each year by the program to one graduate who is chosen through an application process.

Tristan Fields, the co-founder of HELP told the students that Wednesday was an important day they should keep with them as they continued on.

"This is one of those special times," he said. "This is a special time. This is one of those transformative moments."

kelly.kultys@hearstmediact.com

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H E A R S T

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MALTA HOUSE

**NORWALK REDEVELOPMENT AGENCY obo CITY OF NORWALK
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG-CV) PROGRAM
APPLICATION FORM FOR CDBG-CV FUNDS**

Applicant Agency/Organization Name: Malta House, Inc.

President/CEO/Executive Director's Contact Information: Carey Dougherty, Executive Director,
CDougherty@maltahouse.org, (203) 857-0088

Type of Organization: Nonprofit 501(c)3, serving homeless pregnant and recently given birth mothers,
age 18 and over.

Applicant Mailing Address: 5 Prowitt Street, Norwalk, CT 06855

Project Location Address: 5 Prowitt Street, Norwalk, CT 06855

Age of Building (Public Facility/Housing Applications Only): 1960

Contact Person (designated contact person for the project/proposal):

Name: Carey Dougherty

Title: Executive Director

Phone #: (203) 857-0088

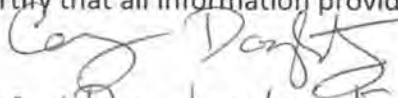
Email Address: CDougherty@maltahouse.org

Proposed Project/Activity Name: Malta House's Residential Program

Brief Description of the Proposed Project/Activity:

Pregnant mothers begin their journey with Malta House through our Residential Program. While in the program, mothers receive shelter, supportive case management, food supplementation, baby supplies, job training and education, as well as access to on-site, no cost childcare. As one of only two shelters/ transitional homes in Fairfield County that is accepting new clients during this shelter-in-place period, the need for our services and support has never been stronger.

I certify that all information provided is correct to the best of my knowledge.


Carey Dougherty, Executive Director 5/20/20
Name, Title & Signature Date

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

PART 1. GENERAL INFORMATION**ORGANIZATION**

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

Malta House, Inc. opened its doors in 1998 with the goal of addressing the on-going needs of single, homeless pregnant and parenting women and their children. The founders of Malta House recognized that there were far too many single mothers in our community who have never lived in a stable, safe and nurturing home. Malta House has served over 600 homeless mothers, their babies and toddlers. Malta House is the only maternity group home for pregnant women over 18 in Connecticut.

There are over 65 homeless shelters in Connecticut that accommodate 1,486 individuals, 290 families and 550 children; 2,370 people in total. We are one of only two sheltering services dedicated to pregnant women and the only service dedicated to women over the age of 18 in Connecticut. Others will accept pregnant women, but they must leave after the child is born and her stay is limited to a maximum of 90 days. Malta House Inc. does not limit the time a woman and her infant may reside with us and provide wrap around services imperative to the health and wellbeing of pregnant mothers and their infants.

Since 1998, Malta House has helped 319 mothers, 345 babies, and provided 7,819 nights of shelter. By the end of 2020, Malta House plans to move into our new home, which will expand the number of mothers and their babies we shelter, and allow us to offer more services to our residents, and community clients.

2. Identify the "core" programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated. Example: A homeless shelter's "core" program might be its basic overnight shelter service, while it's counseling or job placement services are "support" programs.

Our core programs are: Residential Program, Spirituality Program, Partnering Success Program, and Outreach Program. Malta House serves the most at-risk female populations - pregnant and new mothers - and supports a mother through the critical first years of her child's life. A mother's journey begins by entering Malta House, continues with the successful completion of the Residential Program, and ends with the transition to independence. We are here to offer support, guidance, resources, and love, but the most important thing we provide is hope. Hope keeps their spirit alive and makes all things possible. Additionally, our Outreach Program allows us to give back to our community by assisting underserved families living in our community with diapers and excess donations (clothing, furniture, and more).

The Residential Program: We provide safe housing for up to 20 individuals; ten pregnant mothers and their ten infants. The goal is to empower each mother to reach her fullest potential by becoming independent providers and active community members, allowing her to provide a better life for her family.

The Partnering Success Program: As our mother's transition from the Residence Program to independent life, our Partnering Success Program provides ongoing follow-up assistance such as counseling, childcare, housing subsidies, and transportation. This program serves scores of Malta House alumnae per year and often includes support for the educational needs of their children.

The Community Outreach Program "Baby Pantry": Malta House receives many generous donations of baby equipment, clothing, diapers, and food. We have become known as a resource for these necessities in the Greater Norwalk area. We feel fortunate that we can share our gifts with former residents and other mothers in need who are living in our community.

The Spirituality Program: This is an optional program for mothers to help them discover their faith or uncover their faith again. Malta House has an on-site chapel for those of the Catholic and Christian religions, but our staff also helps mothers find outside places of worship for any faith. Reconnecting our mothers with their faith gives them community support outside of Malta House. For mothers who don't have a faith, the program offers classes in mindfulness and meditation, as well as ways to give back to the community. We encourage our residents to participate in this program, but there is no requirement for them to join this program to receive our services.

3. Check "YES" or "NO" to the following questions.

A. Does your organization have a Board of Directors?	☒ YES	☐ NO
B. Is your organization exempt under IRS Code 501(c) (3)? (If yes, provide documentation*)	☒ YES	☐ NO
C. Are your organization's services available to Norwalk residents?	☒ YES	☐ NO
D. Does your organization have an EEO Policy? (Include a copy*)	☒ YES	☐ NO
E. If a housing provider, does your organization have a written Fair Housing Policy including accessibility (504) requirements? (Include a copy*)	☐ YES	☒ NO
F. Does your organization have a written Procurement Policy? (Include a copy*)	☒ YES	☐ NO
G. Is your organization considered a Faith-Based Organization?	☐ YES	☒ NO
H. Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal*		
I. Include a copy of your written Policy on Record Keeping*		
J. Include a copy of your most current audited Financial Statements		

****Please note that requested documentation (from above) must be submitted to the Norwalk Redevelopment Office only if you are a new applicant or if there have been any changes to a previously filed documentation.***

PART 2. PROPOSED PROJECT/ACTIVITY**GENERAL DESCRIPTION**

1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of preventing, preparing for and/or responding to the COVID-19 outbreak. Omission of requested information may be a cause to reject application.

Malta House's Residential Program is more important than ever before as we respond to the COVID-19 crisis. The CDC reports that homeless people are one of our most vulnerable populations to COVID-19. All of our clients are homeless women who are either pregnant or recently gave birth. It is imperative to their health, and their baby's health that we give them shelter, at no cost to them, where they can properly social distance. As one of only two shelters/ transitional living programs in Fairfield County that is accepting new clients during this pandemic, we are a critical resource for mothers and babies experiencing homelessness. Our Residential Program can currently provide shelter for ten mothers at any given time. Each mother shares a private bedroom with her baby and shares a bathroom with one other family. They also have access to our secure backyard, so mother and child can get fresh air while still remaining safe.

We have also been working as quickly as possible to move our mothers into safe and secure housing, moving our mothers from the Residential Program into the Partnering Success Program. Our Partnering Success Program provides services to mothers post-residency through our Case Managers. Malta House believes that continued love, support, and guidance increase the chances that a mother will continue working toward a better life for her family, and this support is needed now more than ever due to the devastating economic impact the pandemic is having on our most vulnerable population as proven by the spike in demand for baby supplies, food, and rental assistance.

Malta House mothers tend to come most often from Fairfield County, but we also receive referrals from the rest of the State of Connecticut, with the occasional referral from New York. Malta House always gives priority to pregnant women, no matter geographic location. Over 70% of clients are Black or African American, and approximately 8% are Hispanic or Latino. The average age of our mothers is 23. 100% of our mothers meet the Very Low-Income threshold or even the Extremely Low-Income threshold set by the United States Department of Housing and Urban Development (HUD).

The cost of running our Residential and Partnering Success Programs is substantial and represents approximately 61% of our annual budget. All in-person fundraising has been postponed and we have put a hold on all in-kind donations and volunteers. Our annual gala, A Mothers Love, which is our biggest in person fundraiser and source of critical revenue, has been rescheduled for September 10, 2020. In response we have been using an alternating program staff schedule to decrease traffic in our facilities while still maintaining necessary coverage in house and remotely. In addition, all non-program staff have been working remotely since March 16, 2020. Funding from the CDBG-CV CARES Act will ensure that we can continue providing essential services, and protecting homeless mothers from the COVID-19 epidemic.

2. Check the box that best describes the proposed project/activity.

☒ Public service activity

☐ Rehabilitation activity

☐ New construction activity

☐ Real property acquisition activity (i.e. land/building).

☐ Other (explain) _____
3. Check the box that applies to the proposed project/activity.

☐ New "core" program

☐ Expansion of existing "core" program

☒ Support of existing "core" program (with no expansion)

☐ New "support" program

☐ Expansion of existing "support" program

☐ Existing "support" program (with no expansion)

☐ Other (explain) _____
4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose?

☐ YES

☒ NO
5. How many persons or families (unduplicated #s) will the proposed project/activity serve? Indicate one as follows:

2

7

80

Week

Month

Year
6. How many persons or families (unduplicated #s) in Question 5, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)?

2

7

80

Week

Month

Year
7. How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG-CV income guidelines on Page 2 of this application)?

1

5

60

Week

Month

Year

* **Failure to answer Questions 6 – 9 may disqualify application.**

8. What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? Check more than one box, if necessary. Note that the organization must be able to prove the income eligibility of beneficiaries.

☒ Name

☒ Address

☒ Income

☐ Other
9. Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation with the application evidencing the below qualification. Examples: Client in-take forms (no names), proposed rents, etc.

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

- ☐ **Area Benefit.** Activity meets needs of LMI persons residing in an area where at least 51% of the residents are LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood.

Documentation Attached: ☐

- ☒ **Limited Client Benefit.** Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the subcategories, check the applicable number.

Documentation Attached: ☒

- (1) Project/activity maintains client records on income and family size records documenting that such persons qualify as LMI.
- (2) Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons.
- (3) Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons.
- (4) Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.)

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ☒ Yes ☐ No
If yes, please explain:

We have requested funding from the following private foundations to cover the expected loss from moving our annual gala to September 2020.

- The Fairfield County Community Foundation
- The Inner-City Foundation for Charity & Education
- The Bank of America Foundation
- Federal Paycheck Protection Program

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ☒ Yes ☐ No
If yes, please explain below and include any letter(s) of commitment for ongoing funds or approved funds from other source(s) to assist with the proposed project that you are requesting.

If yes, what funding source?	Amount Requested	Amount Approved	Amount Pending	Amount Denied
Fairfield County Community Foundation	\$25,000	\$15,000		
Bank of America Foundation	\$25,000		\$25,000	
Inner City Foundation	\$25,000			\$25,000
Paycheck Protection Program	\$93,300	\$93,300		

2. What is the total cost of the proposed project? Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor and/or architect/engineer estimate.

The total expenses for the Residential Program and Partnering Success Program are \$634,031.00.

3. Describe your organization’s fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.
Please see attached procedure.

4. Attach an explanation on how the proposed project will affect your administrative budget (example: additional personnel, maintenance, office space, etc.) Include an explanation on long-term plans for funding/sustaining the proposed project.

If CDBG Emergency COVID19 Grant is awarded, this funding will cover some of the expected financial losses that our annual gala, our biggest fundraising event, creates. Due to the COVID19 epidemic, our annual gala has been postponed to the next fiscal year, creating a \$250,000 gap in revenue for our current fiscal year. CDBG Emergency COVID19 funding will allow us to continue operating and providing our critical essential services and community outreach to our residents and the community. A budget is attached for your review.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish)
The Residence and Partnering Success Programs are ongoing. This funding request is for 12 months of rent/occupancy to sustain these programs.

PART 4. ORGANIZATIONAL EFFICIENCY

1. How many staff members will be directly associated with the proposed project?

	Professional	Support	Volunteer
Full-Time Staff	8		
Part-Time Staff	4		

Include a list of those involved in completing the project. The list must include: each person's name and a brief summary of job duties in relation to the proposed project.

2. If your organization has an elected or appointed board, complete the questions below.

NAME OF BOARD/COMMITTEE: Malta House Board of Directors

List the names of the individuals on the board and the position they may hold on the board.
See attached list of Board of Directors.

a. Number of voting board members as of January 1, 2020 16 Vacancies? 0

b. How many board members reside within the City of Norwalk? 4

c. How are the board members chosen? The Members of the Corporation have to approve all Board members. Potential candidates are identified by Board/staff, interviewed by one or more Board members and Executive Director, then a recommendation is made to the members with background information about the candidate. Members may choose to meet/speak with the candidate.

d. Does your organization provide any board training and/or orientation? X yes no

If so, how often is training provided? Members are given an orientation before their first board meeting; from time to time Board members will attend fundraising and development forums.

e. How long is a term? 3 years How many consecutive terms may be served? No limit

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. Has the organization attempted to coordinate the project with other agencies to avoid duplication of services? yes X no If yes, please explain.

2. Identify other agencies in Norwalk (including non-profit and government) that provide services similar to your proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies?

Malta House Inc. is Connecticut's only transitional living program for vulnerable, homeless pregnant and parenting women over the age of 18. Malta House offers housing and wrap-around

services to assist mothers in establishing financial independence and housing stability. While it is true that there are other homeless shelters in Norwalk (Open Doors Shelter) and the surrounding areas, most will offer 90 days of housing to someone in need, but not to a mother and child – they would be separated. Malta House is a 24-hour care facility. Malta House collaborates with the St. Joseph's Parenting Center in Stamford and several local counseling centers - Norwalk Community Health, Day Street Clinic, Catholic Charities, and other independent local providers. We have most recently connected with the Rowan Center to provide support for any of our residents who have experienced sexual and/or physical abuse.

3. Identify other agencies in Norwalk that provide services directed toward the same target beneficiaries of your proposed project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?

Malta House works closely with Supportive Housing Works (Opening Doors in Fairfield County), Family and Children's Agency, Norwalk Head Start Program, Child and Family Guidance Center, Catholic Charities, Person to Person, CT Coordinated Access Network (Connecticut Coalition to End Homelessness), Department of Social Services, among many others - all of which we've sent and received referrals for our families. We've collaborated with these agencies to provide wraparound services to address mental health, substance use treatment, parenting and financial, and housing and healthcare needs as we are all serving the same target beneficiaries.

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants:

ORGANIZATION NAME: Malta House, Inc.

Organization is:

1. Corporation ()
2. Non-Profit 501(c)(3) (X)
3. Partnership ()
4. Sole Owner ()
5. Association ()
6. Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the above-mentioned organization or project proposed.

Name, Job Title and Norwalk Redevelopment Agency Department

N/A

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a potential "financial interest" in the organization or project.

Name/Title

N/A

NOTE: If the applicant has provided names in question 1 or 2, please provide details regarding any known potential conflicts of interest in an attached narrative.

Internal Revenue Service

Date: August 4, 2006

MALTA HOUSE INC
MALTA HOUSE OF GOOD COUNCIL
5 PROWITT ST
NORWALK CT 06855-1203

Department of the Treasury
P. O. Box 2508
Cincinnati, OH 45201

Person to Contact:

Yvette Davis 31-07751

Customer Service Representative

Toll Free Telephone Number:

877-829-5500

Federal Identification Number:

06-1604710

Dear Sir or Madam:

This is in response to your request of August 4, 2006, regarding your organization's tax-exempt status.

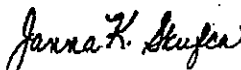
In October 2001 we issued a determination letter that recognized your organization as exempt from federal income tax. Our records indicate that your organization is currently exempt under section 501(c)(3) of the Internal Revenue Code.

Our records indicate that your organization is also classified as a public charity under sections 509(a)(1) and 170(b)(1)(A)(vi) of the Internal Revenue Code.

Our records indicate that contributions to your organization are deductible under section 170 of the Code, and that you are qualified to receive tax deductible bequests, devises, transfers or gifts under section 2055, 2106 or 2522 of the Internal Revenue Code.

If you have any questions, please call us at the telephone number shown in the heading of this letter.

Sincerely,



Janna K. Skufca, Director, TE/GE
Customer Account Services

Malta House, Inc.
Board of Directors as of May, 2020

Name	Board Status	Affiliations	Phone	Email
Anne Altieri	Board Member	Point of Sales Consultant	203-349-0211	anne.altieri@gmail.com
John L. Altieri, Jr.	Vice Chairman	Trial Lawyer & Partner at Altieri & Firriolo	203-803-9011	jaltieri@altierilaw.net
Christopher Bell	Board Member	Co-Founder, President & Executive Director, Good Counsel	201-293-8600	cxbell@aol.com
Hope Carter	Board Member	Co-Founder	203-918-1018	hopecarter77@gmail.com
Rudy Costello	Board Member	Division Vice President, Beam Global Spirits & Wine	203-394-7865	rudycostello@beamsuntory.com
Sharon Feighery	Board Member	KAF Manufacturing Company	203-223-0277	Kafmfg@msn.com
Christine Hussey	Board Member	Chris Hussey Real Estate	203-984-4230	chusre58@gmail.com
Dan Krenicki, Jr.	Treasurer	CitiBank	203-856-3946	dkrenicki@aol.com
W. Mele Orendorf	Director Emeritus	Founder & Sr. Partner, Franklin Management Advisory Group LLC	203-526-9194	wmorendorf@sbcglobal.net
Michael O'Rourke	Board Member	Founder, Malta House and President, Oppenheimer & Co.	203-940-2418	mcorourke34@gmail.com
Kimberley Petrone	Chairman	Board Chair, FASB: Financial Accounting Standards Board	203-554-2449	kpetrone@maltahouse.org
Heather Ribellino	Secretary	Volunteer	203-856-7089	hribellino@sbcglobal.net
Rev. Msgr. William Scheyd	Board Member	Pastor, St. Aloysius Parish	203-451-1637	frscheyd@diobpt.org
Rev. Mirosław Stachurski	Board Member	Pastor, St. Thomas the Apostle Parish	203-866-3141	stthomasnorwalk@optonline.net
Daniel P. Tomaselli	Board Member	Senior Manager, Transformation & Operations Excellence, Cotiviti	475.218.2635	daniel.tomaselli@cotiviti.com
Brian Tremblay	Board Member	Executive Vice President & Partner, Berkshire Fairfield	203-585-4933	btremblay@berkshirefairfield.com

DOCUMENT DESTRUCTION & RECORD RETENTION POLICY

Document Destruction

The Malta House staff, volunteers, members of the board of directors, committee members and outsiders (independent contractors via signed agreements) are required to honor the following rules:

- Paper or electronic documents indicated under the terms for retention in the following section will be transferred and maintained by Malta House.
- All other paper documents will be destroyed after 3 years
- All other paper documents will be deleted from all individual computers, databases, networks, and back-up storage after one year.
- No paper or electronic documents will be destroyed or deleted if pertinent to any ongoing or anticipated government investigation or proceeding or private litigation (check with legal counsel or human resources departments for any current or foreseen litigation if employees have been notified); and
- No paper or electronic documents will be destroyed or deleted as required to comply with government auditing standards (Single Audit Act).

Record Retention

Malta House is using the recommendation from the National Council of Nonprofits. The table below indicates the minimum requirements for document retention policy. Please note that federal awards and other government grants may provide for a longer period than is required by statutory requirements. Malta House will adjust our policy accordingly.

Type of Document	Minimum Requirement
Accounts payable ledgers and schedules	7 years
Audit reports	Permanently
Bank reconciliations	2 years
Bank statements	3 years
Checks (for important payments and purchases)	Permanently
Contracts, mortgages, notes, and leases (expired)	7 years
Contracts (still in effect)	Contract period
Correspondence (general)	2 years
Correspondence (legal and important matters)	Permanently
Correspondence (with customers and vendors)	2 years
Deeds, mortgages, and bills of sale	Permanently
Depreciation schedules	Permanently
Duplicate deposit slips	2 years

Type of Document	Minimum Requirement
Employment applications	3 years
Expense analyses/expense distribution schedules	7 years
Year-end financial statements	Permanently
Insurance records, current accident reports, claims, policies, and so on (active and expired)	Permanently
Internal audit reports	3 years
Inventory records for products, materials, and supplies	3 years
Invoices (to customers, from vendors)	7 years
Minute books, bylaws, and charter	Permanently
Patents and related papers	Permanently
Payroll records and summaries	7 years
Personnel files (terminated employees)	7 years
Retirement and pension records	Permanently
Tax returns and worksheets	Permanently
Timesheets	7 years
Trademark registrations and copyrights	Permanently
Withholding tax statements	7 years

EQUAL OPPORTUNITY/AFFIRMATIVE ACTION

EQUAL EMPLOYMENT OPPORTUNITY / AFFIRMATIVE ACTION

Purpose:

To provide equal employment opportunity to all employment applicants and to provide all Malta House employees equal employment opportunity without regard to race, gender, national origin, age, color, religion, sexual preference, and/or marital, veteran, and disability status or any other status protected by Federal, State or local law.

- Applies to all aspects of employment including but not limited to: recruitment, employment, compensation, benefits, training & development, performance evaluation, disciplinary action, promotion & transfers, demotion, layoff, termination.
- The Equal Employment Opportunities Policy will be issued and communicated to all employees periodically, especially to those who have the responsibility for making employment-related decisions.
- The Director and Business Manager have primary responsibility for the EEO / AA Programs. This includes making sure employees are familiar with policies, monitoring performance, taking corrective action and disciplinary measures, reporting and record keeping

FINANCIAL PROCEDURES & PROCESSES SUMMARY

Fiscal reports:

- The financial statements (income statement and balance sheet) are generated by the Business Manager on the 5th of each month after bank reconciliations are completed.
- Financial statements are provided on a monthly basis to the Finance Committee.
- YTD financial statements are provided for review at each meeting of the Board of Directors (5 meetings/year).

Payment procedures:

- Invoices are opened and approved by the Executive Director. Then they are given to the Business Manager (bookkeeper) for payment.
- The invoices are entered into the QuickBooks and prepared for payment.
- Payment checks are cut weekly.
- QuickBooks generates the checks for signature. Two signatures are required for checks in excess of \$7,500
- PayUSA is the payroll source. Payroll is processed bi-weekly. All payroll taxes are processed through PayUSA, as well as the quarterly reports 941 and annual W2s.

Deposits:

- There are several deposit methods in use.
- Checks are scanned for deposit by the Business Manager (bookkeeper).
- Credit card donations are processed through Harness/Stripe. Donations are made directly from our website and the funds are deposited into the operating bank account. These deposits are reconciled to QuickBooks as they are processed.
- Donations are also received via Facebook, which are deposited into the operating account. This too is reconciled as it is deposited.
- We also use an outside event system that collects income for certain events. This is reconciled through our database as well as QuickBooks.

Audit:

- Malta House employs an outside accounting firm, of the board's choosing, to conduct an annual internal audit.
- Once engaged, the auditors will notify the Business Manager (bookkeeper) as to what is needed for test review.
- When the test process is completed, an in-person meeting is then scheduled so that the full audit can be performed on site.
- Once an audit is completed, financial statements and related notes are drafted for review with the Finance Committee and then the full Board of Directors.
- Once approved, the final audited financial statements are generated and distributed to the board members and anyone that requests a copy.
- The auditors will then proceed to complete the Form 990 which is also reviewed with the Finance Committee and shared with the full Board of Directors before being filed by the auditors on the Board's behalf.



LIABILITY RELEASE FORM

I, _____ enter of my own free will into the following agreement with the Malta House Program.

1. I have had the Rules of Conduct clearly explained to me and agree to abide by them.
2. I understand and agree that Malta House shall incur no liability in the event that I fail or refuse to stay in the home.
3. I agree I will vacate Malta House immediately if serious infractions occur upon the request of staff or any Malta House representative.
4. I agree that in accepting shelter from Malta House, I will in no way hold them responsible or liable for:
 - a) any debts, personal injuries, losses through fire or theft which may result of my association with them while I am in or about the premises.
 - b) any complications relating to my pregnancy, labor, delivery or any other aspect of my association with them.
5. I grant permission for any staff or representative of Malta House to inspect my belongings at any time and remove from them any liquor, drugs or medication.

Applicant Signature	Date
---------------------	------

Staff Signature	Date
-----------------	------

Income Determination

100% of our mothers are Low to Moderate Income (LMI) according to the United States Department of Housing and Urban Development (HUD). In addition, 100% of our mothers are also Very Low-Income (VLI) according to HUD and many of our mothers are also Extremely Low-Income (ELI) according to HUD.

The income guidelines for SNAP benefits in Connecticut limit gross income to \$22,464 annually. All of our mothers qualify for SNAP benefits. The SNAP income limit is below HUD's Very Low-Income threshold of \$33,900 and barely above the Extremely Low-Income threshold of \$20,350. In addition, HUD also presumes those that are homeless to be LMI.

*“‘Presumed’ to be LMI: These are groups presumed by HUD to be made up principally by Low/Mod income persons. (Specifically, Abused Children, Elderly Persons, Battered Spouses, **Homeless Persons**, Severely Disabled Adults, Illiterate Adults, Persons Living with AIDS, and Migrant Farm Workers);”*

[Source: HUD: CDBG Guide to National Objectives and Eligible Activities: Chapter 3](#)

Poverty Statistics

Single Mother Data for Connecticut

(Source 2017 Census Quick Facts)

- In Connecticut, there are 171,544 single mother families living below poverty; an increase of 3% since 2010.
- Over 22% of single mother homes live below poverty compared to 7% of all families and 2.8% of married couple families.
- 46% of Connecticut residents with less than a high school degree are single mothers and 25% of families with an educational attainment of only a high school diploma are single mothers.
- Almost 60% of single mothers in Connecticut are unemployed and
- 50% of single mothers living below poverty rely on Supplemental Security Income (SSI), cash public assistance and SNAP benefits as their only income.
- Over 27% of children living below poverty are below the age of six and living in a single mother home.
- 12,033 children living below poverty in a single mother home are not enrolled in school.

Single mother Data for Fairfield County:

(Source 2017 Census Quick Facts)

Census data shows that in 2017 female, single-parent homes is the largest family demographic to live below the [Federal Poverty Level](#) (FPL) in Fairfield County. In fact, of those living below the FPL 22% are single mothers compared to 4% married-couple families. Census data also shows that of those that worked full-time, year-round only 4.2% are single mothers and 24% of those who relied on Social Security Supplemental Income (SSI) or TANF/Cash Assistance as their primary source of income were single mothers. Of those who have not received a high school diploma in Fairfield County and live below the FPL, 40% are single mothers.

Sheltering Data Connecticut

There are over 65 homeless shelters in Connecticut that accommodate 1,486 individuals, 290 families and 550 children; 2,370 people in total. We are one of only two sheltering services dedicated to pregnant women and the only sheltering service dedicated to women over the age of 18 in Connecticut. Homeless shelters *St. Luke's Lifeworks in Stamford* and *Homes with Hope in Westport* will accept pregnant women, but they must leave after the child is born and her stay, as with all Connecticut sheltering services, is limited to a maximum of 90 days. Malta House Inc. does not limit the time a woman and her infant may reside with us and we provide wrap-around services imperative to the health and wellbeing of pregnant mothers and their infants.

FY 2020 Income Limits Summary
Statewide Income Limits for Connecticut

FY 2020 Very Low-Income (50%) Limit (VLIL)							
1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
35,900	41,050	46,150	51,300	55,400	59,500	63,600	67,700
FY 2020 Extremely Low-Income Limit (ELIL)							
1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
21,550	24,600	27,700	30,800	33,250	35,700	38,150	40,650
FY 2020 Low-Income (80%) Limit (LIL)							
1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
54,950	62,800	70,650	78,500	84,800	91,050	97,350	103,600

[Source: HUD Website](#)

2020 Monthly Income Limits		
Household Size	Gross Income Limit (applies to most households, except those in which at least one person is 60 years of age or older, or receives disability income)	Net Income Limit (applies to ALL households)
1	\$1,926	\$1,041
2	\$2,607	\$1,410
3	\$3,289	\$1,778
4	\$3,970	\$2,146

[Source: CT DSS Website](#)

PROCUREMENT POLICY

The policy set forth in this document for Malta House, Inc. establishes standards and guidelines for the procurement of supplies, equipment, construction, and services, to ensure that they are obtained as economically as possible through an open and competitive process, and that contracts are managed with good administrative practices and sound business judgment.

Code of Conduct

A Code of Conduct shall govern the performance, behavior and actions of Malta House, Inc., including Board members, employees, directors, volunteers, or agents who are engaged in any aspect of procurement, including – but not limited to – purchasing goods and services; awarding contracts and grants; or the administration and supervision of contracts.

1. No employee, officer, director, volunteer or agent of Malta House, Inc. shall participate in the selection, award or administration of a bid or contract supported by Federal funds if a conflict of interest is real or apparent to a reasonable person.
2. Conflicts of interest may arise when any employee, officer, director, volunteer or agent of Malta House, Inc. has a financial, family or any other beneficial interest in the vendor firm selected or considered for an award.
3. No employee, officer, director, volunteer or agent of Malta House, Inc. shall do business with, award contracts to, or show favoritism toward a member of his/her immediate family, spouse's family or to any company, vendor or concern who either employs or has any relationship to a family member; or award a contract or bid which violates the spirit or intent of Federal, State and local procurement laws and policies established to maximize free and open competition among qualified vendors.
4. Malta House Inc. employees, officers, directors, volunteers or agents shall neither solicit nor accept gratuities, gifts, consulting fees, trips, favors or anything having a monetary value in excess of one thousand dollars (\$1,000) from a vendor, potential vendor, or from the family or employees of a vendor, potential vendor or bidder; or from any party to a sub-agreement or ancillary contract.
5. As permitted by law, rule, policy or regulation, Malta House Inc. shall pursue appropriate legal, administrative or disciplinary action against an employee, officer, director, volunteer, vendor or vendor's agent who is alleged to have committed, has been convicted of or pled no contest to a procurement related infraction. If said person has been convicted, disciplined or pled no contest to a procurement violation, said person shall be removed from any further responsibility or involvement with grants management, procurement actions or bids, consistent with State or Federal policy.

Solicitation and Competition

All procurement transactions will be conducted to provide – to the maximum extent possible – free and open competition among suppliers. Malta House, Inc. must begin with an analysis of the need for procurement to avoid the purchase of unnecessary items (this may include an examination of lease versus purchase alternatives). The purchaser must then identify and clearly specify standards for the good or services desired, and seek competitive offers where possible to obtain the best possible quality at the best possible price.

- Some form of cost or price analysis shall be made and documented in the procurement files in connection with

every procurement action. Price analysis may be accomplished in various ways, including the comparison of price quotations submitted and market prices, together with discounts.

- Bids must be sought for goods and services exceeding \$10,000 or procurements that exceed the Federal “small purchase” threshold (the federal threshold is \$100,000, but the locality or State may set a lower threshold), competitive bids will be utilized and requests for these bids will be written in a way that does not restrict competition. (A clear and accurate description of the technical requirements for the material, product or service to be procured; all requirements which offerors must fulfill; and all other factors to be used in evaluating bids or proposals.) Procurement files must include the following:
 - Basis for contractor selection.
 - Justification for lack of competition when competitive bids or offers were not obtained.
 - Basis of award cost or price.
- Whenever possible, Malta House, Inc. will engage in affirmative efforts to utilize small business, minority-owned firms and women’s business enterprises.

Selection

Price should be one of the factors in the evaluation of responses, but Malta House, Inc. is not required to take the lowest price if other factors are important to the decision.

- Awards shall be made to the bidder or offeror whose bid is responsive to the solicitation and is most advantageous to Malta House Inc. (price, quality and other factors considered).
- A bid may be rejected when it is in Malta House Inc.’s interest to do so.

Documentation

Malta House Inc.:

- Executed price sampling for small purchases;
- Selected the method of procurement and the type of contract to be used;
- Determined which bids or proposals to accept and which to reject; and
- Determined the basis for the contract cost or price.

Contract Administration

Malta House Inc. has an overall system of contract administration to ensure proper oversight and management of procurement actions. Malta House Inc. is responsible for evaluating contractor performance and documenting, as appropriate, whether contractors have met the terms, conditions and specifications of the contract. This may include progress inspections, interim products, inspection of goods delivered, and other such methods that provide assurance that the goods or services purchased are being delivered within the scope of the contract.

Malta House Inc.’s contract administration system ensures that:

- The method of procurement is documented and records maintained for five years after final payment is made;
- All activities are carried out and costs are incurred in compliance with applicable requirements; and
- Before payment is made, services performed are adequate and consistent with the contract scope of services.

MALTA HOUSE, INC.
FY 2019-20 Program & Organization Budgets
Program(s): Residential & Partnering Success Programs

	<u>PROGRAM BUDGET</u>		<u>ORGANIZATION BUDGET</u>
	<u>This Request</u>	<u>Total Project Budget</u>	<u>Total Organizational Budget</u>
Income Sources			
Government Grants	-	-	-
Foundation and Corporate Grants	-	94,673	145,650
United Way	-	-	-
Individual Contributions	-	473,850	729,000
Earned Income	-	16,640	25,600
Interest Income	-	-	-
In-Kind Support	-	-	-
Other Income	-	26,000	40,000
Total Income	\$ -	\$ 611,163	\$ 940,250
Expenses			
Salaries and Wages	-	278,330	428,200
Employee Benefits and Taxes	-	73,161	112,556
Total Personnel Costs	\$ -	\$ 351,491	\$ 540,756
Equipment Rental & Maintenance	-	6,868	10,566
Fundraising/Development Expenses	-	89,830	138,200
General Overhead Expenses	-	18,413	28,328
Insurance Expense	-	9,586	14,748
Marketing/Advertising	-	-	-
Rent and Occupancy	66,175	66,175	101,808
Supplies and Materials	-	2,472	3,804
Telephone Expense	-	4,615	7,100
Client Expenses	-	49,610	49,610
Miscellaneous Expenses	-	34,970	53,800
Total Non Personnel Costs	\$ 66,175	\$ 282,540	\$ 407,964
Total Expenses	\$ 66,175	\$ 634,031	\$ 948,720
Excess of Revenue Over Expenses	\$ (66,175)	\$ (22,869)	\$ (8,470)

Enter Comments Here

Client Expenses: Expenses related to clients, including, but not limited to, Program Supplies, Transportation, Education, etc.

Miscellaneous Expenses: Contract Services

MID FAIRFIELD AIDS PROJECT

**NORWALK REDEVELOPMENT AGENCY obo CITY OF NORWALK
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG-CV) PROGRAM
APPLICATION FORM FOR CDBG-CV FUNDS**

Applicant Agency/Organization Name: Mid Fairfield AIDS Project, Inc. (MFAP)

President/CEO/Executive Director's Contact Information: Stuart Lane

Executive Director 203 855-9535 x101

Type of Organization: Community Service Organization/AIDS Service Organization/ 501 ©3
Nonprofit/Housing and case management and Substance abuse harm reduction and prevention and care
as well as HIV/Hepatitis C prevention and testing.

Applicant Mailing Address:

MFAP, 618 West Avenue, Norwalk, CT, 06850

Project Location Address:

MFAP, 618 West Avenue, Norwalk CT 06850

Age of Building (Public Facility/Housing Applications Only):

Contact Person (designated contact person for the project/proposal):

Name: Stuart Lane/ Executive Director /203 855 9535 x101

Email Address: slane@mfap.com

Proposed Project/Activity Name: MFAP's Support for Covid-19 affected and infected Persons living with HIV/AIDS.

Brief Description of the Proposed Project/Activity:

MFAP has 130 immune compromised HIV/AIDS clients that we support with medical case management. In addition, we serve 60 clients in subsidized housing and 100 in our Drug User Health Program. Total population served annually approximately 300. All of our clients live on incomes well below the poverty guidelines. Incomes are derived from SSI, SSDI, very low paying employment or combinations of these. Some clients have zero income and we try to remedy their financial situation by helping them apply for and secure benefits like: SNAP, housing (section 8, shelter), disability, Ryan White funding and whatever is remotely available.

The mission for MFAP has been: To act as a direct and indirect service provider and advocate for all those affected by HIV/AIDS and other co morbidities; to create lasting solutions to prevent the spread of HIV/HCV, recurring homelessness and addiction through education, prevention programs, collaborations and housing initiatives.

Our ability to fill the gaps in care and provide our clients with basic needs and services has been severely hampered due to the Corona Virus and its dire economic (severe loss of income) and health related consequences. As the majority of MFAP clients are HIV positive and therefor immune compromised, they are more at risk for acquiring the Covid-19 illness and having a poor immune response which may result

in death or lasting dire outcomes. Thirty percent of our HIV/AIDS patients tested positive for Covid-19 and 45% of our clients lost either all or a portion of their income due to layoffs and the consequences of the pandemic. It falls upon us at Mid Fairfield AIDS Project, Inc. (MFAP) as case managers and service providers to help them acquire basic needs and keep their basic services such as: food, shelter (rent), utilities (heat, hot water, water and electricity) without exposing them to greater risk of disease and affecting their health and in turn, HIV/AIDS status.

The needs that are most pressing or lacking due to the current situation are: Food, Utility bills, rental assistance (arrears), Wi-Fi and Cell phone availability and transportation or the transport of goods and services without client being put at risk due to greater exposure to Covid-19.

Our program plan is to provide funding for gas, oil and electric bills that have become delinquent due to loss of employment and financial status. To provide funding for all or portions of rents that have become delinquent due to loss of income and greater expense. The goal here is to avoid any threat of eviction or loss of service.

Food has become a tremendous and pressing need due to inability to afford and lack of availability. We have been able to provide food vouchers for clients (by mail) and purchased foodstuffs for clients and delivered them to some of their homes and mailed checks to property owners and utility companies. This is done in order to support social distancing and quarantining and to avoid contact or exposure to potential infection. The goal is to stop the spread of Covid-19 illness to the already immune compromised HIV+ client. Some of our clients suffer from mental illness and substance abuse issues as well. They need more acute case management and help in order for them to follow the guidelines set down by the state of CT and local health departments.

I certify that all information provided is correct to the best of my knowledge.

Stuart Lane executive director

4/30/20

Name, Title & Signature

Date

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

This signed page is with additions packet next.

PART 1. GENERAL INFORMATION

ORGANIZATION

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

Mid Fairfield AIDS Project, Inc. (MFAP) can be fully investigated at our web site MFAP.Org. We have been serving the greater Norwalk, Westport community for twenty-five years. At the start of the HIV/AIDS epidemic, we focused exclusively on people living with HIV/AIDS. Our funding has come from Federal government, state, private and individual donors and grants. In 1995, we had one staff person and nine clients. Today we employ seven full time medical case managers, counselors and administrators serving over 300 clients per year. MFAP owns and operates Moore Place which is a ten bed transitional living program that helps homeless and disabled men and women retool their lives in order to graduate after sixteen months into independent affordable housing leading constructive and sober lives. MFAP also has over fifty subsidized apartments that serve people living with HIV/AIDS as well as non HIV+ individuals and families that are homeless or in danger of becoming homeless. The goal here is again to case manage and council clients into an autonomous, affordable, healthy lifestyle. MFAP has a drug user health program that operates needle exchange and substance abuse harm reduction programs. We place clients into drug treatment, provide Narcan kits and education on Narcan itself. MFAP offers free, walk-in HIV and Hepatitis C testing along with referrals to care. Prevention of HIV disease and homelessness are at the foundation of our mission.

Our funding for these programs come from the following Federal and state government agencies: HRSA and The Ryan White CARE Act, CT State Department of Health, Housing and Urban development (HUD), CT State department of mental health and addiction services (DMHAS), The City of New Haven and the CT department of Housing. We have been building our client base and expanding our programs and services over the last twenty-four years. Most of our funding, reporting, auditing and quality management has been via federally funded projects and activities.

The overall mission of MFAP through a case management delivery system, we serve marginalized populations. At intake, we assess the client and develop a care plan, which identifies the client's needs. As we meet those needs, the client gradually rebuilds their life and together we hope to establish a stable, happy and sober person. The following are the list of services and basic needs that MFAP tries to satisfy: medical and oral health care, medications, mental health, substance abuse treatment, food and nutrition or security, medical insurance, financial assistance, utility bill stability and affordability, housing stability, support, drug harm reduction, transportation, advocacy, legal aid and referrals to all areas.

2. Identify the "core" programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated. Example: A homeless shelter's "core" program might be its basic overnight shelter service, while it is counseling or job placement services are "support" programs.

CORE programs on which MFAP services are delivered and based consist of Medical Case Management, counseling, substance abuse and substance abuse prevention, HIV and Hepatitis C prevention through testing and counseling and Housing. Preventing HIV transmission, homelessness and the spread of

illness is also at the CORE of our organization. Our testing programs are at the Core of “Getting to Zero” new HIV infections. Medical case management is at the Core of making sure all people with HIV have medical care and medicine in order for them to stay virally suppressed which leads to zero new infections because people that are virally suppressed cannot transmit HIV. All of our clients must have low incomes well below the federal poverty guidelines, in order to get services and financial assistance form our agency. Our Core program is to fill gaps left by this lack of income in order to ensure health, benefits, food security and stable affordable housing. Core programs here at MFAP are fifty percent HIV/AIDS specific and the same amount housing and providing for the homeless and very low income populations.

3. Check “YES” or “NO” to the following questions.

- | | | | |
|----|--|------------------------------|-----------------------------|
| A. | Does your organization have a Board of Directors? | xYES | ☐ NO |
| B. | Is your organization exempt under IRS Code 501(c) (3)? (If yes, provide documentation*) | xYES | ☐ NO |
| C. | Are your organization’s services available to Norwalk residents? | xYES | ☐ NO |
| D. | Does your organization have an EEO Policy? (Include a copy*) | ☐ YES | xNO |
| E. | If a housing provider, does your organization have a written Fair Housing Policy including accessibility (504) requirements? (Include a copy*) | xYES | ☐ NO |
| F. | Does your organization have a written Procurement Policy? (Include a copy*) | YES | xNO |
| G. | Is your organization considered a Faith-Based Organization? | ☐ YES | xNO |
| H. | Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal*NA | | |
| I. | Include a copy of your written Policy on Record Keeping*(yes) | | |
| J. | Include a copy of your most current audited Financial Statements (yes) | | |

****Please note that requested documentation (from above) must be submitted to the Norwalk Redevelopment Office only if you are a new applicant or if there have been any changes to a previously filed documentation.***

PART 2. PROPOSED PROJECT/ACTIVITY

GENERAL DESCRIPTION

1. In the space below or on a separate page, provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of preventing, preparing for and/or responding to the COVID-19 outbreak. Omission of requested information may be a cause to reject application.

MFAP has operated as the only ASO (AIDS Service Organization) over the past twenty-five years, serving Greater Norwalk area. In the case of CDBG-CV we serve a population that is already immune compromised due to HIV disease. The population that we serve have incomes well below the federal poverty guidelines. This is a qualifying condition to receive services from MFAP. They have fixed incomes from either SSI, which averages some \$8,400 per year, or SSDI where the average income is perhaps \$12,000 per year. Clients that we serve and are able to work usually have limited skills and education and again their income must be limited to 300% of federal poverty guidelines in order to receive assistance from us. All of the clients that we serve have HIV/AIDS and we dispense assistance via our medical case management program. While the population we serve can be from the ages of 18 and up most are between 30 and 60 years of age. Fifty% of our clients are between the ages of 40 and 65. Breakdown between men and women is about 55% men and 45% women. Breakdown according to race is 40% Black, 30% Hispanic and 30% White. We serve mostly individuals although we are open to families and have approximately twenty children throughout our programs.

The Covid-19 pandemic has created great hardships for our clients. This is because they are all immune compromised and more at risk and they all live on incomes that are well below the poverty limit. Thirteen clients became positive for Covid-19 and needed financial and volunteer help in managing their illness. At least thirty of the HIV clients lost their source of income and they had little savings prior to this crisis, as their income is very limited. Our total number of HIV/AIDS clients number over 120 and they are in our medical case management program. MFAP also has a ten unit congregate living program for disabled low-income men and women. In addition, we case manage clients who come to us through the Norwalk Housing First Collaborative (or the CAN, Consolidated Access Network). The total number of people that we serve is approximately 160 that have been affected by the Corona outbreak.

The areas of need for our clients due to the Covid-19 pandemic are Rental assistance, Utility payments, food security, transportation and cell phone and Wi-Fi expense. Clients that lost their jobs (sources of income) are unable to pay for their rent, their utility bills and food. Even clients on fixed incomes need help to pay for food and some of these other needs. Everyone needs to have a cell phone and/or a tablet with a Wi-Fi connection in their house. All communication with doctors, vendors, friends, even food delivery is done via on-line Zoom or Skype and without a cell or smart phone one would not be able to function in this society. In addition, all of our clients do not have the extra funds to buy Lysol, facemasks, wipes and other safety PPE items. After a while all of this adds up in cost.

2. Check the box that best describes the proposed project/activity.

☒ Public service activity

☐ Rehabilitation activity

☐ New construction activity

☐ Real property acquisition activity (i.e. land/building).

☒ Other (explain) replace basic needs lost to unemployment

3. Check the box that applies to the proposed project/activity.

☐ New "core" program

Expansion of existing "core" program

☒ Support of existing "core" program (with no expansion)

☐ New "support" program

x Expansion of existing "support" program

Existing "support" program (with no expansion)

☐ Other (explain) _____

4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose?

☐ YES ☒ NO

5. How many persons or families (unduplicated #s) will the proposed project/activity serve? Indicate one as follows:

#_____ Week

#50 Month

#_____ Year

6. How many persons or families (unduplicated #s) in Question 7, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)? # _____ Week
50 Month
_____ Year
7. How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG-CV income guidelines on Page 2 of this application)? # _____ Week
#50 Month
_____ Year

*** Failure to answer Questions 6 – 9 may disqualify application.**

8. What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? xName
Check more than one box, if necessary. Note that the xAddress
organization must be able to prove the income eligibility of xIncome
beneficiaries. xOther
- Medical records, income eligibility, bank account,

9. Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation with the application evidencing the below qualification. Examples: Client In-take forms (no names), proposed rents, etc.

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

- ☐ **Area Benefit.** Activity meets needs of LMI persons residing in an area where at least 51% of the residents are LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood.

Documentation Attached: ☐

Limited Client Benefit. Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the subcategories, check the applicable number.

We serve people living with HIV/AIDS, homeless, substance abusers, mentally ill and more. All have incomes below federal poverty guidelines. One in family cannot make over \$33,000.

ALL Documentation Attached: ☐

- (1) Project/activity maintains client records on income and family size records documenting that such persons qualify as LMI. x yes
- (2) Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons x yes
- (3) Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons. X yes
- (4) Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.) x yes

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? x ___yes___no

If yes, please explain: We have requested funding from Ryan White CARE Act but we do not know if or how much we will receive. It is estimated to be very small amounts for CT in general.

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ___yes___Xno.

If yes, please explain below and include any letter(s) of commitment for ongoing funds or approved funds from other source(s) to assist with the proposed project that you are requesting.

If yes, what funding source?	Amount Requested	Amount Approved	Amount Pending	Amount Denied

--	--	--	--	--

2. What is the total cost of the proposed project? Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor and/or architect/engineer estimate.

Total cost is \$123,550. This budget addresses the need for relief for all clients affected by Covid-19 pandemic. We will make due with any award and modify the help that we can give to our clients in an equitable and fair fashion. The identified needs will be those identified in the budget summary and based on the award that we may receive; we will decrease the cap on each client's amount relative to the award.

3. Describe your organization's fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

We have an accounting manager who handles all of our accounting and financial reporting. Executive director signs off invoices and they go to accountant who cuts checks and makes journal entries in quick books. He produces all reports for board meetings, director and works with all grantors who audit MFAP annually. In addition, we pay Studley White for our annual financial statement, management letter and 990. Accountant mails all checks. The housing coordinator manages our large rental subsidy program checks and checks are mailed to property owners directly. Also, please see attached accounting policies and procedures.

4. Attach an explanation on how the proposed project will affect your administrative budget (example: additional personnel, maintenance, office space, etc.) Include an explanation on long-term plans for funding/sustaining the proposed project.

The purpose of this project is to fill the gaps left by the devastation of the Covid-19 pandemic. Prior to this, our budget for client emergency financial assistance for rents, utilities and food was approximately \$35,000. This paid for emergency needs of clients who all live on meager incomes whether working or on fixed incomes. Covid-19 put almost forty percent of our clients out of work and with no income. The requested funds are to fill that emergency gap. We expect that our planned annual budget will once more be sufficient to satisfy the need for emergency financial assistance. We will be raising funds through events and donations to grow our client assistance funds. This is to ensure that if Covid continues to present these shortages we will be able to take care of our client's needs. Serving a predominantly HIV positive population makes our clients more at risk for contracting Covid and therefore more financially insecure.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish).

The supplementation of client needs and expenses started in middle of March and will continue as long as we have funds to support the need and until the pandemic is slowed, reduced or stopped. We expect the bulk of program need to go from March 15, 2020 through September 1, 2020. After that, we do not know if we will be able to sustain the cost or if the need will be as great. Tentative March 15, 2020 to September 1, 2020.

PART 4. ORGANIZATIONAL EFFICIENCY

1. How many staff members will be directly associated with the proposed project?

	Professional	Support	Volunteer
Full-Time Staff	4	3	6
Part-Time Staff	1		

Include a list of those involved in completing the project. The list must include each person's name and a brief summary of job duties in relation to the proposed project.

Rosie Rodriguez- Housing Coordinator and Medical Case manager (MCM) (each person identifies their clients that are eligible for financial assistance and submits application to ED for consideration).

Mike Little- Medical Case manager and Quality Management. MCM supports, and helps client navigate the system and submits their documents for eligibility for funding.

Erma Benedetto- HIV/Hep C testing Coordinator, Housing case manager, Drug treatment advocate and needle exchange director. Erma does the same for non-HIV clients and places clients into drug TX.

Stuart lane-Executive Director. ED manages all programs

Desmond Cordovez- Moore Place director and Medical case manager

Juan Cintron- Moore Place Residence Manager. Manages all activities at Moore Place

Andrew Lane-Finance Director- Manages all grants, finances and quick books. Reports on all funds.

2. If your organization has an elected or appointed board, complete the questions below.

NAME OF BOARD/COMMITTEE: MFAP Board of Directors

List the names of the individuals on the board and the position they may hold on the board.

Janet West Vice President

Joanne Montgomery President

Randolph W. Meyer Treasurer

Barbara Crudup Secretary

John Harrington Board member

Tami Strauss Board member

a. Number of voting board members as of January 1, 2020 6 Vacancies? 2-4

b. How many board members reside within the City of Norwalk? 4

c. How are the board members chosen? Appointed

d. Does your organization provide any board training and/or orientation? yes no If so, how often is training provided? At start and ongoing

e. How long is a term? Not limited How many consecutive terms may be served? unlimited

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. Has the organization attempted to coordinate the project with other agencies to avoid duplication of services? yes no If yes, please explain.

Opening Doors Fairfield County and Norwalk Housing First Collaborative is made up of over twenty different organizations who work together to fight and end homelessness. We all attend the Community care Team that is run and funded by the Norwalk Hospital. All social service agencies in the greater Norwalk area are part of the Community Care Team (CCT). In the pandemic, we have met on Zoom, prior we met every Tuesday from 8:30 AM to 10:00 AM at MFAP. 618 West Avenue. We work with Lamond Daniels from the Norwalk Community Services as well as FCA's Community Drop In, The Open Door Shelter, Norwalk Community Health Center, CHC, Keystone, Norwalk Hospital and all the members of the community task force. Each agency provides services that are unique and we make sure that no duplication of services is permitted.

2. Identify other agencies in Norwalk (including non-profit and government) that provide services similar to your proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies? We are the only HIV specific agency in our area. Our housing programs are tightly knit with FCA, SHW, ODS Shelter, ODFC and NHFC. ODFC or Opening Doors Fairfield County is a collaborative agency that works together to conquer homelessness and case manage clients to avoid returning them to homelessness. We work with all social service, medical and, substance abuse treatment and mental health organizations. We collaborate closely by using the 211 and Consolidated Access Network to provide fair and equitable access to housing for all clients. As I said MFAP is the only one that serves people living with HIV/AIDS but there is some overlap in that we have common clients, yet they do not get the same services or funds from each of us. In other words by working together, we are able to avoid clients double dipping. None of our colleagues serves our clients. In the case of the economic devastation wrought by Covid-19 the only help our unemployed clients may get is the one time subsidy from the Federal Covid CARE act. Our programs do not overlap with our colleagues and we are very different in the way we are able to provide financial relief.

3. Identify other agencies in Norwalk that provide services directed toward the same target beneficiaries of your proposed project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?

The Norwalk Shelter, The Drop In, Community Health Center, The Hub, CT Counseling and others provide different services directed toward the same clients. But we each provide a specialized part of their care. Of course, what makes the Continuum of Care so effective and efficient is that we are able to all enter data into the same program HMIS and we provide extensive interagency referrals to each agency and serve the same target beneficiaries.

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants:

ORGANIZATION NAME:

Organization is:

1. Corporation (x) (attached)
2. Non-Profit 501(c)(3) (x) (attached)
3. Partnership ()
4. Sole Owner ()
5. Association ()
6. Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the above-mentioned organization or project proposed.

Name, Job Title and Norwalk Redevelopment Agency Department
Tami Strauss, Deputy Director, Norwalk Redevelopment

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a potential "financial interest" in the organization or project. NA

Name/Title

NOTE: If the applicant has provided names in question one or two, please provide details regarding any known potential conflicts of interest in an attached narrative.

and 45% of our clients lost either all or a portion of their income due to layoffs and the consequences of the pandemic. It falls upon us at Mid Fairfield AIDS Project, Inc. (MFAP) as case managers and service providers to help them acquire basic needs and keep their basic services such as: food, shelter (rent), utilities (heat, hot water, water and electricity) without exposing them to greater risk of disease and affecting their health and in turn, HIV/AIDS status.

The needs that are most pressing or lacking due to the current situation are: Food, Utility bills, rental assistance (arrearages), Wi-Fi and Cell phone availability and transportation or the transport of goods and services without client being put at risk due to greater exposure to Covid-19.

Our program plan is to provide funding for gas, oil and electric bills that have become delinquent due to loss of employment and financial status. To provide funding for all or portions of rents that have become delinquent due to loss of income and greater expense. The goal here is to avoid any threat of eviction or loss of service.

Food has become a tremendous and pressing need due to inability to afford and lack of availability. We have been able to provide food vouchers for clients (by mail) and purchased foodstuffs for clients and delivered them to some of their homes and mailed checks to property owners and utility companies. This is done in order to support social distancing and quarantining and to avoid contact or exposure to potential infection. The goal is to stop the spread of Covid-19 illness to the already immune compromised HIV+ client. Some of our clients suffer from mental illness and substance abuse issues as well. They need more acute case management and help in order for them to follow the guidelines set down by the state of CT and local health departments.

I certify that all information provided is correct to the best of my knowledge.

Stuart Lane executive director

4/30/20

STUART LANE,

Stuart Lane

Name, Title & Signature

Date

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

Proposed CDBG-CV Budget for Jan1, 2020 to June 30, 2020

Rental Assistance

10 units x \$1,000 per month x 6 months= \$60,000

Utility Assistance

12 apartment units @ \$300 per unit = \$36 x 6 months= \$21,600

Food Security

30 families @\$100 per month = \$3,000 x 6 months= \$18,000

Cell Phones and Wi-Fi,

10 families per month- \$35 per cell +70 per month for Wi-Fi= \$350+\$700= \$1050 per month for 10 units

6 months x \$1050 = \$6,300

Total= \$123,550

SECRETARY OF THE STATE
30 TRINITY STREET
P.O. BOX 150470
HARTFORD, CT 06115-0470

AUGUST 30, 2013

STUART LANE
MID-FAIRFIELD AIDS PROJECT
618 WEST AVE. 2ND FLOOR
NORWALK, CT 06850

RE: Request for Certificate or Copies

Business Name:
MID-FAIRFIELD AIDS PROJECT, INC.

Work Order Number: 2013257516-001
Type of Request: CERTIFIED COPY
Work Order Payment Received: 105.00
Payment Received: 105.00
Credit on Account: .00
Customer Id: 002304614

Attached is the information you requested.

JOHN CALLAHAN
Commercial Recording Division
860-509-6032

Office of the Secretary of the State of Connecticut

I, the Connecticut Secretary of the State, and keeper of the seal thereof,
DO HEREBY CERTIFY, that the certificate of incorporation of

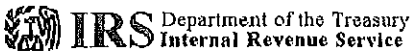
MID-FAIRFIELD AIDS PROJECT, INC.

a domestic NONSTOCK corporation, was filed in this office on October 14, 1987, a certificate of dissolution has not been filed, the corporation has filed all annual reports, and so far as indicated by the records of this office such corporation is in existence.



Secretary of the State

Date Issued: October 23, 2012



Department of the Treasury
Internal Revenue Service
P.O. Box 2508
Cincinnati OH 45201

In reply refer to: 0248351232
Jan. 06, 2014 LTR 4168C 0
06-1229965 000000 00

00025316
BODC: TE

MID FAIRFIELD AIDS PROJECT INC
% R W MEYER TREASURER
618 WEST AVE
NORWALK CT 06850



017705

Employer Identification Number: 06-1229965
Person to Contact: Mr. Kelley
Toll Free Telephone Number: 1-877-829-5500

Dear Taxpayer:

This is in response to your Dec. 27, 2013, request for information regarding your tax-exempt status.

Our records indicate that you were recognized as exempt under section 501(c)(3) of the Internal Revenue Code in a determination letter issued in April 1989.

Our records also indicate that you are not a private foundation within the meaning of section 509(a) of the Code because you are described in section(s) 509(a)(1) and 170(b)(1)(A)(vi).

Donors may deduct contributions to you as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

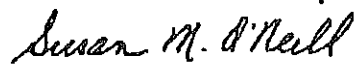
Please refer to our website www.irs.gov/eo for information regarding filing requirements. Specifically, section 6033(j) of the Code provides that failure to file an annual information return for three consecutive years results in revocation of tax-exempt status as of the filing due date of the third return for organizations required to file. We will publish a list of organizations whose tax-exempt status was revoked under section 6033(j) of the Code on our website beginning in early 2011.

0248351232
Jan. 06, 2014 LTR 4168C 0
06-1229965 000000 00
00025317

MID FAIRFIELD AIDS PROJECT INC
% R W MEYER TREASURER
618 WEST AVE
NORWALK CT 06850

If you have any questions, please call us at the telephone number
shown in the heading of this letter.

Sincerely yours,



Susan M. O'Neill, Department Mgr.
Accounts Management Operations

Medical Case Management Face Sheet

Date _____

Client's name _____ DOB _____ SS# _____

Home Address _____

Telephone number (cell) _____ (home) _____

Email address _____

Emergency Contact name relationship and # _____

Does your emergency contact know your HIV status? _____

Household member's name, DOB and relationship _____

Hospital of choice _____

Race _____ Place of Birth _____ Are you a US citizen? _____

Primary Language _____ Second Language _____

Military Status _____ Level of education _____

Do you have a living will? _____

Medical insurance information _____

Medical Provider _____

List of current HIV medication _____

What is your current housing situation? _____

Mental health status _____

Substance abuse status _____

Do you have any legal issues? _____ If so, please describe _____

Are you working with any other agency? If so, please provide Agency name, telephone number and contact person _____

Ryan White Part B Medical Case Management Assessment Form

Client CAREWare URN#: _____

Date: _____

Directions: Page 1 only of Assessment form should be completed by client or Medical Case Manager should provide assistance. Pages 2 – 4 should be completed by Medical Case Manager only.

1. Medical History

Has or is any of the following happening:

Headaches	Yes ☐	No ☐
Dizziness	Yes ☐	No ☐
Memory problems	Yes ☐	No ☐
Visual problems	Yes ☐	No ☐
Dental problems	Yes ☐	No ☐
Nausea	Yes ☐	No ☐
Vomiting	Yes ☐	No ☐
ER care/hospitalization	Yes ☐	No ☐

Cough	Yes ☐	No ☐
Rash	Yes ☐	No ☐
Pain anywhere	Yes ☐	No ☐
Weight loss or gain	Yes ☐	No ☐
Difficulty eating	Yes ☐	No ☐
Loss of appetite	Yes ☐	No ☐
Diarrhea	Yes ☐	No ☐
Alcohol/Substance use	Yes ☐	No ☐

Other specify: _____

2. Screening

Has or is any of the following happening:

Difficulty sleeping	Always ☐	Sometimes ☐	Never ☐
Feeling anxious or nervous	Always ☐	Sometimes ☐	Never ☐
Feeling sad or helpless	Always ☐	Sometimes ☐	Never ☐
Want to harm myself or others	Always ☐	Sometimes ☐	Never ☐
Under or over eat	Always ☐	Sometimes ☐	Never ☐
See or hear things that are not there	Always ☐	Sometimes ☐	Never ☐
Someone threatened you with harm	Yes ☐	No ☐	
Someone assaulted you sexually	Yes ☐	No ☐	
Gambling	Yes ☐	No ☐	

3. Activities of Daily Living

Are you having problems with?

Stable housing	Yes ☐	No ☐
Food/meals	Yes ☐	No ☐
Transportation	Yes ☐	No ☐

Walking	Yes ☐	No ☐
Shopping	Yes ☐	No ☐
Hygiene	Yes ☐	No ☐

Other specify: _____

Ryan White Part B Medical Case Management Assessment Form

Client CAREWare URN#: _____ Date: _____ Update due on or before: _____

Initial Assessment ☐ Follow-up Assessment ☐ (Assessments are required to be updated at least every 6 months or as needed)

Section A: Physical Health

1. Who is the Medical Provider who treats your HIV and their contact information?

2. Do you have any other medical providers? (e.g. Primary Care, Gyn) If yes, include name & contact information:

3. Name, address, and phone number of pharmacy:

4. Physical Appearance (including Hygiene):

5. Tell me about your physical health:

6. Tell me about your daily appetite:

Section B: HIV Health Literacy: (Done once at intake unless client needs repetition) *Ask client to explain in their own words.

1. What is a CD4 count?

2. Is the goal of treatment to make the CD4 count go up or down?

3. What is a viral load?

4. Is the goal of treatment viral suppression?

Section C: Treatment Adherence Assessment

1. Are you considering or currently taking any HIV medications? ☐ Yes ☐ No

2. If taking HIV medications, which one(s) are you currently taking? ☐ Don't Know
Please list medications:

3. Are you taking medication to prevent Pneumocystis Pneumonia (PCP)? ☐ Yes ☐ No If yes, circle medication: Bactrim (Trimethoprim-Sulfamethoxazole, TMP/SMX), Dapsone, Clindamycin, Pentamidine, Atovaquone

4. What non-HIV medications are you taking including over-the-counter medications/vitamins/supplements/herbs?

5. Are you having any difficulties taking your HIV medications? ☐ Yes ☐ No If yes, which medications/describe the difficulty:

Ryan White Part B Medical Case Management Assessment Form

6. How adherent are you to taking your HIV medications? ☐ 0-25% ☐ 25-50% ☐ 50-75% ☐ 75-95% ☐ 95-100%
7. Are you or would you like to work with an HIV Treatment Adherence Nurse? ☐ Yes ☐ No If yes, name & contact information: _____

Section D: Mental Health Screening

1. Recently have you been feeling down, depressed or hopeless? ☐ Yes ☐ No ☐ N/A
2. Have you ever been diagnosed or treated for a mental health illness? ☐ Yes ☐ No If yes, diagnosis: _____
3. Are you currently receiving mental health treatment or individual or group therapy? ☐ Yes ☐ No If yes, mental health provider and contact information: _____
4. Have you been prescribed medication for depression, anxiety, or mood disorder? ☐ Yes ☐ No (If yes, list medications in Section B)
5. Client declines to answer the above questions, why? _____
6. Are you interested in a referral for Mental Health Services? ☐ Yes ☐ No ☐ N/A ☐ Client declined

Section E: Substance Use

1. Tell me about your use of alcohol and/or drugs in the past? ☐ If used, which substance(s): _____
When was the last use? _____ How old were you when you first started using? _____ ☐ Never used
2. Are you currently using any substances? ☐ Yes, Drug(s) of Choice: _____
How often: _____ How much: _____ ☐ Not using
3. Are you currently enrolled in a treatment program? ☐ Yes (Program): _____ ☐ No
4. Are you currently on ☐ Methadone (dosage): _____ ☐ Suboxone/Buprenorphine (dosage): _____
☐ Naltrexone (dosage): _____ ☐ Other (dosage): _____
5. Do you feel that alcohol and/or drugs are causing problems in your life: ☐ Yes ☐ No
6. Are you interested in a referral for substance use disorder treatment services? ☐ Yes ☐ No ☐ N/A ☐ Client declined, why? _____
- Comments: _____
7. Tobacco use: ☐ Yes ☐ No (If yes, how do you use (smoke/chew): _____ How much: _____

Section F: HIV/STDs Risk Counseling, Partner Notification and Other * If client doesn't know provide education on the following:

1. HIV/STDs Risk Counseling

- What do you know about HIV transmission and HIV reinfection? _____
- What do you know about PrEP (Pre-exposure Prophylaxis)? _____
- IDU use only: When was the last time that you shared works (needle/syringes, cotton, cooker, water)? _____

Ryan White Part B Medical Case Management Assessment Form

- What are you doing right now that may put you at risk for STDs/reinfection? _____
- What have you done in the past to reduce your risk for STDs/ reinfection? _____
- Referred for Prevention Education Program (e.g. EBI's/Prevention for Positives, syringe services (drug user health), etc.):
☐ Yes ☐ No ☐ N/A ☐ Client declined

7. Partner Notification:

- How have you notified past sex/needle sharing partners about HIV/STD risk? _____
- How have you notified current sex/needle sharing partners about HIV/STD risk? _____
- Are you interested in a referral for Partner Notification Services? ☐ Yes ☐ No ☐ Client declined

8. Other

- What do you know about Early Intervention Services (EIS)? _____
- What do you know about Release of Information and Client Consent forms? _____
- Are you aware of CT HIV Planning Consortia (CHPC) and when meetings takes place? ☐ Yes ☐ No

9. Client was provided Education in Section E: ☐ Yes ☐ No ☐ N/A ☐ Client declined

Section G: Referrals (accepted referrals must be in Care Plan)

Need Identified:	Client Accepts	Client Denies	Referred to:	Follow-up Method	Documented in Database
	☐	☐			☐ Yes ☐ No
	☐	☐			☐ Yes ☐ No
	☐	☐			☐ Yes ☐ No
	☐	☐			☐ Yes ☐ No
	☐	☐			☐ Yes ☐ No
	☐	☐			☐ Yes ☐ No

Medical Case Manager's Signature
9/2017 CR

(required)

Date

Client Name

Case Number

Agency Initials

Date

RYAN WHITE ELIGIBILITY WORKSHEET						
INCOME	Client	Household Member 1	Household Member 2	Household Member 3	Household Member 4	Other Household Members (Please sum)
Work Income						
Adjusted Gross Income (Federal Tax Form)						
Self-employment (Federal Tax Return w/schedule C)						
Unemployment						
Worker's Comp						
Social Security Disability Insurance (SSDI)						
Pension						
Supplementary Security Income						
State Supplement for the Disabled						
Child Support						
Other (please sum)						
Individual Totals	0	0	0	0	0	0
Total Household Income	N/A					
	Household FPL Size Please enter Household					

Row 1. Enter client name and case number (if desired) at top
Cell R5. Enter number of people in household in box at upper right.
Rows 10-18. Enter all income from household members in the appropriate columns. Household Income is the aggregate gross income of all members of a household who are 15 years or older. Household is defined in section 31-51 of the CT General Statute: "Individuals who share use of a dwelling unit as primary quarters for living and eating separate from other individuals".
the Household and Client Income to determine future Ryan White Sliding Fees.
proof of income. In this case the client will be placed in Category 1.

Client's Signature

MCM Signature

created 11/12

Please enter
Agency Initials

Date

Please fill out Name or Case
Number

Case Number

Please fill out Name or Case Number

Client Name

Client CAP and Sliding Fee Determination

Client Income	N/A	Household Size	N/A
Annual Client Cap Category	N/A	Cap Percent	N/A
Sliding Fee Charges Category	N/A	Sliding Fee Percent	N/A

Maximum Yearly CAP
Charge to Client

N/A

Client CAP	0.0%	5.0%	7.0%	10.0%	10.0%	None
Sliding Scale	0.0%	1.0%	3.0%	5.0%	10.0%	None
FPL	<100%	101-138%	151-200%	201-300%	301-400%	>400%
Scale Category	1	2	4	5	6	N/A
Family Size						
1	\$0 - \$11,490	\$11,491 - \$15,856	\$15,857 - \$17,235	\$17,236 - \$22,980	\$22,981 - \$34,470	\$34,471 - \$45,960
2	\$0 - \$15,510	\$15,511 - \$21,404	\$21,405 - \$23,265	\$23,266 - \$31,020	\$31,021 - \$46,530	\$46,531 - \$62,040
3	\$0 - \$19,530	\$19,531 - \$26,951	\$26,952 - \$29,295	\$29,296 - \$39,060	\$39,061 - \$58,590	\$58,591 - \$78,120
4	\$0 - \$23,550	\$23,551 - \$32,499	\$32,500 - \$35,325	\$35,326 - \$47,100	\$47,101 - \$70,650	\$70,651 - \$94,200
5	\$0 - \$27,570	\$27,571 - \$38,047	\$38,048 - \$41,355	\$41,356 - \$55,140	\$55,141 - \$82,710	\$82,711 - \$110,280
6	\$0 - \$31,590	\$31,591 - \$43,594	\$43,595 - \$47,385	\$47,386 - \$63,180	\$63,181 - \$94,770	\$94,771 - \$126,360
7	\$0 - \$35,610	\$35,611 - \$49,142	\$49,143 - \$63,415	\$63,416 - \$71,220	\$71,221 - \$106,830	\$106,831 - \$142,440
8	\$0 - \$39,630	\$39,631 - \$54,689	\$54,690 - \$59,445	\$59,446 - \$79,260	\$79,261 - \$118,890	\$118,891 - \$158,520
for each additional person, add	\$4,020	\$5,548	\$8,040	\$12,060	\$16,080	16,080
Income level for 8+						

based on 2013 HHS FPL Guidelines (<https://www.federalregister.gov/articles/2013/01/24/2013-01422/annual-update-of-the-hhs-poverty-guidelines#t-1>)

Client's Signature

MCM Signature

Ryan White Part A & B Program Zero Income Affidavit

I, _____, have requested medical and/or support services through the Ryan White Program; the Health Resource Service Administration (HRSA) requires verification of total household income*.

Income includes but is not limited to:

- a. Gross wages, salaries overtime pay, commission, fees, tips and bonuses
- b. Net income from operation of a business or from rental or real personal property
- c. Interest, dividends and other net income of any kind for real personal property
- d. Periodic payments received from Social Security, annuities, insurance policies, retirement funds, pensions, disability or death benefits and other similar types of period receipts
- e. Lump sum payment(s) for the delay start of a periodic payment such as SSI or SSDI retroactive payments
- f. Payments in lieu of earnings, such as unemployment and disability compensation, worker's compensation and severance pay
- g. Alimony and/or child support payments
- h. Regular pay, special pay and allowances of a head of household or spouse who is a member of the Armed Forces (whether or not living in the dwelling)

I have stated that during this verification process that I have no income at this time. I have not received income since _____. I do not expect to receive income until _____. I have applied for other financial assistance on _____ (date).

*Note*It is unlawful to provide false information to the government when applying for federal public benefit programs per the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. §§ 3809.*

I certify that the above information is true and correct. I also understand that it is my responsibility to report to my MCM all changes to my household composition or income in writing to within ten (10) business days of such change.

Signature: _____

Date: _____

Witness: _____

Date: _____

Adapted from HOWPA/MR



MFAP Fair Housing Policy including accessibility requirements (504)

MFAP adheres to section 504 of the Rehabilitation ACT of 1973, as amended, is the civil rights law that prohibits discrimination based on disability.

The Fair Housing Act declares a national policy of fair housing throughout the United States. MFAP subscribes to and adheres to this law, which states that it is illegal to discriminate in the sale, lease or rental of housing or making housing otherwise unavailable, because of race, color, religion, sex, handicap, familial status or national origin.

The following are conditions that MFAP uses to identify housing discrimination, which we do not permit:

Housing providers who refuse to rent or sell homes to people based on race, color, national origin, religion, sex, familial status, or disability are **violating** federal **law**, and HUD will vigorously pursue enforcement actions against them.

Its primary prohibition makes it unlawful to refuse to sell, rent to, or negotiate with any person because of that person's inclusion in a protected class.

April 17, 2020

The Board of Directors
Mid-Fairfield AIDS Project, Inc.
618 West Avenue
Norwalk, CT 06850

We have completed our audit of the financial statements of Mid-Fairfield AIDS Project, Inc. (the "Organization") for the year ended December 31, 2019 and have issued our report thereon dated April 17, 2020. We are required to communicate certain matters to you in accordance with auditing standards generally accepted in the United States of America that are related to internal control and the audit. The appendices to this letter set forth those communications as follows:

- I. Communication of Internal Control Matters Identified During the Audit
- II. Auditor's Communication of Significant Matters with Those Charged with Governance

We discussed these matters with various personnel in the Organization during the audit. We would also be pleased to meet with you to discuss these matters at your convenience.

These communications are intended solely for the information and use of management, *Mid-Fairfield AIDS Project, Inc., Board of Directors*, others within the Organization, and are not intended to be and should not be used by anyone other than those specified parties.

Appendix I.

Communication of Internal Control Matters Identified During an Audit:

In planning and performing our audit of the financial statements of Mid-Fairfield AIDS Project, Inc. as of and for the year ended December 31, 2019, in accordance with auditing standards generally accepted in the United States of America, we considered Mid-Fairfield AIDS Project, Inc. internal control over financial reporting (internal control) as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Organization's internal control. Accordingly, we do not express an opinion on the effectiveness of the Organization's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A material weakness is a deficiency, or combination of deficiencies in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of internal control was for the limited purpose described in the first paragraph and was not designed to identify all deficiencies in internal control that might be significant deficiencies or material weaknesses and, therefore, there can be no assurance that all such deficiencies have been identified. We did not identify any deficiencies in internal control that we consider to be material weaknesses.

Appendix II.

Communication to Those Charged with Governance:

Our Responsibility under U.S. Generally Accepted Auditing Standards

As stated in our engagement letter dated January 21, 2020, our responsibility, as described by professional standards, is to plan and perform our audit to obtain reasonable, but not absolute, assurance that the financial statements are free of material misstatement and are fairly presented in accordance with U.S. generally accepted accounting principles. Because an audit is designed to provide reasonable, but not absolute, assurance and because we did not perform a detailed examination of all transactions, there is a risk that material misstatements may exist and not be detected by us.

As part of our audit, we considered the internal control structure of the Organization. Such considerations were solely for the purpose of determining our audit procedures and not to provide any assurance concerning such internal control.

Significant Accounting Policies

Management has the responsibility for selection and use of appropriate accounting policies. In accordance with the terms of our engagement letter, we will advise management about the appropriateness of accounting policies and their application. The significant policies used by the Organization are described in Note 1 to the financial statements. No new accounting policies were adopted and the application of existing policies was not changed during the period ended December 31, 2019. We noted no transactions entered into by the Organization during the period that were both significant and unusual, and of which, under professional standards, we are required to inform you, or transactions for which there is a lack of authoritative guidance or consensus.

Audit Adjustments

For purposes of this letter, professional standards define an audit adjustment as a proposed correction of the financial statements that, in our judgment, may not have been detected except through our auditing procedures. An audit adjustment may or may not indicate matters that could have a significant effect on the Organization's financial reporting process (that is, cause future financial statements to be materially misstated). During our audit, all audit adjustments that we proposed were recorded by the Organization.

Disagreements with Management

For purposes of this letter, professional standards define a disagreement with management as a matter, whether or not resolved to our satisfaction, concerning a financial accounting, reporting, or auditing matter that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.

Consultations with Other Independent Accountants

In some cases, management may decide to consult with other accountants about auditing and accounting matters, similar to obtaining a "second opinion" on certain situations. If a consultation involves application of an accounting principle to the Organization's financial statements, our professional standards require the consulting accountant to check with us to determine that the consultant has all the relevant facts. To our knowledge, there were no such consultations with other accountants.

Difficulties Encountered in Performing the Audit

We encountered no significant difficulties in dealing with management in performing and completing our audit.

Management Comments

We are pleased to report that we received excellent cooperation from management and the staff of Mid-Fairfield AIDS Project, Inc. during our audit.

This information is intended solely for the use of the Board of Directors and management of Mid-Fairfield AIDS Project, Inc. and is not intended to be and should not be used by anyone other than these specified parties. This report does not affect our report on the financial statements of the Organization dated April 17, 2020.

Nanavaty, Davenport, Studley & White, LLP

April 17, 2020

Mid-Fairfield AIDS Project, Inc.

Financial Statements

December 31, 2019 and December 31, 2018

MID-FAIRFIELD AIDS PROJECT, INC.
Financial Statements
December 31, 2019

Table of Contents

	<u>Page</u>
Independent Auditor's Report	1 - 2
 Financial Statements:	
Statement of Financial Position at December 31, 2019 and 2018	3
Statement of Activities for the Year Ended December 31, 2019 and 2018	4
Statement of Cash Flows for the Year Ended December 31, 2019 and 2018	5
Statement of Functional Expenses for the Year Ended December 31, 2019 and 2018	6 - 7
Notes to Financial Statements	8 - 14

April __, 2020

INDEPENDENT AUDITOR'S REPORT

To The Board of Directors
Mid-Fairfield AIDS Project, Inc.

We have audited the accompanying financial statements of Mid-Fairfield AIDS Project, Inc. (a nonprofit organization), which comprise the statements of financial positions as of December 31, 2019 and December 31, 2018, and the related statements of activities, functional expenses and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control.

Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects the financial position of Mid-Fairfield AIDS Project, Inc. as of December 31, 2019 and December 31, 2018, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Nanavaty, Davenport, Studley & White, LLP

MID-FAIRFIELD AIDS PROJECT, INC.
Statement of Financial Position
For the Year Ended December 31,

	<u>2019</u>	<u>2018</u>
Assets		
Cash	\$ 422,701	\$ 644,613
Grants receivable	223,258	184,510
Accounts receivable - other	-	9,829
Investments	1,011,274	599,689
Prepaid expenses	15,424	12,124
Land, building, and equipment - net	<u>534,150</u>	<u>548,319</u>
Total Assets	<u>\$2,206,807</u>	<u>\$1,999,084</u>
Liabilities and Net Assets		
<u>Liabilities:</u>		
Accounts payable and accrued expenses	\$ 36,659	\$ 19,095
Deferred revenue	-	1,425
Mortgage payable - current	11,617	11,137
Mortgage payable - long term	<u>323,523</u>	<u>335,185</u>
Total Liabilities	<u>371,799</u>	<u>366,842</u>
<u>Net Assets:</u>		
Unrestricted and undesignated	<u>1,835,008</u>	<u>1,632,242</u>
Total Net Assets	<u>1,835,008</u>	<u>1,632,242</u>
Total Liabilities and Net Assets	<u>\$2,206,807</u>	<u>\$1,999,084</u>

MID-FAIRFIELD AIDS PROJECT, INC.
Statement of Activities
For the Years Ended December 31,

	<u>2019</u>	<u>2018</u>
Revenues		
Special events revenue	\$ 9,855	\$ 45,543
Special events expense	<u>(748)</u>	<u>(17,856)</u>
Net special events	9,107	27,687
Grants	884,519	887,642
Contributions	161,090	49,637
Transitional housing rental income	24,908	37,879
Pharmacy revenue	1,062,194	742,176
Investment returns, net	<u>33,127</u>	<u>11,020</u>
Total Revenue	<u>2,174,945</u>	<u>1,756,041</u>
Expenses		
Case management and AIDS services	1,539,155	1,116,268
Client outreach	56,443	50,898
Housing	<u>352,335</u>	<u>334,437</u>
Total Program Expenses	<u>1,947,933</u>	<u>1,501,603</u>
Management and general	16,216	14,671
Fundraising	<u>8,030</u>	<u>7,223</u>
Total Management and Fund Raising	<u>24,246</u>	<u>21,894</u>
Total Expenses	<u>1,972,179</u>	<u>1,523,497</u>
Increase in net assets	202,766	232,544
Net assets at beginning of year	<u>1,632,242</u>	<u>1,399,698</u>
Net assets at end of year	<u>\$ 1,835,008</u>	<u>\$ 1,632,242</u>

MID-FAIRFIELD AIDS PROJECT, INC.
Statement of Cash Flows
For the Years Ended December 31,

	<u>2019</u>	<u>2018</u>
Cash flows from operating activities:		
Increase in net assets	\$ 202,766	\$ 232,544
Adjustment to reconcile change in net assets to net cash provided by operating activities:		
Depreciation	25,028	17,479
Change in assets and liabilities:		
(Increase) decrease in:		
- Grants receivable	(38,748)	(54,649)
- Prepaid expenses	(3,300)	(2,605)
-Accounts receivable - other	9,829	(9,829)
Increase (decrease) in:		
- Deferred revenue	(1,425)	(4,837)
- Accounts payable and accrued expenses	17,564	13,095
Net cash provided by operating activities	<u>211,714</u>	<u>191,198</u>
Cash flows from financing activities:		
Repayment mortgage payable	(11,182)	(10,018)
Net cash used in financing activities	<u>(11,182)</u>	<u>(10,018)</u>
Cash flows from investing activities:		
Purchase of investments	(411,585)	(599,689)
Acquisition of fixed assets	(10,859)	(23,178)
Net cash used by investing activities	<u>(422,444)</u>	<u>(622,867)</u>
Net increase in cash	<u>(221,912)</u>	<u>(441,687)</u>
Cash and cash equivalents, beginning of year	644,613	1,086,300
Cash and cash equivalent, end of year	<u>\$ 422,701</u>	<u>\$ 644,613</u>
Cash paid for interest	\$ 16,277	\$ 15,450

MID-FAIRFIELD AIDS PROJECT, INC.
Statement of Functional Expenses
For the Year Ended December 31, 2019

	Case Mgmt. & AIDS services	Client Outreach	Housing	Total	Management and General	Fund
Salaries	\$ 411,453	\$ 36,458	\$ 57,291	\$ 505,202	\$ 10,417	\$
Payroll taxes and employee benefits	98,554	8,733	13,723	121,010	2,495	
Advertising	2,431	215	339	2,985	62	
Client assistance	154,333			154,333		
Office supplies, printing, postage	16,117	1,428	2,244	19,789	408	
Telephone	5,769	511	803	7,083	146	
Occupancy and utilities	18,810	1,667	2,619	23,096	476	
Repairs and maintenance	6,011	533	837	7,381	152	
Insurance	6,235	552	868	7,655	158	
Client travel	4,560	404	635	5,599	115	
Staff travel, conferences, and seminars	1,175	235	-	1,410	157	
Rent subsidy	-	-	247,731	247,731	-	
Professional fees	38,279	3,392	5,330	47,001	969	
Interest expense	-	-	16,277	16,277	-	
Property taxes	-	-	-	-	-	
Miscellaneous expenses	6,359	563	885	7,807	160	
340B medications	749,297	-	-	749,297	-	
Depreciation	19,772	1,752	2,753	24,277	501	
Total	\$ 1,539,155	\$ 56,443	\$ 352,335	\$ 1,947,933	\$ 16,216	\$

The accompanying notes are an integral part of these financial statements.

Page 6

MID-FAIRFIELD AIDS PROJECT, INC.
Statement of Functional Expenses
For the Year Ended December 31, 2018

	Case Mgmt. & AIDS services	Client Outreach	Housing	Total	Management and General	Fundraising
Salaries	\$ 373,217	\$ 33,070	\$ 51,967	\$ 458,254	\$ 9,449	\$ 4,724
Payroll taxes and employee benefits	75,324	6,674	10,488	92,486	1,907	956
Advertising	442	39	61	542	11	6
Client assistance	86,795	-	-	86,795	-	-
Office supplies, printing, postage	16,906	1,498	2,354	20,758	428	214
Telephone	4,096	363	570	5,029	104	52
Occupancy and utilities	21,286	1,886	2,964	26,136	539	269
Repairs and maintenance	6,253	554	871	7,678	158	79
Insurance	6,097	540	849	7,486	154	77
Client travel	5,325	472	741	6,538	135	67
Staff travel, conferences, and seminars	1,699	340	-	2,039	227	-
Rent subsidy	-	-	239,518	239,518	-	-
Professional fees	43,079	3,819	6,021	52,919	1,091	546
Interest expense	-	-	15,450	15,450	-	-
Property taxes	-	-	-	-	-	-
Miscellaneous expenses	4,731	420	660	5,811	118	58
340B medications	457,210	-	-	457,210	-	-
Depreciation	13,808	1,223	1,923	16,954	350	175
Total	\$ 1,116,268	\$ 50,898	\$ 334,437	\$ 1,501,603	\$ 14,671	\$ 7,223

The accompanying notes are an integral part of these financial statements.

Page 7

MID-FAIRFIELD AIDS PROJECT, INC.
Notes to Financial Statements
December 31, 2019

Note 1 - Operations

Mid-Fairfield AIDS Project, Inc. (the "Organization" or "MFAP") is a not-for-profit corporation organized for the support and advocacy of people infected with HIV/AIDS, as well as their families and friends. The goal of the Organization is to act as a direct and indirect service provider and advocate for all those affected by HIV/AIDS and other co morbidities; to create lasting solutions to prevent the spread of HIV/AIDS, recurring homelessness and addiction through education, prevention programs, collaborations and housing initiatives. MFAP has programs that ensure that anyone with HIV/AIDS will receive proper medical care and medication vital for survival. It also provides information to help people make behavioral lifestyle changes and place into care anyone in the Norwalk/Westport community who needs help with alcohol and substance abuse problems.

The Organization is supported through Federal and State of Connecticut financial assistance and grants, and by donor contributions, special events, and local agency contributions.

Note 2 - Summary of Significant Accounting Policies

Basis of Accounting

The accompanying financial statements have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America.

Basis of Presentation

The financial statements of the Organization comply with the Financial Statements of Not-for-Profit Organizations topic of the FASB Codification. Under this topic, the Organization reports information regarding its financial position and activities according to the following net assets classifications:

Net assets without donor restrictions – Net assets that are not subject to donor-imposed restrictions and may be expended for any purpose in performing the primary objectives of the organization. These net assets may be used at the discretion of the Organization's management and Board of Directors.

Net assets with donor restrictions – Net assets subject to stipulations imposed by donors and grantors. Some donor restrictions are temporary in nature; those restrictions will be met by actions of the Organization or by the passage of time. Other donor restrictions are perpetual in nature, where-by the donor has stipulated the funds be maintained in perpetuity.

MID-FAIRFIELD AIDS PROJECT, INC.
Notes to Financial Statements
December 31, 2019

Note 2 - Summary of Significant Accounting Policies(continued)

Donor restricted contributions are reported as increases in net assets with donor restrictions. When a restriction expires, net assets are reclassified from net assets with donor restrictions to net assets without donor restrictions in the statements of activities. Contributions received whose restrictions are met in the same period are recognized as net assets without donor restrictions.

New Accounting Pronouncement

On August 18, 2016, the FASB issued ASU 2016-14, Not-for-Profit Entities (Topic 958) – Presentation of Financial Statements of Not-for-Profit Entities. The update addresses the complexity and understandability of net asset classification, deficiencies in information about liquidity and availability of resources, and the lack of consistency in the type of information provided about expenses and investment return. The Organization has adjusted the presentation of these financial statements accordingly. The ASU has been applied retrospectively to all periods presented.

Revenue and Revenue Recognition

The Organization recognizes contributions when cash, securities or other assets; an unconditional promise to give; or a notification of a beneficial interest is received. Conditional promises to give -that is, those with a measurable performance or other barrier and a right of return – are not recognized until the conditions on which they depend are met.

A portion of the Organization's revenue is derived from cost reimbursement federal and state contracts and grants, which are conditioned upon certain performance requirements and /or the incurrence of allowable qualifying expenses. Amounts received are recognized as revenue when the Organization has incurred expenditures in compliance with specific contract or grant provisions. Amounts received prior to incurring qualifying expenditures are reported as refundable advances in the statement of financial position.

The Organization has adopted Accounting Standards Update (ASU) No. 2018-08 *Not -for-Profit Entities: Clarifying the Scope and the Accounting Guidance for Contributions received and Contributions Made (Topic 605)* as management believes the standard improves the usefulness and understandability of the Organization's financial reporting.

Analysis of various provisions of this standard resulted in no significant changes in the way the Organization recognizes revenue, therefore no changes to the previously issued audited financial statements were required on a retrospective basis. The presentation and disclosures of revenue have been enhanced in accordance with the standard.

MID-FAIRFIELD AIDS PROJECT, INC.
Notes to Financial Statements
December 31, 2019

Note 2 - Summary of Significant Accounting Policies(continued)

Contributions

In accordance with financial accounting standards, the Organization records contributions received as without donor restrictions or with donor restrictions depending on the existence and or nature of any donor restrictions. Restricted net assets are reclassified to net assets without donor restrictions upon the satisfaction of the time or purpose restrictions.

Pharmacy Revenue

MFAP participates in Section 340B of the Public Health Services Act (PHS Act), Limitation on Prices of Drugs Purchased by Covered Entities. Participation in this program allows MFAP to purchase pharmaceuticals at discounted rates for clients eligible prescriptions at discounted rates. MFAP has contracted with a commercial pharmacy for the administration of this program and records revenue based on the price of the pharmaceuticals dispensed.

Non-cash Contributions

The Organization receives a substantial amount of volunteer services in carrying out its programs and activities. Volunteers perform various administrative and fundraising functions. However, no amounts have been reflected in the financial statements for those services since they do not meet the criteria for recognition. Contributed services are not recognized unless the donated services create or enhance non-financial assets or require specialized skills that would typically be purchased if not donated. In-kind contributions are measured at the fair value of the asset transferred to the Organization or the liability cancelled or settled.

Grants and Accounts Receivable

The Organization considers all grants and accounts receivable to be fully collectible. Accordingly, no allowance for doubtful accounts is required.

MID-FAIRFIELD AIDS PROJECT, INC.
Notes to Financial Statements
December 31, 2019

Note 2 - Summary of Significant Accounting Policies(continued)

Property and Equipment

Property and equipment are carried at cost, if purchased, or at estimated fair value on the date of gift, if donated, and are depreciated over their respective estimated useful lives. Assets with a cost of \$500 or more are capitalized as property and equipment. The Organization reports gifts of land, buildings, and equipment as unrestricted support unless explicit donor stipulations specify how the donated assets must be used. Gifts of long-lived assets with explicit restrictions that specify how the assets are to be used are reported as restricted support. Absent explicit donor stipulations about how long those donated assets must be maintained, the Organization reports expirations of donor restrictions when the donated or acquired long-lived assets are placed in service. Repair and maintenance of existing facilities are charged as expenses as incurred. Depreciation is determined by use of the straight-line method over the following useful lives:

Furniture and fixtures	5 to 7 years
Technology equipment and software	5 years
Buildings and improvements	39 years

Income Taxes

The Organization is exempt from income taxes under Section 501(c)(3) of the Internal Revenue Code. A ruling from the Internal Revenue Service has determined that the Organization will be treated as a publicly supported organization, and not a private foundation. This qualifies the Organization for the 50% charitable contribution deduction for individual donors. Consequently, the accompanying financial statements do not include any provision for income taxes.

The Organization recognizes the effect of tax positions only when they are more than likely than not of being sustained. Management has determined that the Organization had no uncertain tax positions that qualify for either recognition or disclosure in the financial statements. In the normal course of business the Organization's tax filings are subject to examination by federal and state authorities. The tax returns for the years ended December 31, 2016 and forward are subject to examination by taxing authorities.

MID-FAIRFIELD AIDS PROJECT, INC.
Notes to Financial Statements
December 31, 2019

Note 2 - Summary of Significant Accounting Policies(continued)

Use of Estimates

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect certain reported amounts and disclosures. The Organization regularly assesses these estimates and, while actual results may differ from these estimates, management believes that material changes will not occur in the near term.

Functional Expenses

The Organization allocates expenses on a functional basis among its various programs. Expenses that can be identified with a specific program are allocated directly according to their natural expense classification. Common expenses that benefit all functional areas of the Organization (professional fees, occupancy, depreciation) are allocated to the various programs based on a percentage of payroll costs charged to the specific program in relation to total payroll costs of the Organization as a whole.

Cash Equivalents

For financial statement purposes, MFAP considers funds in demand deposits, certificates of deposit, money market funds and all highly liquid debt instruments purchased with a maturity of three months or less to be cash equivalents.

Reclassifications

Certain accounts in the prior-year financial statements have been reclassified for comparative purposes to conform with the presentation in the current-year financial statements.

Subsequent Events

In preparing these financial statements, management has evaluated subsequent events through _____, 2020, which represents the date the financial statements were available to be issued.

MID-FAIRFIELD AIDS PROJECT, INC.
Notes to Financial Statements
December 31, 2019

Note 2 - Summary of Significant Accounting Policies(continued)

Availability and Liquidity

The following represents the Organizations financial assets at December 31, 2019 and 2018:

	<u>2019</u>	<u>2020</u>
Financial Assets at year end:		
Cash and cash equivalents	\$ 422,701	\$ 644,613
Investments	\$ 1,011,274	\$ 599,689
Grants and accounts receivable	223,258	200,375
Total financial assets available to meet general expenditures over the next twelve months	<u>\$ 1,657,233</u>	<u>\$ 1,444,677</u>

The organizations goal is generally to maintain financial assets by receiving support from various sources including individual, corporate, foundation and Board contributions, as well as income from investment sources.

Note 3 – Fair Value of Financial Instruments

The Financial Accounting Standards Board ("FASB") Topic 820, under the FASB Accounting Standards Codification ("ASC") defines fair value, establishes a framework for measuring fair value, and expands disclosures about fair value measurements. This standard provides a consistent definition of fair value, which focuses on an exit price between market participants in an orderly transaction. The standard also prioritizes the use of observable inputs and minimizes the use of unobservable inputs by requiring that observable inputs be used when available.

Observable inputs are inputs that market participants would use in pricing the respective asset or liability based on market data obtained from independent sources. Unobservable inputs reflect assumptions that market participants would use in pricing the asset or liability based on the best information available in the circumstances. The hierarchy is categorized into three levels based on the transparency of inputs as follows:

Level 1 - Quoted prices are available in active markets for identical assets or liabilities as of the report date. A quoted price for an identical asset or liability in an active market provides the most reliable fair value measurement because it is directly observable to the market.

MID-FAIRFIELD AIDS PROJECT, INC.
Notes to Financial Statements
December 31, 2019

Level 2 - Pricing inputs are other than quoted prices in active markets, which are either directly or indirectly observable as of the report date. The nature of these securities includes investments for which quoted prices are available but traded less frequently and investments that are fair valued using other securities, the parameters of which can be directly observed. Also included in Level 2 are investments measured using a net asset value ("NAV") per share, or its equivalent, that may be redeemed at NAV at the date of the statement of financial position or in the near term, which MFAP has determined to be within 90 days.

Level 3 - Investments that have little to no pricing observability as of the report date. These investments are measured using management's best estimate of fair value, where the inputs into the determination of fair value are not observable and require significant management judgment or estimation.

Inputs are used in applying the various valuation techniques and broadly refer to the assumptions that market participants use to make valuation decisions, including assumptions about risk. Inputs may include price information, volatility statistics, specific and broad credit data, liquidity statistics, and other factors. A financial instrument's level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. However, the determination of what constitutes "observable" requires significant judgment by MFAP. MFAP considers observable data to be that market data that is readily available, regularly distributed or updated, reliable and verifiable, not proprietary, and provided by independent sources that are actively involved in the relevant market.

The categorization of a financial instrument within the hierarchy is based upon the pricing transparency of the instrument and does not necessarily correspond to MFAPs' perceived risk of that instrument.

MFAPs' policy is to recognize transfers in and transfers out of levels at the end of the reporting period.

The following is a description of the valuation methodologies used for assets measured at fair value:

Common Stocks and Mutual Funds – These items are valued at the closing price reported in the active market in which the individual securities are traded.

There have been no changes in the methodologies used at December 31, 2019 and 2018.

MID-FAIRFIELD AIDS PROJECT, INC.
Notes to Financial Statements
December 31, 2019

Investments

Investments in marketable securities with readily determinable fair values are reported at their fair values in the statement of financial position. Realized gains or losses and unrealized appreciation or depreciation are reflected in the accompanying statement of activities. The value of these investments is subject to fluctuations due to general market conditions and interest rates.

Assets Measured at Fair-Value on a Recurring Basis – The following is a summary of the source of fair-value measurements for assets that are measured at fair-value on a recurring basis as of December 31:

Investment Description	2019			Total
	Level 1	Level 2	Level 3	
Cash and money market funds	\$ 402,168	\$ -	\$ -	\$ 402,168
Certificates of deposit	609,106	-	-	609,106
Total investments at fair value	<u>\$1,011,274</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$1,011,274</u>

Investment Description	2018			Total
	Level 1	Level 2	Level 3	
Cash and money market funds	\$ 2,665	\$ -	\$ -	\$ 2,665
Certificates of Deposit	597,024	-	-	597,024
Total investments at fair value	<u>\$ 599,689</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 599,689</u>

Investment return, net is comprised of the following at December 31:

	December 31, 2019	December 31, 2018
Dividends and interest	\$ 22,046	\$ 13,003
Realized and unrealized gains (losses)	11,081	(1,983)
	<u>\$ 33,127</u>	<u>\$ 11,020</u>

MID-FAIRFIELD AIDS PROJECT, INC.
Notes to Financial Statements
December 31, 2019

Note 4 – Property and Equipment

Property and equipment consisted of the following at December 31,

	<u>2019</u>	<u>2018</u>
Buildings and improvements	\$ 639,516	\$ 632,266
Furniture and fixtures	21,172	21,172
Computer equipment	6,061	2,452
	<u>666,749</u>	<u>655,890</u>
Less accumulated depreciation	<u>(132,599)</u>	<u>(107,571)</u>
	<u>\$ 534,150</u>	<u>\$ 548,319</u>

Note 5 – Leasing Arrangements

The Organization has a five-year operating lease for office space, from April 2019 to March 2021, at a monthly rent of \$857, plus utilities, with annual escalations. Rent expense for the year ended December 31, 2019 was \$15,879. (\$17,797 at December 31, 2018.) Future minimum lease payments are as follows:

2020	\$ 14,017
2021	<u>3,504</u>
	\$ 17,521

The Organization entered into a lease agreement in June 2014 for a Solar Photovoltaic System. The lease is \$49,500 payable over 120 months. The monthly lease payments are \$278 per month. The organization has the option to purchase the equipment at the end of the lease term at 20% of the fair market value of the equipment. Future lease payments are as follows for the next five years:

2020	\$ 3,366
2021	\$ 3,366
2022	\$ 3,366
2023	\$ 3,366
2024	\$ 3,366

MID-FAIRFIELD AIDS PROJECT, INC.
Notes to Financial Statements
December 31, 2019

Note 6 – Mortgage Payable

Long term debt consists of the following:

	<u>Balance</u>
• Mortgage note payable to the Ridgefield Bank requiring monthly payments of principal and interest of \$1,679.04 at a fixed rate of 6.0% and maturing on October 1, 2038. This note is secured by a mortgage on the property at 9 Moore Place in Norwalk, CT.	\$227,025
• Building improvement loan payable to the Connecticut Housing Investment Fund requiring monthly principal and interest payments of \$609.22 at a rate of 3.0% and maturing on August 1, 2039. This note is secured by the property at 9 Moore Place, Norwalk, CT.	\$108,115

Total \$335,140

Principal payments over the next five years and thereafter are as follows:

2020	\$ 11,617
2021	12,117
2022	12,642
2023	13,189
2024	13,761
Thereafter	<u>271,814</u>
Total	<u>\$ 335,140</u>

Note 7 – Benefit Plans

MFAP maintains a 401(k) and profit-sharing plan covering substantially all employees. Participants of the plan may elect to contribute up to 5% of their annual salary and up to 100% of any bonuses paid during the year, subject to maximum contributions of \$16,500. The Organization's contributions to the plan are provided at the discretion of the board of directors; however, the total contributions cannot exceed 5% of compensation for an eligible employee in any one tax year. During the year ended December 31, 2019, MFAP contributed \$11,101 to the plan. (\$9,207 at December 31, 2018.)

MID-FAIRFIELD AIDS PROJECT, INC.
Notes to Financial Statements
December 31, 2019

Note 8 – Concentrations

The Organization maintains its cash and cash equivalents in bank deposit accounts in federal government obligation money market funds at a high-credit, quality financial institution. The balances in cash accounts may at times exceed federally insured limits.

Investments in marketable securities with readily determinable fair values are reported at their fair values in the statement of financial position. Realized gains or losses and unrealized appreciation or depreciation are reflected in the accompanying statement of activities. The value of these investments is subject to fluctuations due to general market conditions and interest rates.

Substantially all government support is provided through Federal and State of Connecticut grants. A significant reduction in the level of support received through Federal and State contracts, if it were to occur, would have a major effect on the Organization's ability to continue as a going concern.

Note 9 – Subsequent Event

The COVID-19 outbreak in the United States has caused business interruption through mandated and voluntary closings of schools and daycare centers. While the interruption is currently expected to be temporary, there is considerable uncertainty around the duration of the closings. The Agency expects this matter to negatively impact financial results. However, the related financial impact and duration cannot be reasonably estimated at this time.

Policy

Accounting Policies and Procedures

Billing & Collection

- A majority of MFAP's funding is received via government grants. Income to be received for each grant is established at the start of the grant year based on proposals written and submitted by the executive director to the applicable agency.
- All government grants are expenditure driven grant revenue. MFAP incurs the expense and then remits a reimbursement request on a periodic basis (monthly, quarterly, etc based on the grant).
- There is typically a one to two month lag on receiving grant revenue. Grant revenue is recognized at the time received. Any accrual related adjustments are made at year-end in order to prepare audited financial statements in accordance with GAAP.
- Non grant donations are recorded when received as unrestricted support unless donor stipulates limited use.
- Income related to fundraising events is collected on the day of the event or in advance (ie. advertising revenue).
- Outside of year-end accrual related adjustments, no amounts are recorded to accounts receivable. All grant income is considered to be fully collectible.
- Any delays in receiving grant income on a timely basis are followed up by the executive director or accountant.
- Income checks are received by the executive director, endorsed "for deposit only", and deposited in bank on a timely basis. Deposits are recorded in a log and provided to accountant for proper income coding into Quickbooks.
- All EFT and credit card receipts are properly recorded in Quickbooks on a weekly basis and then reconciled at month end.

Purchasing/Expense Approvals

- All purchase requests and any expenses incurred must be approved by the executive director in advance.
- Grant Direct Expenses
 - Case managers are required to submit client assistance funds based on money available and client eligibility. See separate policy regarding client grant assistance
 - Client assistance funds are submitted with back-up documentation for executive director approval.
 - Approved client assistance amounts are included on a check request form with the expense coded by the executive director.
 - This approved check request form is then given to the accountant for payment processing.
- Any expenses relating to MFAP owned housing (Moore Place) initiated by the house resident manager are submitted to executive director for approval.
- Fundraising related marketing, printing and entertainment related costs are approved by the executive director and recorded in separate “special event” income statement accounts.
- Employee Salaries
 - All employees submit to the executive director bi-weekly time sheets showing hours worked and program/grant allocation.
 - Time sheets are approved by the executive director and subsequently submitted to online payroll processing company for payment.
- Other administrative and grant indirect invoices and bills are received by the executive director. These are reviewed and approved, expense coded, and given to the accountant to pay on a timely basis within the payment terms set by the vendor.
- Any asset purchases with a cost of \$500 or more are capitalized as property and equipment.

Payment Processing

- Due to the relatively low number of vendors MFAP, upon receipt, does not record bills as accounts payable. Invoices and check requests are entered into Quickbooks as direct charges to the appropriate expense account. For GAAP reporting purposes, however, journal entries are made to properly record any accounts payable and accruals as of year-end.

- Approved invoices and check requests are organized and processed for payment based on due dates in Quickbooks by the accountant.
- The resulting printed checks are attached to the backup documentation and given to the executive director for his signature. Check are mailed by support MFAP staff with copies and check stubs filed according to vendor.
- Payroll is received and reviewed by the executive director on a bi-weekly basis who then distributes the pay stubs to each employee. The employee payroll financial data is provided to the accountant who enters the data into an Excel spreadsheet which allocates each employee's salary and fringe by grant/program (Quickbooks class). Resultant journal entries are entered into Quickbooks by the accountant.

Financial Reporting

- Disbursements (checks and EFT payments) and receipts (checks, EFTs, credit cards) are cleared via the bank reconciliation process performed by the accountant on a monthly basis. Executive director reviews and approves bank reconciliation with a copy forwarded to the MFAP treasurer who also periodically reviews bank activity via online access.
- Monthly financial statements are prepared with any significant actual vs budget variations investigated. Financial statement reports (income statement & balance sheet) are submitted to MFAP Board Members for review and discussion during monthly meeting.

Cost Allocations by Program

- On an annual basis (or more frequent if conditions change) executive director calculates, by employee, an estimate of weekly hours spent by program. This percent calculation is used as the basis to spread salary and fringe to the related grants/programs.
- In Excel, a payroll allocation worksheet captures the bi-weekly payroll and monthly fringe benefit costs and generates journal entries to be entered into Quickbooks.
- Grant direct expenses initiated by the case managers and are expense coded by the executive director. This coding includes both account and class so as to ensure proper grant charge.

- Other general and administrative expenses (ie – Insurance, Professional fees, occupancy etc) are allocated based on a salary % allocation by program. However, these G&A allocations are limited to what is allowable by the specific grants. Journal entries are entered, as needed, into Quickbooks to allocate any of these allowable grant expenses to the applicable grant class.
- Quickbooks transaction reports run by "class" provide actual expense information needed to complete related grant expense reimbursement forms/requests.
- For certain grant reporting spending detail must be provided by service category and indirect expenses. For those grants we have created sub-classes within Quickbooks which enables MFAP to capture expenses by grant sub-categories as needed.
- In Excel, spreadsheets showing annual grant budget vs actual expenditures are updated from Quickbooks. This shows the remaining budget available by service or admin category which is then communicated to case managers.

Internal Control Procedures

- Quickbooks accounting software is utilized by MFAP to generate all financial reporting. In addition, Excel is used for supplemental reporting and analysis based on data generated from Quickbooks.
 - Both the executive director and the accountant have password protected access to Quickbooks through their computers.
 - Both users have access to full functionality of the software.
 - Data backups saved to the network drive are automatically triggered after every four times software is opened.
 - Backups are maintained for one year.
- Expenditures
 - Grant related benefits paid to clients are approved by case managers and subsequently by the executive director.
 - All other expenditures are approved directly by executive director
 - Checks run by accountant are reviewed and signed by executive director. MFAP Treasurer further reviews bank activity and receives copy of monthly bank reconciliation for approval.
 - Grant draw down/reimbursement request forms are reconciled back to Quickbooks data/reports to ensure accuracy.

- Income
 - Grant money is received either via check or EFT. All monies received are entered into Quickbooks by accountant based on direction from executive director.
 - Other contributions and special event income are received via check or credit card and recorded by accountant on a timely basis
 - Executive director reviews bank statement and financial statements when completed. Treasurer reviews the same documents periodically and also activity via online banking access.

- Bank Accounts/Other
 - All bank accounts are reconciled by accountant on a timely basis after month end. Reconciliations are reviewed by executive director and Treasurer (main checking account).
 - Authorized signers on all accounts are executive director and the treasurer.
 - All financial documentation and records are maintained in office of executive director who locks his cabinets and office whenever he leaves the building.
 - IT (Information Technology) is maintained by a third party vendor on a flat monthly unlimited support basis. The IT company maintains system backups, periodically does system maintenance, and addresses any issues or requests initiated by MFAP executive director. Proper login, network, and email security are maintained on an ongoing basis.

Independent Auditor

- Every 5-7 years the relationship with the independent auditor is evaluated to ensure the services being provided are commensurate with the related audit fee.
- The current auditor has been in place since 2011.
- Each year auditor presents information and findings to executive director and subsequently to the Board via report or in person. The report is discussed by the Board with any required action plans and progress reports recorded in the meeting minutes.

Travel Reimbursement

- Employees are reimbursed for business travel based on IRS allowable standard mileage rates for the applicable tax year.
- Any travel reimbursements are entered into a request form and submitted to the executive director for approval. The associated check request will be processed and paid by the accountant.
- Most travel reimbursement is for automobile use within Fairfield County Connecticut.
- Any out of state business travel requiring food and lodging is reimbursed based on actual receipts/invoices and are approved by the executive director or the Treasurer (for executive director travel)

Gift Card & Travel Token Policy

- MFAP provides support to their program clients through pre-paid travel and food assistance. Certain items are purchased in advance and securely maintained by the executive director.
- Transportation bus tokens are purchased in quantity and provided to case managers as needed. The tokens are locked in the desks prior to distribution to clients.
- Gift cards to food markets are also purchased in quantity and are securely stored and distributed as needed.
- All pre-purchased gift cards and tokens are fully distributed to clients within the same grant year as purchased.

NORWALK SENIOR CENTER

**NORWALK REDEVELOPMENT AGENCY obo CITY OF NORWALK
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG-CV) PROGRAM
APPLICATION FORM FOR CDBG-CV FUNDS**

Applicant Agency/Organization Name: Norwalk Senior Center, Inc.

President/CEO/Executive Director's Contact Information:

Beatrice Lane, Executive Director
Norwalk Senior Center, 11 Allen Road, Norwalk CT 06851
blane@norwalksc.org
203-847-3115 Ext.103

Type of Organization: Non-Profit 501 (c) (3) Private Organization

Applicant Mailing Address: 11 Allen Road, Norwalk CT 06851

Project Location Address: 11 Allen Road, Norwalk CT 06851

Age of Building (Public Facility/Housing Applications Only):

Contact Person (designated contact person for the project/proposal):

Name: Beatrice Lane
Title: Executive Director
Phone #: 203-847-3115 Ext. 103
Email Address: blane@norwalksc.org

Proposed Project/Activity Name: Meals on Wheels Program

Brief Description of the Proposed Project/Activity:

We deliver fresh & frozen meals directly to the homes of people of all ages living in Norwalk CT who are unable to shop for or prepare meals themselves due to: disability, frailty, recovery from an illness/injury or quarantine.

I certify that all information provided is correct to the best of my knowledge.

Beatrice Lane, Executive Director, *Beatrice Lane*

Name, Title & Signature

Date: May 19, 2020

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

PART 1. GENERAL INFORMATION**ORGANIZATION**

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

The Norwalk Senior Center (NSC) is an independent non-profit organization which promotes successful aging for persons aged 55 and older residing in Norwalk CT. NSC enriches and improves the quality of life for seniors by offering a wide range of activities, programs and services to meet the diverse, individual needs and interests of seniors as they age. The goal is to help seniors maintain optimal mental and physical health, financial security and a safe living environment. Current active membership is over 1,500 seniors but the Center serves all 20,000+ seniors living in Norwalk whether they are members or not. The strength of the Center lies with its people....1/caring staff members watch for & respond to small changes which indicate a need for more guidance, services or support for the elder and their family members and 2/the army of over 250 volunteers who provide their time delivering meals, answering phones at the front desk, teaching technical device classes and so much more. NSC operates two locations, one at 11 Allen Road and one in the heart of SONO at 92 Cedar Street. At Norwalk Senior Center South, 81% of the seniors we serve are poor and 84% are minority.

Our organization has extensive experience in carrying out federally funded projects. Examples of facility projects include: flooring, HVAC, kitchen & restroom renovations at 11 Allen Road (a city-owned building and former elementary school) secured through Community Development Block Grant funding made possible by HUD over the past 20 years. Also, two consecutive years of a service project, Elder Abuse Prevention Training which was specially designed for caregivers in 2014 & 2015.

2. Identify the "core" programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated. Example: A homeless shelter's "core" program might be its basic overnight shelter service, while it's counseling or job placement services are "support" programs.

Outreach and Transportation are the "core" programs of our organization. Meals on Wheels is a support program within our Outreach services.

3. Check "YES" or "NO" to the following questions.

- | | | | |
|----|--|---|-----------------------------|
| A. | Does your organization have a Board of Directors? | ☒ YES | ☐ NO |
| B. | Is your organization exempt under IRS Code 501(c) (3)? (If yes, provide documentation*) | ☒ YES | ☐ NO |
| C. | Are your organization's services available to Norwalk residents? | ☒ YES | ☐ NO |
| D. | Does your organization have an EEO Policy? (Include a copy*) | ☒ YES | ☐ NO |
| E. | If a housing provider, does your organization have a written Fair Housing Policy including accessibility (504) requirements? (Include a copy*) | ☐ YES | ☐ NO |

- F. Does your organization have a written Procurement Policy?
(Include a copy*) ☒ YES ☐ NO
- G. Is your organization considered a Faith-Based Organization? ☐ YES ☒ NO
- H. Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal*
- I. Include a copy of your written Policy on Record Keeping*
- J. Include a copy of your most current audited Financial Statements

****Please note that requested documentation (from above) must be submitted to the Norwalk Redevelopment Office only if you are a new applicant or if there have been any changes to a previously filed documentation.***

PART 2. PROPOSED PROJECT/ACTIVITY**GENERAL DESCRIPTION**

1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of preventing, preparing for and/or responding to the COVID-19 outbreak. Omission of requested information may be a cause to reject application.

Our Meals on Wheels Program typically serves sixty to 80 participants at any given time with nutritious food brought right to the the participants' home in Norwalk CT. We are able to accommodate persons who have strict dietary restrictions (some examples include: low salt, diabetic, renal, soft & chopped). A lunch & dinner meal pack costs \$6.47 each. There are no age or membership requirements.

Often, meal balances go unpaid if the participant relocates or for any number of other reasons.

We have recently started to request income information on our intake materials. We can share that oftentimes participant credit cards are declined, checks bounce due to insufficient funds, or family members forget to pay as promised due to financial hardships they experience themselves.

Since 1994, most participants of NSC's Meals on Wheels Program are elderly (over 85+ years), poor, live alone and are members of minority groups. They are also more likely to have health and functional limitations which place them at nutritional risk. Most are home-bound with little access to their community. Our staff and volunteers provide not only meal delivery to cover 7 days of food per week, but also a friendly visit and safety check too. If an elder does not open the door for a scheduled delivery, we will call the elder's emergency contact to follow up.

Despite the COVID-19 outbreak in March of 2020, our Meals on Wheels Program continued & continues to carry on the essential service of delivering food to the homebound in Norwalk CT.

When our regular team of (mostly senior) volunteer drivers needed to step back from their usual deliveries due to the fact they are classified by the CDC as a particularly vulnerable population related to the virus, we collaborated with Norwalk's Emergency Response Team Volunteers led by Donna Schlegel. Teachers and college students also stepped up and wanted to help. We provided the new volunteers with: personal protective equipment, hand sanitizer, supervision, training, and coordinated route sheets during the ongoing pandemic. Volunteers are careful to ring the door-bell or knock on Meals on Wheels' participants front doors, then practice social distancing by standing back at least 6 feet when greeting each other. Volunteers perform a safety & wellness check by asking if the participant needs anything besides food. The most frequent request from participants has been toilet paper which is promptly provided.

The activity directly meets the objective of responding to the COVID-19 outbreak because staff and volunteers have & continue to deliver meals directly to homebound persons ,regardless of age, who could not leave the house due to: disability, recovery from illness (including COVID-19)/injury, frailty or quarantine.

2. Check the box that best describes the proposed project/activity.

- ☒ Public service activity
☐ Rehabilitation activity
☐ New construction activity
☐ Real property acquisition activity (i.e. land/building).
☐ Other (explain) _____

3. Check the box that applies to the proposed project/activity.

- ☐ New "core" program
- ☐ Expansion of existing "core" program
- ☐ Support of existing "core" program (with no expansion)
- ☐ New "support" program
- ☐ Expansion of existing "support" program
- ☒ Existing "support" program (with no expansion)
- ☐ Other (explain) _____

4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose?

☐ YES X NO

5. How many persons or families (unduplicated #s) will the proposed project/activity serve? Indicate one as follows:

80 Week
80 Month
100 Year

6. How many persons or families (unduplicated #s) in Question 7, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)? # 75 Week
75 Month
80 Year
7. How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG-CV income guidelines on Page 2 of this application)? # 75 Week
75 Month
80 Year

*** Failure to answer Questions 6 – 9 may disqualify application.**

8. What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? ☒ Name
☒ Address
☒ Income
☒ Other
Check more than one box, if necessary. Note that the organization must be able to prove the income eligibility of beneficiaries.
9. Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation with the application evidencing the below qualification. Examples: Client In-take forms (no names), proposed rents, etc.

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

- ☐ **Area Benefit.** Activity meets needs of LMI persons residing in an area where at least 51% of the residents are LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood.

Documentation Attached: ☐

- ☒ **Limited Client Benefit.** Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the subcategories, check the applicable number.

Documentation Attached: ☒

- ✓ (1) Project/activity maintains client records on income and family size records documenting that such persons qualify as LMI.
- (2) Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons.
- (3) Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons.
- (4) Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.)

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ☒ yes ☐ no

If yes, please explain:

We applied to Meals on Wheels America for support of our Meals on Wheels Program.

We applied for the Paycheck Protection Program and were approved for a loan of \$124,200.

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ☒ yes ☐ no.

If yes, please explain below and include any letter(s) of commitment for ongoing funds or approved funds from other source(s) to assist with the proposed project that you are requesting.

If yes, what funding source?	Amount Requested	Amount Approved	Amount Pending	Amount Denied
Meals on Wheels America	\$2,000	\$2,000		

2. What is the total cost of the proposed project? Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor and/or architect/engineer estimate.

The total cost of the Meals on Wheels Program is \$110,400 per year.

Please find a copy of the budget attached for your review.

3. Describe your organization's fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

Our bookkeeper maintains accurate documentation of all funds received and expended. Our Board Treasurer reviews the bookkeeping on a monthly basis and reports to the Board of Directors. Our finance committee reviews all financial reports on a quarterly basis. An independent annual audit is performed by a highly experienced CPA; recommendations made are reviewed by the Board and carried out by upper management in a timely fashion.

Please find the latest financial reports attached for your review.

4. Attach an explanation on how the proposed project will affect your administrative budget (example: additional personnel, maintenance, office space, etc.) Include an explanation on long-term plans for funding/sustaining the proposed project.

Support of our proposed project, Meals on Wheels, would be applied to the additional personnel time necessary to coordinate, equip, train & supervise the new army of volunteers who stepped up to deliver the meals to participants during the outbreak of COVID-19 and through to the conclusion. This personnel time included nights, evenings & weekends (\$20,000). Support would also reimburse costs to respond to folks who had an inability to pay for the meals (\$3,000).

Long-term plans to fund/sustain the Meals on Wheels Program include conducting an annual spring gala to raise funds for the essential service.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish).

The Meals on Wheels Program is an on-going program since 1994.

PART 4. ORGANIZATIONAL EFFICIENCY**1. How many staff members will be directly associated with the proposed project?**

	Professional	Support	Volunteer
Full-Time Staff	1	3	
Part-Time Staff		1	40

Include a list of those involved in completing the project. The list must include: each person's name and a brief summary of job duties in relation to the proposed project.

Eva Beau, Outreach Director. Coordinates Meals on Wheels Program in the event Jane Wenk is absent.

Amy Nassef, Administrative Assistant. Substitutes for Eva Beau in the event Jane Wenk is absent.

Anthony Tabb, Bookkeeper. Responsible for opening up the facility at 11 Allen Road & answering questions from volunteers. Provides PPE to staff & volunteers.

Aaron Walker, Mover. Responsible for setting up and breaking down tables used (also sanitizing before and after use).

Jane Wenk, Meals on Wheels Program Manager. Responsible for conducting intakes, ordering meals, coordinating routes & volunteers.

2. If your organization has an elected or appointed board, complete the questions below.

Not applicable; we have a volunteer board of directors.

NAME OF BOARD/COMMITTEE: _____

List the names of the individuals on the board and the position they may hold on the board.

a. Number of voting board members as of January 1, 2020 _____ Vacancies? _____

b. How many board members reside within the City of Norwalk? _____

c. How are the board members chosen?

d. Does your organization provide any board training and/or orientation? _____ yes _____ no
If so, how often is training provided?

e. How long is a term? _____ How many consecutive terms may be served? _____

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. Has the organization attempted to coordinate the project with other agencies to avoid duplication of services? X yes _____ no If yes, please explain.

We collaborate with Catholic Charities; a religious organization which provides home-delivered meals free of charge out of Stamford CT. When/if NSC receives a referral for Meals on Wheels for someone who cannot afford to pay for the cost of the meals, we refer them to Catholic Charities. During the pandemic however, Catholic Charities has not accepted new participants. We accepted new participants into our Meals on Wheels Program and saw an increase in demand. We also collaborate with the Southwestern CT Agency on Aging which subsidizes 30% of the participants of our Meals on Wheels program.

2. Identify other agencies in Norwalk (including non-profit and government) that provide services similar to your proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies?

There is no other non-profit or government agency that we know of which provides home-delivered fresh and frozen meals in Norwalk.

There is a for-profit business, called Mom's Meals, which mails frozen meals to recipients. Such service lacks the safety check & friendly visit which our service provides.

3. Identify other agencies in Norwalk that provide services directed toward the same target beneficiaries of your proposed project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?

The following agencies provide services directed toward the same target beneficiaries of our Meals on Wheels Program (together, we provide interagency referrals to each other):

Abilis/Ability Beyond/STAR	Meals on Wheels Volunteer Drivers
Fairfield County's Community Foundation	Assist with referrals for the Senior Housing Assistance Fund
Family & Children's Agency	Exchange referrals, collaborate on transportation
Norwalk Transit	Advertise services, share referrals
Senior Services Coordinating Council	NSC provides transportation for visitors
Norwalk Hospital	Senior Care Team collaboration, educational programming
Norwalk Public Library	Programming (Book Club)
Norwalk Housing Authority	NSC provides benefit assistance, translation, & hosts tenant association meetings

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants:

ORGANIZATION NAME:

Organization is:

1. Corporation (X)
2. Non-Profit 501(c)(3) (X)
3. Partnership ()
4. Sole Owner ()
5. Association ()
6. Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the above-mentioned organization or project proposed.

Name, Job Title and Norwalk Redevelopment Agency Department

Not applicable

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a potential "financial interest" in the organization or project.

Name/Title

Not applicable

NOTE: If the applicant has provided names in question 1 or 2, please provide details regarding any known potential conflicts of interest in an attached narrative.

OTHER CDBG-CV PROGRAM REQUIREMENTS

NOTE: FOR YOUR INFORMATION ONLY

DO NOT SEND BACK WITH COMPLETED APPLICATION

CDBG-CV recipients and sub-recipients are subject to applicable CDBG-CV/HUD regulations, as well as certain State and local requirements. Organizations who receive a CDBG-CV award will be required to enter into a written contractual agreement with Norwalk Redevelopment Agency containing terms and conditions of the grant (example: scope of service, time of performance, and federal, State, and local requirements). Said requirements include but are not limited to the following:

1. **Environmental Compliance.** CDBG-CV recipients for rehabilitation/acquisition are required to provide documentation to Norwalk Redevelopment Agency evidencing environmental compliance before CDBG-CV funds can be released. An inspection of the proposed/activity site must be undertaken to identify any hazardous material that may be present (i.e. asbestos, lead, lead-based paint). CDBG-CV recipients are responsible for follow-up abatement action pursuant to the standards of the Environmental Protection Agency, if such hazardous material is identified.

➔ If needed, submit with the completed application/request for CDBG-CV funding a brief narrative including any information on the environmental conditions of the proposed project/activity site.

Applicants for CDBG-CV funds **should not begin any work at the site of their proposed project** until they have signed a contract with Norwalk Redevelopment Agency and received notification that a satisfactory environmental review has been completed by the Agency.

2. **Historic Properties.** CDBG-CV funded rehabilitation/acquisition projects/activities are subject to the National Historic Preservation Act of 1966, as amended, and must undergo a historic review to determine if they are located on properties and/or in districts listed on (or eligible for) the National Register of Historic Place. If yes, a determination is required as to what affect the proposed project/activity will have on the property and applicable follow-up compliance action.

➔ If needed, submit with the completed application/request for CDBG-CV funding a brief narrative including any information on the historic significance of the proposed project/activity site. The age of the building, year built and year prior rehabilitation/expansion was completed should be included with public facility/housing applications.

3. **Federal Labor Compliance.** Rehabilitation/construction projects/activities, exceeding a cost of \$2,000 (and for housing rehabilitation of eight (8) units or more) must be undertaken by the CDBG-CV recipient in accordance with the Davis-Bacon Act and related federal labor standards. All work reimbursed with CDBG-CV funds must be paid at or above the prevailing amount as determined by the Department of Labor. CDBG-CV recipients will be required to submit certified contractor payrolls as a condition of reimbursement.

➔ If needed, submit with the completed application/request for CDBG-CV funding a brief narrative including how you will carry out your federal labor compliance responsibilities. Estimates from contractors submitted with CDBG-CV applications should anticipate paying prevailing wages.

4. Americans with Disabilities Act of 1990 (ADA) and Section 504 of the Rehabilitation Act. The ADA requires that publicly funded projects/activities must be undertaken in a manner that does not discriminate against persons with disabilities (mental and/or physical). CDBG-CV applicants are encouraged to review their proposed project/activity to consider how it complies with, or will be affected by, the ADA. For example: applications requesting CDBG-CV funds for playground equipment must include handicap accommodations.
→ If needed, submit with the completed application/request for CDBG-CV funding a brief narrative including information as to how you will carry out your ADA responsibilities.
5. Competitive Procurement. Organizations receiving CDBG-CV funds for eligible professional services and/or construction, etc. must procure said services through a competitive solicitation/bidding process. For public facility/housing projects with work valued at less than \$100,000.00, the applicant will be required to obtain, at a minimum, three (3) quotes from qualified contractors. For public facility/housing projects valued at or more than \$100,000.00, the grantee will be required to prepare bid documents containing written technical specifications of the work to be performed, applicable federal conditions imposed on the contractor, HUD forms, etc.
6. Insurance. The Norwalk Redevelopment Agency requires that CDBG-CV sub-recipients provide evidence and maintain such evidence (at their own expense) of insurance coverage for their agency's CDBG-CV funded projects/activities, in the types and amounts listed below, through the duration of the project, including funding reimbursement requests. CDBG-CV sub-recipients may use part of the CDBG-CV grant to recover insurance cost, provided permission is first obtained from Norwalk Redevelopment Agency to do so. Additional information on insurance requirements is available by contacting the Agency.
 - General Liability Insurance, with minimum coverage for combined bodily injury and property damage liability of \$2,000,000 general aggregate, \$1,000,000 per occurrence.
 - Comprehensive Automobile Liability with minimum coverage of \$1,000,000 combined single limit for bodily injury and property damage, including where applicable, coverage for any vehicle, all owned vehicles, scheduled vehicles, hired vehicles, non-owned vehicles and garage liability.
 - Excess Liability with minimum coverage of \$5,000,000 in umbrella form. Note: The CDBG-CV recipient may request a reduction of the \$5,000,000 insurance excess liability coverage to a minimum of \$2,000,000. The Norwalk Redevelopment Agency will review each request on a case by case basis.
 - Additional Insured. The "Norwalk Redevelopment Agency", must be named on the Certificate of Insurance as "additional insured" (except for Workmen's Compensation coverage).
 - Workers Compensation and Employer's Liability, with minimum coverage as provided by Connecticut General State Statutes.
 - A letter from the agent/broker certifying that the Norwalk Redevelopment Agency has been endorsed onto the General Liability Policy as an "additional insured" is also mandatory. The letter must follow exactly the format as prescribed by the Agency and must be signed (original signature) by the same authorized representative who signed the Insurance Certificates.

Note: Please do not submit any insurance certifications with the application for CDBG-CV funding. The insurance certifications are to be provided only if you are awarded the CDBG-CV grant).

7. **Maintenance of Records and CDBG-CV Monitoring of Compliance.** Sub-recipients of CDBG-CV funding must maintain records to accurately detail the organization's actions and the activities carried out, as verified by on-site inspections. The following are required records that must be maintained on-site, by recipients and sub-recipients of CDBG-CV funding:
- A. **Data as Required by Federal Regulations.** On the extent to which each racial and ethnic group and single parent-headed household (by gender of household head) has applied for, participated in, or benefited from any program funded in whole or in part with CDBG-CV funds.
 - B. **For Direct Benefit Activities.** The organization's records must show that the agency has written documents to support such records. (i.e. CDBG-CV income eligibility).
 - C. **For Area Benefit Activities.** The organization must maintain records that include a description of the area and services provided to the area and the race and the ethnicity of the service area.
 - D. **Communications – Under Section 504.** CDBG-CV funded agencies are required to take appropriate steps to ensure effective communication with clients and members of the public to ensure to the extent possible that persons with disabilities receive the benefits and services of the program/activity receiving CDBG-CV assistance. The steps taken do not require the agencies to take any actions that the agencies can demonstrate would result in a fundamental alteration in the nature of a program or activity or as undue financial and administrative burdens.
 - Does the organization have means of communicating with applicants, participants and the public who have hearing, speech or vision impairments?
 - Where the organization communicates with the public and clients by telephone, does the agency also have telecommunication devices for the deaf (TDD)?
 - a. **Program Accessibility.** Where CDBG-CV funds assist a program or activity, the organization is required to maintain housing and non-housing facilities that are accessible and usable by persons with disabilities. The extent to which facilities must be accessible depends on whether the facility is new, altered or existing.
 - b. **Record Keeping.** The CDBG-CV funded organization must maintain data on the disability status of program participants and beneficiaries. CDBG-CV sub-recipients are required to maintain all records related to their CDBG-CV award for a minimum of four (4) years from the date of the closeout of the grant.

8. **Cover and/or Reimbursement of Costs.** CDBG-CV projects are funded to cover and/or reimburse costs to **prevent, prepare for, and/or respond to** coronavirus incurred, regardless of the date on which such costs were incurred, when those costs comply with requirements.

Norwalk Redevelopment Agency obo City of Norwalk complies with all applicable federal and state laws regarding non-discrimination, equal opportunity, affirmative action, and providing reasonable accommodations for persons with disabilities.

MEALS ON WHEELS INTAKE FORM

Date: _____

Name: _____ **Phone:** _____

Address: _____ **Apt#** _____

Gender: Male ____ Female ____

Marital Status: Married ____ Widowed ____ Divorced ____ Separated ____ Civil Union ____ Single ____

Date of Birth: ____/____/____ **Date Referred:** _____

Regular ____ **Diabetic** ____ **Puree** ____ **Other** _____

Deliver: MON. TUES. WED. THURS. FRI. SAT. SUN.

Delivery Instructions:

Payment: SWCAA ____ DSS ____ SELF ____ Other _____

Amount: \$ _____ **Start Date:** _____ **Route:** _____

Bills Mailed To: _____

Cognitive Impairment: Has Alzheimer's disease or a related dementia. Yes ____ No ____

Race/Ethnicity: Hispanic/Latino ____ Not Hispanic/Latino ____ White Non-Hispanic (Non-Minority) ____

White Hispanic ____ Black/African American ____ Asian ____ Native American/Alaskan Native ____

Native Hawaiian/Pacific Islander ____ Other ____

Income: I live alone and my monthly income is about:

Under \$981.00 (100%) ____

\$982.00-\$1,226.00 (125%) ____

\$1,227.00-\$1,471.00 (150%) ____

\$1,472.00-\$1,716.00 (175%) ____

\$1,717.00-\$1,962.00 (200%) ____

\$1,963.00 or over (over 200%) ____

I live with my spouse/partner and our monthly income is about:

Under \$1,328.00 (100%) ____

\$1,329.00-\$1,659.00 (125%) ____

\$1,660.00-\$1,991.00 (150%) ____

\$1,992.00-\$2,323.00 (175%) ____

\$2,324.00-\$2,655.00 (200%) ____

\$2,656.00 or over (over 200%) ____

With Child, No Spouse ____ **With Other Relatives** ____ **With Others** ____

In case of an emergency do you have any emergency help? _____

Emergency food availability? How many days 1, 2, 3, 4, 5? (Circle one)

Emergency contact information: _____ **Relationship:** _____

Address: _____ **Phone:** _____

Do you have someone to aid in case of evacuation? _____

Housing: Private Home __ Private Apartment __ Senior Housing __ Congregate Housing __ Public Housing __
Residential Care Home __ Assisted Living __

Would you like to be contacted by our social worker for a benefits screening to see if you are eligible for assistance programs? Yes __ No __

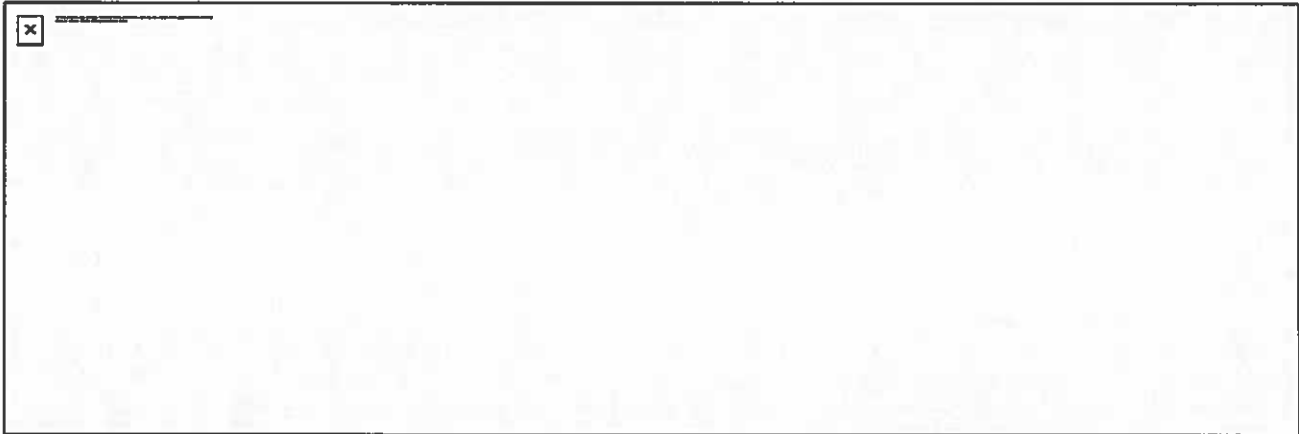
Payment is due upon receipt of monthly statement. I understand that failure to make payment when due, or to make satisfactory arrangements with Meals on Wheels will result in discontinuance of service.

Signature: _____ **Date:** _____

Norwalk Senior Center												
Meals on Wheels Expenses - Calendar Year 2020												
								Budget	Project			
								2020_2021	Request			
									2020_2021	Variance	Variance	Pct.
							Expenses					
							Leased Equipment	939	150	789.37	15.97%	
							Bank Service Charges	274		0	0.00%	
							Bad Debt Expense (Write Off Uncollectible Accounts)	4,089	3,000	1088.54	73.38%	
							Dues and Subscriptions	175		175	0.00%	
							Insurance					
							General Insurance	3,689	1,500	2188.52	40.67%	
							Workers' Comp Insurance	1,977	1,000	977.01	50.58%	
							Maintenance & Repairs					
							Maintenance	612	150	461.81	24.52%	
							Repairs/Contracts	200	50	150	25.00%	
							Office Expense	1,606	600	1005.91	37.36%	
							Postage and Delivery	605	300	305	49.59%	
							Professional Fees	-				
							Computer Services & Training					
							Accounting	660	400	260	60.61%	
							Consulting	-		0		
							Payroll Expense	-				
							Salaries & Wages	78,172	20,000	58172.43	25.58%	
							Payroll Taxes	6,314	1,200	5114.43	19.00%	
							Payroll Services	549	250	298.62	45.57%	
							Fringe Benefits					
							Group Insurance	7,786	1,000	6786.24	12.84%	
							403 (b) Employer Contributions	1,630		1630	0.00%	
							Telephone	430		430	0.00%	
							Transportation (2005 Subaru)					
							Fuel	345	200	145	57.97%	
							Repairs & Maintenance	348	200	148	57.47%	
							Total Expenses	110,400	30,000	80,400	27.17%	

Beatrix Lane

From: Meals on Wheels America <grants@mealsonwheelsamerica.org>
Sent: Thursday, May 14, 2020 10:54 AM
To: Beatrix Lane
Subject: COVID-19 Response Fund Grant Notification



Thursday, May 14, 2020

Dear Beatrix,

I'm pleased to inform you that Norwalk Senior Center - Meals on Wheels has been approved to receive a Meals on Wheels COVID-19 Response Fund grant in the amount of \$2,000.00. You will receive the funding by check, which will be mailed within one week to the program address we have on file.

As a reminder, you must submit a report in the online grants management system no later than 90 days following this notification of award to verify how the funds have been, are being, or will be used. If grant funds are not spent in full within 90 days, we ask that you complete the 90-day report and submit a follow-up report later when all funds have been exhausted.

Per the terms and conditions, we may use information from your grant application (potentially in the form of a quote) to illustrate impact and/or solicit additional funding for this grant program. If you have concerns about this or questions about this overall process, please contact us at grants@mealsonwheelsamerica.org.

The work you are doing in your community is more vital now than ever, and we hope this emergency funding will help support your program and the seniors you serve during this unprecedented time. We are truly appreciative of how you adapt and overcome to deliver on our collective mission.

Sincerely,

Lucy Theilheimer
Chief Strategy and Impact Officer
Meals on Wheels America

CLIENT'S COPY

November 4, 2018

Norwalk Senior Center, Inc
11 Allen Road
Norwalk, CT 06851

Norwalk Senior Center, Inc:

Enclosed is the organization's 2017 Exempt Organization return. The return should be signed, dated, and mailed.

Specific filing instructions are as follows.

FORM 990 RETURN:

Please sign and mail on or before November 15, 2018.

Mail to - Department of the Treasury
Internal Revenue Service Center
Ogden, UT 84201-0027

A copy of the return is enclosed for your files. We suggest that you retain this copy indefinitely.

Very truly yours,

Louis J Lacerenza

November 4, 2018

Norwalk Senior Center, Inc
11 Allen Road
Norwalk, CT 06851

Norwalk Senior Center, Inc:

Enclosed are the original and one copy of the 2017 Exempt
Organization return, as follows...

2017 Form 990

Each original should be dated, signed and filed in accordance
with the filing instructions. The copy should be retained
for your files.

Very truly yours,

Louis J Lacerenza

Filing Instructions

Prepared for:

NORWALK SENIOR CENTER, INC
11 ALLEN ROAD
NORWALK, CT 06851

Prepared by:

LOUIS J. LACERENZA, CPA
168 EAST AVENUE
NORWALK, CT 06851

2017 FORM 990

Please sign and mail on or before November 15, 2018.

Mail to - Department of the Treasury
Internal Revenue Service Center
Ogden, UT 84201-0027

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

2017

Open to Public Inspection

A For the 2017 calendar year, or tax year beginning JUL 1, 2017 and ending JUN 30, 2018

B Check if applicable:

C Name of organization

D Employer identification number

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

NORWALK SENIOR CENTER, INC

Doing business as

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

Room/suite

11 ALLEN ROAD

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

NORWALK, CT 06851

F Name and address of principal officer: **BEATRIX WINTER**

11 ALLEN ROAD, NORWALK, CT 06851

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

J Website: ► WWW.NORWALKSENIORCENTER.ORG

H(c) Group exemption number ▶

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

L Year of formation: 1969 M State of legal domicile: CT

Part I	Summary
---------------	----------------

1 Briefly describe the organization's mission or most significant activities: **PROGRAMS FOR OLDER ADULTS**

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	15
4	Number of independent voting members of the governing body (Part VI, line 1b)	4	15
5	Total number of individuals employed in calendar year 2017 (Part V, line 2a)	5	17
6	Total number of volunteers (estimate if necessary)	6	84
7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
b	Net unrelated business taxable income from Form 990-T, line 34	7b	0.

8	Contributions and grants (Part VIII, line 1h)	708434.	632421.
9	Program service revenue (Part VIII, line 2g)	373580.	285030.
10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	264.	118.
11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	58985.	63298.
12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	1141263.	980867.
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)	612648.	623615.
16a	Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
b	Total fundraising expenses (Part IX, column (D), line 25)	43442.	
17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	501395.	404528.
18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	1114043.	1028143.
19	Revenue less expenses. Subtract line 18 from line 12	27220.	-47276.

		Beginning of Current Year	End of Year
20	Total assets (Part X, line 16)	461797.	406673.
21	Total liabilities (Part X, line 26)	111100.	103252.
22	Net assets or fund balances. Subtract line 21 from line 20	350697.	303421.

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
BEATRIX WINTER, EXECUTIVE DIRECTOR
Type or print name and title

Paid Preparer Use Only	Print/Type preparer's name LOUIS J LACERENZA	Preparer's signature 	Check if self-employed ☒	PTIN P01308784
	Firm's name LOUIS J. LACERENZA, CPA	Firm's EIN 10-0001565	Date NOV 04 2018	
	Firm's address 168 EAST AVENUE NORWALK, CT 06851	Phone no. 203-855-8567		

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

Part III Statement of Program Service AccomplishmentsCheck if Schedule O contains a response or note to any line in this Part III ☐**1** Briefly describe the organization's mission:

NORWALK SENIOR CENTER INC. IS A COMMUNITY-BASED NOT-FOR-PROFIT CORPORATION THAT OPERATES DIVERSE PROGRAMS FOR SENIOR CITIZENS PROVIDING SOCIAL AND HEIGHTENED WELLNESS SERVICES AND STIMULATING INDEPENDENCE FOR RESIDENTS AGE SIXTY AND OLDER.

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? ☐ Yes ☒ No

If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? ☐ Yes ☒ No

If "Yes," describe these changes on Schedule O.

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code:) (Expenses \$ **896570.** including grants of \$) (Revenue \$)
SOCIAL, INTELLECTUAL, CREATIVE, RECREATIONAL, COMMUNITY PROGRAMS, OUTREACH, JOB REFERRALS, GENERAL INFORMATION, EDUCATION AND MEALS.

4b (Code:) (Expenses \$ including grants of \$) (Revenue \$)

4c (Code:) (Expenses \$ including grants of \$) (Revenue \$)

4d Other program services (Describe in Schedule O.)

(Expenses \$ including grants of \$) (Revenue \$)

4e Total program service expenses **896570.**

Part IV Checklist of Required Schedules

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A	X	
2 Is the organization required to complete Schedule B, Schedule of Contributors?	X	
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I		X
4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II		X
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If "Yes," complete Schedule C, Part III		X
6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I		X
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If "Yes," complete Schedule D, Part II		X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III		X
9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? If "Yes," complete Schedule D, Part IV		X
10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? If "Yes," complete Schedule D, Part V		X
11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.		
a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If "Yes," complete Schedule D, Part VI	X	
b Did the organization report an amount for investments - other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VII		X
c Did the organization report an amount for investments - program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VIII		X
d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part IX		X
e Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X		X
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If "Yes," complete Schedule D, Part X		X
12a Did the organization obtain separate, independent audited financial statements for the tax year? If "Yes," complete Schedule D, Parts XI and XII	X	
b Was the organization included in consolidated, independent audited financial statements for the tax year? If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional		X
13 Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E		X
14a Did the organization maintain an office, employees, or agents outside of the United States?		X
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If "Yes," complete Schedule F, Parts I and IV		X
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If "Yes," complete Schedule F, Parts II and IV		X
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? If "Yes," complete Schedule F, Parts III and IV		X
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I		X
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II	X	
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III	X	

Form 990 (2017)

Part IV Checklist of Required Schedules (continued)

	Yes	No
20a Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i>		X
b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?		
21 Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II</i>		X
22 Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i>		X
23 Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i>		X
24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a</i>		X
b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?		
c Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?		
d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?		
25a Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i>		X
b Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I</i>		X
26 Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? <i>If "Yes," complete Schedule L, Part II</i>		X
27 Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III</i>		X
28 Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):		
a A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>		X
b A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>		X
c An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV</i>		X
29 Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>	X	
30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>		X
31 Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i>		X
32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i>		X
33 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i>		X
34 Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1</i>		X
35a Did the organization have a controlled entity within the meaning of section 512(b)(13)?		X
b If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2</i>		
36 Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i>		X
37 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i>		X
38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19?	X	

Note. All Form 990 filers are required to complete Schedule O.

Form 990 (2017)

Part V Statements Regarding Other IRS Filings and Tax ComplianceCheck if Schedule O contains a response or note to any line in this Part V ☐

		1a	1b	1c	2a	2b	3a	3b	4a	5a	5b	5c	6a	6b	7a	7b	7c	7d	7e	7f	7g	7h	8	9a	9b	10a	10b	11a	11b	12a	12b	13a	13b	13c	14a	14b
1a	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	10																																		
b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable		0																																	
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?																																			
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return				17																															
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)					X																														
3a	Did the organization have unrelated business gross income of \$1,000 or more during the year?																																			
b	If "Yes," has it filed a Form 990-T for this year? If "No," to line 3b, provide an explanation in Schedule O																																			
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?																																			
b	If "Yes," enter the name of the foreign country: See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).																																			
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?																																			
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?																																			
c	If "Yes," to line 5a or 5b, did the organization file Form 8886-T?																																			
6a	Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?																																			
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?																																			
7	Organizations that may receive deductible contributions under section 170(c).																																			
a	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?																																			
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?																																			
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8882?																																			
d	If "Yes," indicate the number of Forms 8882 filed during the year																																			
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?																																			
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?																																			
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?																																			
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?																																			
8	Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?																																			
9	Sponsoring organizations maintaining donor advised funds.																																			
a	Did the sponsoring organization make any taxable distributions under section 4966?																																			
b	Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?																																			
10	Section 501(c)(7) organizations. Enter:																																			
a	Initiation fees and capital contributions included on Part VIII, line 12																																			
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities																																			
11	Section 501(c)(12) organizations. Enter:																																			
a	Gross income from members or shareholders																																			
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)																																			
12a	Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?																																			
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year																																			
13	Section 501(c)(29) qualified nonprofit health insurance issuers.																																			
a	Is the organization licensed to issue qualified health plans in more than one state? Note. See the instructions for additional information the organization must report on Schedule O.																																			
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans																																			
c	Enter the amount of reserves on hand																																			
14a	Did the organization receive any payments for indoor tanning services during the tax year?																																			
b	If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O																																			

Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI ☒

Section A. Governing Body and Management

	1a	1b	Yes	No
1a Enter the number of voting members of the governing body at the end of the tax year	15			
If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O.		15		
2 Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?				X
3 Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person?				X
4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?				X
5 Did the organization become aware during the year of a significant diversion of the organization's assets?				X
6 Did the organization have members or stockholders?				X
7a Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?				X
b Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?				X
8 Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:				
a The governing body?			X	
b Each committee with authority to act on behalf of the governing body?			X	
9 Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O				X

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

	Yes	No
10a Did the organization have local chapters, branches, or affiliates?		X
b If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?		
11a Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?	X	
b Describe in Schedule O the process, if any, used by the organization to review this Form 990.		
12a Did the organization have a written conflict of interest policy? If "No," go to line 13		X
b Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?		
c Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done		
13 Did the organization have a written whistleblower policy?		X
14 Did the organization have a written document retention and destruction policy?		X
15 Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
a The organization's CEO, Executive Director, or top management official		X
b Other officers or key employees of the organization		X
If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).		
16a Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?		X
b If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?		

Section C. Disclosure

17 List the states with which a copy of this Form 990 is required to be filed **CT**

18 Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.
☒ Own website ☐ Another's website ☐ Upon request ☐ Other (explain in Schedule O)

19 Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.

20 State the name, address, and telephone number of the person who possesses the organization's books and records: **BEATRIX WINTER - (203) 847-3115**
11 ALLEN ROAD, NORWALK, CT 06851

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent ContractorsCheck if Schedule O contains a response or note to any line in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees****1a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former** directors or trustees that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

☒ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) LYNNE BYINGTON PRESIDENT	1.00	X		X				0.	0.	0.
(2) MARY ROMAN SECRETARY & TRESURER	1.00	X		X				0.	0.	0.
(3) MARK MAGNUSEN VICE PRESIDENT	1.00	X		X				0.	0.	0.
(4) GAIL LAVIELLE DIRECTOR	0.50	X						0.	0.	0.
(5) PAULA CONTE DIRECTOR	0.50	X						0.	0.	0.
(6) CHARLOTTE COOPER DIRECTOR	0.50	X						0.	0.	0.
(7) AMI-LYNN BAKSHI DIRECTOR	0.50	X						0.	0.	0.
(8) LOIS A. CEA-CAVALLO DIRECTOR	0.50	X						0.	0.	0.
(9) KENNETH CLINCHY DIRECTOR	0.50	X						0.	0.	0.
(10) DAVID MCCARTHY DIRECTOR	0.50	X						0.	0.	0.
(11) DON OVERTON DIRECTOR	0.50	X						0.	0.	0.
(12) LOUIS SCHULMAN DIRECTOR	0.50	X						0.	0.	0.
(13) CYNDE BLOOM LAHEY DIRECTOR	0.50	X						0.	0.	0.
(14) CAROL FRANK DIRECTOR	0.50	X						0.	0.	0.
(15) WENDY A MACEDO DIRECTOR	0.50	X						0.	0.	0.

Part VIII Statement of RevenueCheck if Schedule O contains a response or note to any line in this Part VIII ☐

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514	
Contributions, Gifts, Grants and Other Similar Amounts	1 a Federated campaigns	1a					
	b Membership dues	1b	47400.				
	c Fundraising events	1c					
	d Related organizations	1d					
	e Government grants (contributions)	1e	434817.				
	f All other contributions, gifts, grants, and similar amounts not included above	1f	150204.				
	g Noncash contributions included in lines 1a-1f: \$		1604.				
	h Total. Add lines 1a-1f		632421.				
	Program Service Revenue	2 a <u>PROGRAM FEES</u>	Business Code	248744.	248744.		
b <u>TRANSPORTATION SERVICE</u>			36286.	36286.			
c							
d							
e							
f All other program service revenue							
g Total. Add lines 2a-2f			285030.				
Other Revenue		3 Investment income (including dividends, interest, and other similar amounts)		118.	118.		
		4 Income from investment of tax-exempt bond proceeds					
	5 Royalties						
	6 a Gross rents	(i) Real (ii) Personal	10500.				
	b Less: rental expenses		0.				
	c Rental income or (loss)		10500.				
	d Net rental income or (loss)		10500.	10500.			
	7 a Gross amount from sales of assets other than inventory	(i) Securities (ii) Other					
	b Less: cost or other basis and sales expenses						
	c Gain or (loss)						
	d Net gain or (loss)						
	8 a Gross income from fundraising events (not including \$ of contributions reported on line 1c). See Part IV, line 18	a	55518.				
	b Less: direct expenses	b	22452.				
	c Net income or (loss) from fundraising events		33066.			33066.	
	9 a Gross income from gaming activities. See Part IV, line 19	a	97792.				
	b Less: direct expenses	b	85060.				
	c Net income or (loss) from gaming activities		12732.			12732.	
	10 a Gross sales of inventory, less returns and allowances	a					
	b Less: cost of goods sold	b					
c Net income or (loss) from sales of inventory							
Miscellaneous Revenue	11 a <u>GAIN ON SALE OF ASSET</u>	Business Code	7000.	7000.			
	b						
	c						
	d All other revenue						
	e Total. Add lines 11a-11d		7000.				
	12 Total revenue. See instructions.		980867.	302648.	0.	45798.	

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX ☐

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21				
2 Grants and other assistance to domestic individuals. See Part IV, line 22				
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16				
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	77485.	67227.	5828.	4430.
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7 Other salaries and wages	456165.	395783.	34305.	26077.
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	13044.	11569.	832.	643.
9 Other employee benefits	35453.	27795.	5142.	2516.
10 Payroll taxes	41468.	36673.	2331.	2464.
11 Fees for services (non-employees):				
a Management				
b Legal	700.		700.	
c Accounting	5509.		5350.	159.
d Lobbying				
e Professional fundraising services. See Part IV, line 17				
f Investment management fees				
g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch O.)				
12 Advertising and promotion	445.	349.	96.	
13 Office expenses	5779.	558.	5221.	
14 Information technology				
15 Royalties				
16 Occupancy				
17 Travel	3394.	160.	3173.	61.
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings				
20 Interest				
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	18282.	14626.	1828.	1828.
23 Insurance				
24 Other expenses. Itemize expenses not covered above. (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a PROGRAM EXPENSE	240534.	236974.	961.	2599.
b INSURANCE	34020.	30849.	1389.	1782.
c INSTRUCTOR FEES	29965.	29965.		
d REPAIRS & MAINTENANCE	20672.	9384.	11144.	144.
e All other expenses	45228.	34658.	9831.	739.
25 Total functional expenses. Add lines 1 through 24e	1028143.	896570.	88131.	43442.
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation.				

Check here ☐ if following SOP 98-2 (ASC 958-720)

Part X Balance SheetCheck if Schedule O contains a response or note to any line in this Part X ☐

		(A) Beginning of year		(B) End of year
Assets	1 Cash - non-interest-bearing	126846.	1	7877.
	2 Savings and temporary cash investments	186236.	2	278437.
	3 Pledges and grants receivable, net	15163.	3	16213.
	4 Accounts receivable, net	36873.	4	15267.
	5 Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L		5	
	6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instr). Complete Part II of Sch L		6	
	7 Notes and loans receivable, net	25603.	7	29402.
	8 Inventories for sale or use		8	
	9 Prepaid expenses and deferred charges	21496.	9	16980.
	10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a 814354.		
	b Less: accumulated depreciation	10b 771857.	10c	42497.
	11 Investments - publicly traded securities		11	
	12 Investments - other securities. See Part IV, line 11		12	
	13 Investments - program-related. See Part IV, line 11		13	
	14 Intangible assets		14	
	15 Other assets. See Part IV, line 11		15	
16 Total assets. Add lines 1 through 15 (must equal line 34)	461797.	16	406673.	
Liabilities	17 Accounts payable and accrued expenses	61550.	17	60935.
	18 Grants payable		18	
	19 Deferred revenue	49550.	19	42317.
	20 Tax-exempt bond liabilities		20	
	21 Escrow or custodial account liability. Complete Part IV of Schedule D		21	
	22 Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L		22	
	23 Secured mortgages and notes payable to unrelated third parties		23	
	24 Unsecured notes and loans payable to unrelated third parties		24	
	25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D		25	
	26 Total liabilities. Add lines 17 through 25	111100.	26	103252.
Net Assets or Fund Balances	Organizations that follow SFAS 117 (ASC 958), check here ☒ and complete lines 27 through 29, and lines 33 and 34.			
	27 Unrestricted net assets	78020.	27	34727.
	28 Temporarily restricted net assets	272677.	28	268694.
	29 Permanently restricted net assets		29	
	Organizations that do not follow SFAS 117 (ASC 958), check here ☐ and complete lines 30 through 34.			
	30 Capital stock or trust principal, or current funds		30	
	31 Paid-in or capital surplus, or land, building, or equipment fund		31	
	32 Retained earnings, endowment, accumulated income, or other funds		32	
	33 Total net assets or fund balances	350697.	33	303421.
34 Total liabilities and net assets/fund balances	461797.	34	406673.	

Form 990 (2017)

Part XI Reconciliation of Net AssetsCheck if Schedule O contains a response or note to any line in this Part XI ☐

1	Total revenue (must equal Part VIII, column (A), line 12)	1	980867.
2	Total expenses (must equal Part IX, column (A), line 25)	2	1028143.
3	Revenue less expenses. Subtract line 2 from line 1	3	-47276.
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	350697.
5	Net unrealized gains (losses) on investments	5	
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain in Schedule O)	9	0.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	303421.

Part XII Financial Statements and ReportingCheck if Schedule O contains a response or note to any line in this Part XII ☐

	Yes	No
1 Accounting method used to prepare the Form 990: ☐ Cash ☒ Accrual ☐ Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.		
2a Were the organization's financial statements compiled or reviewed by an independent accountant? If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both: ☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis	2a	X
b Were the organization's financial statements audited by an independent accountant? If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both: ☒ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis	2b	X
c If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.	2c	X
3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?	3a	X
b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits	3b	

Form 990 (2017)

SCHEDULE A
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ.

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

OMB No. 1545-0047

2017

Open to Public
Inspection

Name of the organization

NORWALK SENIOR CENTER, INC

Employer identification number

23-7121169

Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.)

- 1 ☐ A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
- 2 ☐ A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990 or 990-EZ).)
- 3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
- 4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state: _____
- 5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)
- 6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
- 7 ☒ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 8 ☐ A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 9 ☐ An agricultural research organization described in **section 170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or university: _____
- 10 ☐ An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions - subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)
- 11 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**
- 12 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2).** See **section 509(a)(3).** Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
- a ☐ **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
- b ☐ **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
- c ☐ **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
- d ☐ **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
- e ☐ Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.

f Enter the number of supported organizations _____

g Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-10 above (see instructions))	(iv) Is the organization listed in your governing document?		(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
			Yes	No		
Total						

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ►	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	651792.	625575.	616455.	708434.	632421.	3234677.
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge	130000.	130000.	130000.	130000.	130000.	650000.
4 Total. Add lines 1 through 3	781792.	755575.	746455.	838434.	762421.	3884677.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						
6 Public support. Subtract line 5 from line 4.						3884677.

Section B. Total Support

Calendar year (or fiscal year beginning in) ►	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
7 Amounts from line 4	781792.	755575.	746455.	838434.	762421.	3884677.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources	31946.	15659.	10958.	10764.	10618.	79945.
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
11 Total support. Add lines 7 through 10						3964622.
12 Gross receipts from related activities, etc. (see instructions)					12	2432027.
13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here						☐

Section C. Computation of Public Support Percentage

14 Public support percentage for 2017 (line 6, column (f) divided by line 11, column (f))	14	97.98	%
15 Public support percentage from 2016 Schedule A, Part II, line 14	15	97.94	%
16a 33 1/3% support test - 2017. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization	☒		
b 33 1/3% support test - 2016. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization	☐		
17a 10% -facts-and-circumstances test - 2017. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization	☐		
b 10% -facts-and-circumstances test - 2016. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization	☐		
18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions	☐		

Schedule A (Form 990 or 990-EZ) 2017

Part III Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ►	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b						
8 Public support. (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ►	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
13 Total support. (Add lines 9, 10c, 11, and 12.)						

14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here ☐**Section C. Computation of Public Support Percentage**

15 Public support percentage for 2017 (line 8, column (f) divided by line 13, column (f))	15	%
16 Public support percentage from 2016 Schedule A, Part III, line 15	16	%

Section D. Computation of Investment Income Percentage

17 Investment income percentage for 2017 (line 10c, column (f) divided by line 13, column (f))	17	%
18 Investment income percentage from 2016 Schedule A, Part III, line 17	18	%

19a 33 1/3% support tests - 2017. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization ☐**b** 33 1/3% support tests - 2016. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization ☐**20** Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ☐

Part IV Supporting Organizations

(Complete only if you checked a box in line 12 on Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

- 1 Are all of the organization's supported organizations listed by name in the organization's governing documents? If "No," describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.
- 2 Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).
- 3a Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? If "Yes," answer (b) and (c) below.
- b Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? If "Yes," describe in Part VI when and how the organization made the determination.
- c Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? If "Yes," explain in Part VI what controls the organization put in place to ensure such use.
- 4a Was any supported organization not organized in the United States ("foreign supported organization")? If "Yes," and if you checked 12a or 12b in Part I, answer (b) and (c) below.
- b Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.
- c Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.
- 5a Did the organization add, substitute, or remove any supported organizations during the tax year? If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in Part VI, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).
- b **Type I or Type II only.** Was any added or substituted supported organization part of a class already designated in the organization's organizing document?
- c **Substitutions only.** Was the substitution the result of an event beyond the organization's control?
- 6 Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? If "Yes," provide detail in Part VI.
- 7 Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).
- 8 Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).
- 9a Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? If "Yes," provide detail in Part VI.
- b Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? If "Yes," provide detail in Part VI.
- c Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? If "Yes," provide detail in Part VI.
- 10a Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? If "Yes," answer 10b below.
- b Did the organization have any excess business holdings in the tax year? (Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)

	Yes	No
1		
2		
3a		
3b		
3c		
4a		
4b		
4c		
5a		
5b		
5c		
6		
7		
8		
9a		
9b		
9c		
10a		
10b		

Part IV Supporting Organizations (continued)

11 Has the organization accepted a gift or contribution from any of the following persons?

a A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?

b A family member of a person described in (a) above?

c A 35% controlled entity of a person described in (a) or (b) above? If "Yes" to a, b, or c, provide detail in Part VI.

	Yes	No
11a		
11b		
11c		

Section B. Type I Supporting Organizations

1 Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? If "No," describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.

2 Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? If "Yes," explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.

	Yes	No
1		
2		

Section C. Type II Supporting Organizations

1 Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? If "No," describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).

	Yes	No
1		

Section D. All Type III Supporting Organizations

1 Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?

2 Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? If "No," explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).

3 By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? If "Yes," describe in Part VI the role the organization's supported organizations played in this regard.

	Yes	No
1		
2		
3		

Section E. Type III Functionally Integrated Supporting Organizations

1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions).

a ☐ The organization satisfied the Activities Test. Complete line 2 below.b ☐ The organization is the parent of each of its supported organizations. Complete line 3 below.c ☐ The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions).

2 Activities Test. Answer (a) and (b) below.

a Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.

b Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.

3 Parent of Supported Organizations. Answer (a) and (b) below.

a Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? Provide details in Part VI.

b Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? If "Yes," describe in Part VI the role played by the organization in this regard.

	Yes	No
2a		
2b		
3a		
3b		

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

- 1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI.) See instructions. All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

Section A - Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1	Net short-term capital gain	1	
2	Recoveries of prior-year distributions	2	
3	Other gross income (see instructions)	3	
4	Add lines 1 through 3	4	
5	Depreciation and depletion	5	
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6	
7	Other expenses (see instructions)	7	
8	Adjusted Net Income (subtract lines 5, 6, and 7 from line 4)	8	

Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):		
a	Average monthly value of securities	1a	
b	Average monthly cash balances	1b	
c	Fair market value of other non-exempt-use assets	1c	
d	Total (add lines 1a, 1b, and 1c)	1d	
e	Discount claimed for blockage or other factors (explain in detail in Part VI):		
2	Acquisition indebtedness applicable to non-exempt-use assets	2	
3	Subtract line 2 from line 1d	3	
4	Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	
5	Net value of non-exempt-use assets (subtract line 4 from line 3)	5	
6	Multiply line 5 by .035	6	
7	Recoveries of prior-year distributions	7	
8	Minimum Asset Amount (add line 7 to line 6)	8	

Section C - Distributable Amount			Current Year
1	Adjusted net income for prior year (from Section A, line 8, Column A)	1	
2	Enter 85% of line 1	2	
3	Minimum asset amount for prior year (from Section B, line 8, Column A)	3	
4	Enter greater of line 2 or line 3	4	
5	Income tax imposed in prior year	5	
6	Distributable Amount. Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions)	6	
7	☐ Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions).		

Schedule A (Form 990 or 990-EZ) 2017

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued)

Section D - Distributions			Current Year
1	Amounts paid to supported organizations to accomplish exempt purposes		
2	Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity		
3	Administrative expenses paid to accomplish exempt purposes of supported organizations		
4	Amounts paid to acquire exempt-use assets		
5	Qualified set-aside amounts (prior IRS approval required)		
6	Other distributions (describe in Part VI). See instructions.		
7	Total annual distributions. Add lines 1 through 6.		
8	Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions.		
9	Distributable amount for 2017 from Section C, line 6		
10	Line 8 amount divided by line 9 amount		

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2017	(iii) Distributable Amount for 2017
1 Distributable amount for 2017 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2017 (reasonable cause required- explain in Part VI). See instructions.			
3 Excess distributions carryover, if any, to 2017			
a			
b From 2013			
c From 2014			
d From 2015			
e From 2016			
f Total of lines 3a through e			
g Applied to underdistributions of prior years			
h Applied to 2017 distributable amount			
i Carryover from 2012 not applied (see instructions)			
j Remainder. Subtract lines 3g, 3h, and 3i from 3f.			
4 Distributions for 2017 from Section D, line 7: \$			
a Applied to underdistributions of prior years			
b Applied to 2017 distributable amount			
c Remainder. Subtract lines 4a and 4b from 4.			
5 Remaining underdistributions for years prior to 2017, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, explain in Part VI. See instructions.			
6 Remaining underdistributions for 2017. Subtract lines 3h and 4b from line 1. For result greater than zero, explain in Part VI. See instructions.			
7 Excess distributions carryover to 2018. Add lines 3j and 4c.			
8 Breakdown of line 7:			
a Excess from 2013			
b Excess from 2014			
c Excess from 2015			
d Excess from 2016			
e Excess from 2017			

Schedule A (Form 990 or 990-EZ) 2017

Part VI

Supplemental Information. Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a, and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information.
(See instructions.)

Schedule B(Form 990, 990-EZ,
or 990-PF)Department of the Treasury
Internal Revenue Service**Schedule of Contributors**

- ▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Go to www.irs.gov/Form990 for the latest information.

OMB No. 1545-0047

2017

Name of the organization

NORWALK SENIOR CENTER, INC

Employer identification number

23-7121169

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

☒ 501(c)(3) (enter number) organization☐ 4947(a)(1) nonexempt charitable trust not treated as a private foundation☐ 527 political organization

Form 990-PF

☐ 501(c)(3) exempt private foundation☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation☐ 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note:** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

- ☐ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

- ☒ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000; or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h; or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the General Rule applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ▶ \$

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it must answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Paperwork Reduction Act Notice, see the instructions for Form 990, 990-EZ, or 990-PF. **Schedule B (Form 990, 990-EZ, or 990-PF) (2017)**

Name of organization	Employer identification number
NORWALK SENIOR CENTER, INC	23-7121169

Part I Contributors (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	CITY OF NORWALK 125 EAST AVENUE NORWALK, CT 06851	\$ 377000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
2	NORWALK TRANSIT 275 WILSON AVENUE NORWALK, CT 06854	\$ 24000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
3	SOUTHWESTERN CT AGENCY ON AGING 10 MIDDLE STREET BRIDGEPORT, CT 06604	\$ 54616.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
4	CITY OF NORWALK 125 EAST AVENUE NORWALK, CT 06851	\$ 130000.	Person ☐ Payroll ☐ Noncash ☒ (Complete Part II for noncash contributions.)
5	ARGENT STEPHEN & SARA MONAHAN 500 EAST REYNOLDS DRIVE RUSTON, LA 71270	\$ 17346.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
6	COMMUNITY FOUNDATION 383 MAIN AVENUE NORWALK, CT 06851	\$ 15000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)

Name of organization

Employer identification number

NORWALK SENIOR CENTER, INC

23-7121169

Part III

Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this info once.) ▶ \$

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

SCHEDULE D
(Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.
▶ Attach to Form 990.

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

OMB No. 1545-0047

2017

Open to Public
Inspection

Name of the organization

NORWALK SENIOR CENTER, INC

Employer identification number

23-7121169

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts. Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

	(a) Donor advised funds	(b) Funds and other accounts
1 Total number at end of year		
2 Aggregate value of contributions to (during year)		
3 Aggregate value of grants from (during year)		
4 Aggregate value at end of year		
5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control?	☐ Yes	☐ No
6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit?	☐ Yes	☐ No

Part II Conservation Easements. Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply).

☐ Preservation of land for public use (e.g., recreation or education)	☐ Preservation of a historically important land area
☐ Protection of natural habitat	☐ Preservation of a certified historic structure
☐ Preservation of open space	

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

	Held at the End of the Tax Year
a Total number of conservation easements	2a
b Total acreage restricted by conservation easements	2b
c Number of conservation easements on a certified historic structure included in (a)	2c
d Number of conservation easements included in (c) acquired after 7/25/06, and not on a historic structure listed in the National Register	2d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶

4 Number of states where property subject to conservation easement is located ▶

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds?

☐ Yes ☐ No

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ \$

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)?

☐ Yes ☐ No

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included on Form 990, Part VIII, line 1

▶ \$

(ii) Assets included in Form 990, Part X

▶ \$

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items:

a Revenue included on Form 990, Part VIII, line 1

▶ \$

b Assets included in Form 990, Part X

▶ \$

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule D (Form 990) 2017

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets (continued)

3 Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):

a ☐ Public exhibitiond ☐ Loan or exchange programsb ☐ Scholarly researche ☐ Otherc ☐ Preservation for future generations

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets

to be sold to raise funds rather than to be maintained as part of the organization's collection? ☐ Yes ☐ No**Part IV Escrow and Custodial Arrangements.** Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? ☐ Yes ☒ No

b If "Yes," explain the arrangement in Part XIII and complete the following table:

c Beginning balance

d Additions during the year

e Distributions during the year

f Ending balance

	Amount
1c	
1d	
1e	
1f	

2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? ☐ Yes ☐ Nob If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII ☐**Part V Endowment Funds.** Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance				1000.	1000.
b Contributions					
c Net investment earnings, gains, and losses					
d Grants or scholarships					
e Other expenditures for facilities and programs				1000.	
f Administrative expenses					
g End of year balance					1000.

2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

a Board designated or quasi-endowment ☐ %b Permanent endowment ☐ %c Temporarily restricted endowment ☐ %

The percentages on lines 2a, 2b, and 2c should equal 100%.

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

(i) unrelated organizations

(ii) related organizations

	Yes	No
3a(i)		
3a(ii)		
3b		

b If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R? ☐

4 Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings				
c Leasehold improvements		491297.	482434.	8863.
d Equipment		42339.	28158.	14181.
e Other		280718.	261265.	19453.
Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.)				42497.

Schedule D (Form 990) 2017

Part VII Investments - Other Securities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests		
(3) Other		
(A)		
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 12.) ▶		

Part VIII Investments - Program Related.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 13.) ▶		

Part IX Other Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 15.) ▶	

Part X Other Liabilities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶	

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII ☐

Schedule D (Form 990) 2017

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements	1	980867.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:		
a	Net unrealized gains (losses) on investments	2a	
b	Donated services and use of facilities	2b	
c	Recoveries of prior year grants	2c	
d	Other (Describe in Part XIII.)	2d	
e	Add lines 2a through 2d	2e	0.
3	Subtract line 2e from line 1	3	980867.
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1:		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	
b	Other (Describe in Part XIII.)	4b	
c	Add lines 4a and 4b	4c	0.
5	Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12.)	5	980867.

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements	1	1028143.
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:		
a	Donated services and use of facilities	2a	
b	Prior year adjustments	2b	
c	Other losses	2c	
d	Other (Describe in Part XIII.)	2d	
e	Add lines 2a through 2d	2e	0.
3	Subtract line 2e from line 1	3	1028143.
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	
b	Other (Describe in Part XIII.)	4b	
c	Add lines 4a and 4b	4c	0.
5	Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.)	5	1028143.

Part XIII Supplemental Information.

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

Department of the Treasury
Internal Revenue Service

Complete if the organization answered "Yes" on Form 990, Part IV, line 17, 18, or 19, or if the organization entered more than \$15,000 on Form 990-EZ, line 6a.

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

2017

Open to Public Inspection

23-7121169

Part II Fundraising Events. Complete if the organization answered "Yes" on Form 990, Part IV, line 18, or reported more than \$15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than \$5,000.

		(a) Event #1	(b) Event #2	(c) Other events	(d) Total events (add col. (a) through col. (c))
		ANNUAL FUNDRAISER (event type)	ANNUAL PICNIC (event type)	None (total number)	
Revenue	1 Gross receipts	54137.	1381.		55518.
	2 Less: Contributions				
	3 Gross income (line 1 minus line 2)	54137.	1381.		55518.
Direct Expenses	4 Cash prizes				
	5 Noncash prizes	6191.			6191.
	6 Rent/facility costs	8188.			8188.
	7 Food and beverages	4320.			4320.
	8 Entertainment				
	9 Other direct expenses	2215.	1538.		3753.
	10 Direct expense summary. Add lines 4 through 9 in column (d)				22452.
	11 Net income summary. Subtract line 10 from line 3, column (d)				33066.

Part III Gaming. Complete if the organization answered "Yes" on Form 990, Part IV, line 19, or reported more than \$15,000 on Form 990-EZ, line 6a.

		(a) Bingo	(b) Pull tabs/instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (add col. (a) through col. (c))
Revenue	1 Gross revenue	97792.			97792.
	2 Cash prizes	78024.			78024.
Direct Expenses	3 Noncash prizes				
	4 Rent/facility costs				
	5 Other direct expenses	7036.			7036.
	6 Volunteer labor	☒ Yes _____ % ☐ No	☐ Yes _____ % ☐ No	☐ Yes _____ % ☐ No	
	7 Direct expense summary. Add lines 2 through 5 in column (d)				85060.
	8 Net gaming income summary. Subtract line 7 from line 1, column (d)				12732.

9 Enter the state(s) in which the organization conducts gaming activities: **CT**a Is the organization licensed to conduct gaming activities in each of these states? ☒ Yes ☐ No

b If "No," explain: _____

10a Were any of the organization's gaming licenses revoked, suspended, or terminated during the tax year? ☐ Yes ☒ No

b If "Yes," explain: _____

- 11 Does the organization conduct gaming activities with nonmembers? ☐ Yes ☒ No
- 12 Is the organization a grantor, beneficiary or trustee of a trust, or a member of a partnership or other entity formed to administer charitable gaming? ☐ Yes ☒ No
- 13 Indicate the percentage of gaming activity conducted in:
- | | | |
|-------------------------------|-----|---|
| a The organization's facility | 13a | % |
| b An outside facility | 13b | % |
- 14 Enter the name and address of the person who prepares the organization's gaming/special events books and records:

Name ► _____

Address ► _____

- 15a Does the organization have a contract with a third party from whom the organization receives gaming revenue?
- ☐
- Yes
- ☒
- No

b If "Yes," enter the amount of gaming revenue received by the organization ► \$ _____ and the amount of gaming revenue retained by the third party ► \$ _____

c If "Yes," enter name and address of the third party:

Name ► _____

Address ► _____

16 Gaming manager information:

Name ► _____

Gaming manager compensation ► \$ _____

Description of services provided ► _____

☐ Director/officer☐ Employee☐ Independent contractor

17 Mandatory distributions:

a Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license? ☐ Yes ☒ No

b Enter the amount of distributions required under state law to be distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ► \$ _____

Part IV Supplemental Information. Provide the explanations required by Part I, line 2b, columns (iii) and (v); and Part III, lines 9, 9b, 10b, 15b, 15c, 16, and 17b, as applicable. Also provide any additional information. See instructions.

Part IV Supplemental Information *(continued)*

Lined area for supplemental information.

SCHEDULE M
(Form 990)

Noncash Contributions

OMB No. 1545-0047

2017

Open To Public
Inspection

Department of the Treasury
Internal Revenue Service

- ▶ Complete if the organizations answered "Yes" on Form 990, Part IV, lines 29 or 30.
▶ Attach to Form 990.
▶ Go to www.irs.gov/Form990 for the latest information.

Name of the organization

NORWALK SENIOR CENTER, INC

Employer identification number

23-7121169

Part I Types of Property

	(a) Check if applicable	(b) Number of contributions or items contributed	(c) Noncash contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining noncash contribution amounts
1 Art - Works of art				
2 Art - Historical treasures				
3 Art - Fractional interests				
4 Books and publications				
5 Clothing and household goods				
6 Cars and other vehicles				
7 Boats and planes				
8 Intellectual property				
9 Securities - Publicly traded				
10 Securities - Closely held stock				
11 Securities - Partnership, LLC, or trust interests				
12 Securities - Miscellaneous				
13 Qualified conservation contribution - Historic structures				
14 Qualified conservation contribution - Other				
15 Real estate - Residential				
16 Real estate - Commercial				
17 Real estate - Other				
18 Collectibles				
19 Food inventory				
20 Drugs and medical supplies				
21 Taxidermy				
22 Historical artifacts				
23 Scientific specimens				
24 Archeological artifacts				
25 Other ▶ (<u>IN KIND RENT</u>)	X	0	130000	ESTIMATED FAIR MARKE
26 Other ▶ (<u>IN KIND RENT</u>)	X	0	12600	ESTIMATED FAIR MARKE
27 Other ▶ (<u>IN KIND AUTOM</u>)	X	0	1604	ESTIMATED FAIR MARKE
28 Other ▶ ()				

29 Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement

29

30a During the year, did the organization receive by contribution any property reported in Part I, lines 1 through 28, that it must hold for at least three years from the date of the initial contribution, and which isn't required to be used for exempt purposes for the entire holding period?

Yes No

30a		X

b If "Yes," describe the arrangement in Part II.

31 Does the organization have a gift acceptance policy that requires the review of any nonstandard contributions?

31		X
----	--	---

32a Does the organization hire or use third parties or related organizations to solicit, process, or sell noncash contributions?

32a		X
-----	--	---

b If "Yes," describe in Part II.

33 If the organization didn't report an amount in column (c) for a type of property for which column (a) is checked, describe in Part II.

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule M (Form 990) 2017

Supplemental Information. Provide the information required by Part I, lines 30b, 32b, and 33, and whether the organization is reporting in Part I, column (b), the number of contributions, the number of items received, or a combination of both. Also complete this part for any additional information.

SCHEDULE O
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on
Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.

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

OMB No. 1545-0047

2017

Open to Public
Inspection

Name of the organization

NORWALK SENIOR CENTER, INC

Employer identification number

23-7121169

Form 990, Part VI, Section B, line 11b:

A COPY OF THE FORM 990 WAS AVAILABLE TO THE FINANCE COMMITTEE BEFORE IT WAS
FILED.

Form 990, Part VI, Section C, Line 19:

THE CENTER MAKES AVAILABLE PERTINENT FINANCIAL INFORMATION TO THE PUBLIC AT
ITS ANNUAL BOARD OF DIRECTORS MEETING.

Beatrix Lane

From: LeBlanc, Glen <Glen.Leblanc@FairfieldCountyBank.com>
Sent: Wednesday, April 29, 2020 1:14 PM
To: Beatrix Lane
Subject: PPP loan

Your PPP loan has been approved. We will be sending electronic loan documents to sign within approximately 10 days.

Sincerely,

Glen LeBlanc
SVP – Sr Commercial Lender / Team Leader
Fairfield County Bank
Commercial Lending
20 Compo Road South
Westport, CT 06880
Phone: 203-854-7623

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LOUIS J. LACERENZA

CERTIFIED PUBLIC ACCOUNTANT

168 EAST AVENUE • NORWALK, CT 06851 • (203) 855-8567

CONTENTS

	<u>Page</u>
INDEPENDENT AUDITORS' REPORT	2
FINANCIAL STATEMENTS	
Statements of Financial Position	3
Statements of Activities	4-5
Statements of Cash Flows	6
Statements of Functional Expenses	7-8
NOTES TO FINANCIAL STATEMENTS	9



LOUIS J. LACERENZA

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168 EAST AVENUE • NORWALK, CT 06851 • (203) 855-8567

INDEPENDENT AUDITORS' REPORT

To The Board of Directors
Norwalk Senior Center, Inc.
Norwalk, Connecticut

I have audited the accompanying financial statements of Norwalk Senior Center, Inc., (a non-profit organization), which comprise the statements of financial position as of June 30, 2018 and 2017, and the related statements of activities, functional expenses, and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

My responsibility is to express an opinion on these financial statements based on my audits. I conducted my audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that I plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgement, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risks assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, I express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my audit opinion.

Opinion

In my opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Norwalk Senior Center, Inc. as of June 30, 2018 and 2017, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

October 15, 2018



NORWALK SENIOR CENTER, INC.
STATEMENTS OF FINANCIAL POSITION

June 30, 2018 and 2017

	<u>2018</u>	<u>2017</u>
ASSETS		
CURRENT ASSETS		
Cash	\$286,314	\$313,082
Accounts receivable, net – (NOTE A)	15,267	36,873
Grants receivable	16,213	15,163
Notes receivable	29,402	25,603
Other current assets	<u>16,980</u>	<u>21,496</u>
	<u>364,176</u>	<u>412,217</u>
 PROPERTY AND EQUIPMENT – (NOTE A)		
Vehicles	164,422	213,025
Furniture and fixtures	116,296	114,850
Equipment	42,339	36,283
Leasehold improvements	<u>491,297</u>	<u>491,297</u>
	814,354	855,455
Less: Accumulated depreciation and amortization	<u>771,857</u>	<u>805,875</u>
 NET PROPERTY AND EQUIPMENT	<u>42,497</u>	<u>49,580</u>
	<u>\$406,673</u>	<u>\$461,797</u>
LIABILITIES AND NET ASSETS		
CURRENT LIABILITIES		
Accounts payable	\$ 27,654	\$ 28,925
Accrued expenses	33,281	32,625
Deferred revenue and support	<u>42,317</u>	<u>49,550</u>
	<u>103,252</u>	<u>111,100</u>
 NET ASSETS		
Unrestricted	34,727	78,020
Temporarily restricted	<u>268,694</u>	<u>272,677</u>
	<u>303,421</u>	<u>350,697</u>
	<u>\$406,673</u>	<u>\$ 461,797</u>

The accompanying notes are an integral part of these financial statements



LOUIS J. LACERENZA
CERTIFIED PUBLIC ACCOUNTANT

NORWALK SENIOR CENTER, INC.

STATEMENTS OF ACTIVITIES

For the Years Ended June 30, 2018 and 2017

	<u>2018</u>	<u>2017</u>
UNRESTRICTED NET ASSETS		
Public support and revenue		
Contributions (NOTE B)	\$ 69,502	\$135,706
Grants	436,475	436,463
Transportation services	36,286	64,646
Program fees	346,536	410,039
Membership dues	47,400	48,171
Income on investments	46	40
Events – (NOTE E)	55,518	65,281
Rental income	10,500	10,500
Other	<u>7,000</u>	<u>51</u>
	<u>1,009,263</u>	<u>1,170,897</u>
Net assets released from restrictions	83,099	80,769
Expenses		
Program services		
Program and events	272,027	334,259
Outreach services	328,258	343,313
Transportation services	184,903	196,373
Meals on Wheels	196,442	205,792
Supporting services		
Management and general	88,131	81,672
Fund-raising	<u>65,894</u>	<u>70,586</u>
	<u>1,135,655</u>	<u>1,231,995</u>
(DECREASE) INCREASE IN UNRESTRICTED NET ASSETS	<u>(43,293)</u>	<u>19,671</u>
TEMPORARILY RESTRICTED NET ASSETS		
Grants	79,044	88,094
Income from investments	72	224
Net assets released from restrictions	<u>(83,099)</u>	<u>(80,769)</u>
(DECREASE) INCREASE IN TEMPORARILY RESTRICTED NET ASSETS	<u>(3,983)</u>	<u>7,549</u>

The accompanying notes are an integral part of these financial statements



NORWALK SENIOR CENTER, INC.
STATEMENTS OF ACTIVITIES (CONT'D)
For the Years Ended June 30, 2018 and 2017

	<u>2018</u>	<u>2017</u>
(DECREASE) INCREASE IN NET ASSETS	(47,276)	27,220
NET ASSETS, BEGINNING OF YEAR	<u>350,697</u>	<u>323,477</u>
NET ASSETS, END OF YEAR	<u>\$ 303,421</u>	<u>\$ 350,697</u>

The accompanying notes are an integral part of these financial statements



NORWALK SENIOR CENTER, INC.

STATEMENTS OF CASH FLOWS

For the Years Ended June 30, 2018 and 2017

	<u>2018</u>	<u>2017</u>
CASH FLOWS FROM OPERATING ACTIVITIES		
Change in net assets	\$ (47,276)	\$ 27,220
Adjustments to reconcile changes in net assets to net cash (used) provided by operating activities		
In-kind contributions, net	-	-
Depreciation	18,282	23,391
Decrease (increase) in accounts receivable	21,606	(10,821)
(Increase) decrease in grants receivable	(1,050)	766
(Increase) decrease in notes receivable	(3,799)	15,020
Decrease (increase) in other current assets	4,516	(13,063)
(Decrease) in accounts payable and accrued expenses	(815)	(9,446)
(Decrease) increase in deferred revenue and support	(7,233)	<u>36,384</u>
NET CASH (USED) PROVIDED BY OPERATING ACTIVITIES	(15,769)	<u>69,451</u>
CASH FLOWS FROM INVESTING ACTIVITIES		
Purchase of property and equipment	(10,999)	(10,721)
NET CASH USED BY INVESTING ACTIVITIES	(10,999)	(10,721)
(DECREASE) INCREASE IN CASH AND CASH EQUIVALENTS	(26,768)	58,730
CASH AND CASH EQUIVALENTS AT BEGINNING OF YEAR	<u>313,082</u>	<u>254,352</u>
CASH AND CASH EQUIVALENTS AT END OF YEAR	<u>\$ 286,314</u>	<u>\$ 313,082</u>

The accompanying notes are an integral part of these financial statements

NORWALK SENIOR CENTER, INC.
STATEMENT OF FUNCTIONAL EXPENSES
For The Year Ended June 30, 2018

	Programs and Events	Outreach Services	Transportation Services	Meals on Wheels	Total Program Services	Management and General	Fund-raising	Total Operating Expenses 2018
Salaries and wages	\$88,377	\$186,338	\$112,956	\$75,339	\$463,010	\$40,133	\$30,507	\$533,650
Fringe benefits	9,522	9,221	13,242	7,379	39,364	5,974	3,159	48,497
Payroll taxes	6,949	14,406	9,142	6,176	36,673	2,331	2,464	41,468
Total payroll related costs	104,848	209,965	135,340	88,894	539,047	48,438	36,130	623,615
Advertising	349	-	-	-	349	96	-	445
Bad debt expense	-	-	-	3,494	3,494	-	-	3,494
Dues and subscriptions	-	-	-	175	175	2,364	50	2,589
Fuel	-	443	10,750	61	11,254	-	-	11,254
Instructor fees	25,805	4,160	-	-	29,965	-	-	29,965
Insurance	5,213	9,070	12,642	3,924	30,849	1,389	1,782	34,020
Miscellaneous	2,944	950	3,043	805	7,742	1,537	247	9,526
Office	-	-	-	558	558	5,221	-	5,779
Payroll services	636	940	1,251	1,142	3,969	228	343	4,540
Postage and printing	606	253	8	8	875	3,016	99	3,990
Professional fees	750	-	-	-	750	8,300	159	9,209
Program expense	124,444	97,139	5,778	94,673	322,034	961	25,051	348,046
Repairs and maintenance	587	2,180	6,137	480	9,384	11,144	144	20,672
Telephone	1,973	1,170	812	400	4,355	394	-	4,749
Travel and entertainment	-	160	-	-	160	3,173	61	3,394
Volunteer expense	2,044	-	-	-	2,044	42	-	2,086
	270,199	326,430	175,761	194,614	967,004	86,303	64,066	1,117,373
Depreciation	1,828	1,828	9,142	1,828	14,626	1,828	1,828	18,282
Total operating expenses	\$272,027	\$328,258	\$184,903	\$196,442	\$981,630	\$88,131	\$65,894	\$1,135,655

The accompanying notes are an integral part of these financial statements

NORWALK SENIOR CENTER, INC.
STATEMENT OF FUNCTIONAL EXPENSES
For The Year Ended June 30, 2017

	Programs and Events	Outreach Services	Transportation Services	Meals on Wheels	Total Program Services	Management and General	Fund-raising	Total Operating Expenses 2017
Salaries and wages	\$85,315	\$188,239	\$114,110	\$75,989	\$463,653	\$27,720	\$30,788	\$522,161
Fringe benefits	10,563	9,950	13,444	7,773	41,730	3,774	3,323	48,827
Payroll taxes	6,838	14,530	9,030	6,051	36,449	2,798	2,413	41,660
Total payroll related costs	102,716	212,719	136,584	89,813	541,832	34,292	36,524	612,648
Advertising	250	-	-	427	677	239	-	916
Bad debt expense	-	-	-	3,811	3,811	-	-	3,811
Dues and subscriptions	110	-	-	175	285	1,370	83	1,738
Fuel	-	3,514	12,721	485	16,720	-	-	16,720
Instructor fees	24,895	5,670	-	-	30,565	-	-	30,565
Insurance	6,484	10,361	13,026	4,651	34,522	3,005	1,481	39,008
Miscellaneous	3,507	987	1,264	700	6,458	2,403	205	9,066
Office	621	452	308	1,228	2,609	5,691	314	8,614
Payroll services	639	692	612	554	2,497	113	168	2,778
Postage and printing	655	959	328	288	2,230	4,959	121	7,310
Professional fees	1,538	1,309	1,089	990	4,926	14,377	592	19,895
Program expense	182,457	99,364	2,215	98,344	382,380	2,270	28,264	412,914
Repairs and maintenance	3,665	3,316	14,903	918	22,802	6,865	263	29,930
Telephone	1,174	1,415	1,610	1,069	5,268	1,283	179	6,730
Travel and entertainment	-	216	17	-	233	2,346	53	2,632
Volunteer expense	3,209	-	-	-	3,209	120	-	3,329
	331,920	340,974	184,677	203,453	1,061,024	79,333	68,247	1,208,604
Depreciation	2,339	2,339	11,696	2,339	18,713	2,339	2,339	23,391
Total operating expenses	\$334,259	\$343,313	\$196,373	\$205,792	\$1,079,737	\$81,672	\$70,586	\$1,231,995

The accompanying notes are an integral part of these financial statements

NORWALK SENIOR CENTER, INC.
NOTES TO FINANCIAL STATEMENTS

June 30, 2018 and 2017

NOTE A – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Nature of Activities

Norwalk Senior Center, Inc., ("the Center") is a community-based, not-for-profit corporation that operates diverse programs for senior citizens, providing social and heightened wellness services and stimulating independence for residents age sixty and older from Norwalk and the surrounding communities. The Center provides services and activities at a primary and satellite facility. The Center also provides well balanced, home-delivered meals to residents of Norwalk, regardless of age, who are considered homebound or unable to prepare meals due to short or long term physical and/or psychological limitations.

Basis of Accounting

The financial statements have been prepared on the accrual basis of accounting in accordance with generally accepted accounting principles in the United States of America.

Income Tax Status

The Organization is a not-for-profit organization that is exempt from income taxes under Section 501(c)(3) of the Internal Revenue Code and classified by the Internal Revenue Service as other than a private foundation.

Functional Allocation of Expenses

The Center allocates its expenses on a functional basis among its programs and support services. Expenses that can be specifically identified with a program or support service are charged directly to their natural expense classification. Expenses that are common to several functions are allocated based on time studies and estimates made by management.

Cash and Cash Equivalents

All highly liquid debt instruments with a maturity of three months or less are considered cash equivalents.



NORWALK SENIOR CENTER, INC.

NOTES TO FINANCIAL STATEMENTS

June 30, 2018 and 2017

NOTE A – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONT'D)

Property and Equipment

Property and equipment are recorded at cost, or if donated, at the estimated fair value at the date of donation. Assets are depreciated over useful lives ranging from five to ten years. Depreciation expense is recorded using the straight-line method.

Estimates

The preparation of financial statements in conformity with generally accepted accounting principles in the United States of America requires the use of management's estimates. Actual results could differ from those estimates.

Accounts Receivable

Accounts receivable are stated at the amount management expects to collect from outstanding balances. Management provides for probable uncollectible amounts through a provision for bad debt expense and an adjustment to a valuation allowance based on its assessment of the current status of individual accounts. Balances that are still outstanding after management has used reasonable collection efforts are written off through a charge to the valuation allowance and a credit to accounts receivable. The allowance for doubtful accounts at June 30, 2018 and 2017 was \$ 1,000.

Concentrations of Credit Risk

The Center received grants from the City of Norwalk in the amounts of \$ 377,000 and \$ 365,650 for the fiscal years ended Jun 30, 2018 and 2017, respectively. This funding represents a significant portion of the Center's income used for various programs.

Financial instruments which potentially subject the Center to concentrations of credit risk consist of cash deposits. At June 30, 2018 and 2017, the Center had approximately \$36,048 and \$69,572 in excess of FDIC insured limits.

Compensated Absences

It is the Center's policy to accrue sick time pay for employees based upon the fiscal year. Accrued sick time as of June 30 have been reflected in accrued expenses in the accompanying financial statements.



NORWALK SENIOR CENTER, INC.
NOTES TO FINANCIAL STATEMENTS

June 30, 2018 and 2017

NOTE B – DONATED MATERIALS, SERVICES, AND USE OF SPACE

Many volunteers have made significant contributions of their time to the Organization's activities. These contributions of time are not reflected in the financial statements. If an estimate of the cost of such services was made and included in the financial statements, on the basis that the Organization would have to purchase these services if time were not volunteered, equal off-setting amounts would be recorded as support income and payroll expense.

The Center leases a portion of a building for its primary facilities from the City of Norwalk. The terms of the lease, as amended, is fifteen years and expires on June 30, 2026. The lease calls for rent of one dollar (\$1.00) per year plus certain other costs incurred for the maintenance of the premises.

The Center leases a satellite facility from Cedar Court Senior Housing, LLC. The term of the lease is for twenty-four months (24) commencing on January 1, 2018 and expiring December 31, 2019. The Center shall pay a base rent of one dollar (\$1.00) per year. In addition to the base rent, the Center will pay \$648 per month toward utilities.

	Primary Facility <u>Allen Road</u>	Satellite <u>Cedar Street</u>	<u>Total</u>
<u>2018</u>			
Contributions In Kind Rent Expense	\$ 130,000	\$ 12,600	\$ 142,600
Rent Expense	(130,000)	(12,600)	(142,600)
Net	\$ <u>—</u>	\$ <u>—</u>	\$ <u>—</u>
Automobile Repairs			\$ <u>1,604</u>
<u>2017</u>			
Contributions In Kind Rent Expense	\$ 130,000	\$ 12,600	\$ 142,600
Rent Expense	(130,000)	(12,600)	(142,600)
Net	\$ <u>—</u>	\$ <u>—</u>	\$ <u>—</u>
Legal Fees			\$ <u>13,374</u>



NORWALK SENIOR CENTER, INC.

NOTES TO FINANCIAL STATEMENTS

June 30, 2018 and 2017

NOTE C – PENSION PLAN

The Center established a tax deferred annuity plan under section 403 (b) of the Internal Revenue Code effective July 1, 1994. Eligible employees may defer a portion of their salary not to exceed limits set by the Internal Revenue Code. The Organization is allowed to make matching contributions at a rate determined annually by the Board of Directors. Employer contributions for the years ended June 30, 2018 and 2017 totaled \$ 13,044 and \$ 11,910, respectively.

NOTE D – OPERATING LEASE COMMITMENTS

The Center entered into a five-year operating lease agreement on December, 2015 for a postage machine, quarterly payments are \$ 247 and the postage expense for the years ended June 30, 2018 and 2017 was \$ 1,014 and \$ 1,108, respectively.

The Center entered into a sixty month operating lease agreement on August 2017 for its office copy machine. Monthly payments are \$ 245 plus supplies. Equipment rental expense for the years ended June 30, 2018 and 2017 was \$ 3,545 and \$ 2,816.

NOTE E – FUND RAISING EVENTS REVENUES AND EXPENSES

2018

	<u>Dreams of Gold Fundraiser Spring 2018 Gala</u>	<u>Annual Picnic</u>	<u>Total</u>
Revenue	\$ 54,137	\$ 1,381	\$ 55,518
Expenses	<u>20,914</u>	<u>1,538</u>	<u>22,452</u>
Net	\$ <u>33,223</u>	\$ (<u>157</u>)	\$ <u>33,066</u>

2017

	<u>Fundraiser Spring 2017 Gala</u>	<u>Annual Picnic</u>	<u>Retirement Expo</u>	<u>Total</u>
Revenue	\$ 62,415	\$ 2,164	\$ 702	\$ 65,281
Expenses	<u>25,733</u>	<u>735</u>	<u>50</u>	<u>26,518</u>
Net	\$ <u>36,682</u>	\$ <u>1,429</u>	\$ <u>652</u>	\$ <u>38,763</u>



LOUIS J. LACERENZA
CERTIFIED PUBLIC ACCOUNTANT

NORWALK SENIOR CENTER, INC.
NOTES TO FINANCIAL STATEMENTS

June 30, 2018 and 2017

NOTE F – SUBSEQUENT EVENTS

The Organization evaluated subsequent events through October 15, 2018, the date on which the financial statements were available for issue. There were no material matters that needed to be disclosed.

PERSON-TO-PERSON

**NORWALK REDEVELOPMENT AGENCY obo CITY OF NORWALK
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG-CV) PROGRAM
APPLICATION FORM FOR CDBG-CV FUNDS**

Applicant Agency/Organization Name: Person-to-Person, Inc. (P2P)

President/CEO/Executive Director's Contact Information: Nancy Coughlin

Type of Organization: Human Service

Applicant Mailing Address: 1864 Post Rd.
Darien, CT 06820

Project Location Address: 76 South Main St.
Norwalk, CT 06854

Age of Building (Public Facility/Housing Applications Only):

Contact Person (designated contact person for the project/proposal):

Name: Nancy Coughlin

Title: CEO

Phone #: (203) 621-0680

Email Address: NancyCoughlin@p2phelps.org

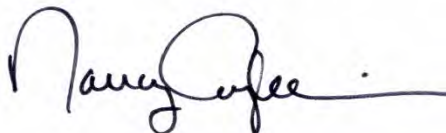
Proposed Project/Activity Name: Door2Door, Norwalk

Brief Description of the Proposed Project/Activity:

Person-to-Person has implemented a new home delivery system, called Door2Door, for those unable to leave their homes during the COVID-19 crisis. The program was created in response to a very large increase in demand for food assistance, and to ensure that at-risk clients receive the essentials they need to survive during the pandemic.

Using a contactless system of delivery, a driver drops off bags of groceries at the doorstep of P2P clients who are not able to make an in-person visit to one of their three food pantries, whether due to age, disability, or other high-risk category. P2P has food pantry locations in Norwalk, Darien, and Stamford, and had seen a sharp increase in the need for food assistance at all three of their locations since the shutdown began on or about March 15th.

I certify that all information provided is correct to the best of my knowledge.



Name, Title & Signature: Nancy Coughlin, CEO

Date May 20, 2020

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

PART 1. GENERAL INFORMATION

ORGANIZATION

Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

For over 50 years, Person-to-Person (P2P) has been providing essential services to the Stamford/Norwalk corridor. With sites in Norwalk, Darien and Stamford, the agency served approximately 25,000 low- and very low- income individuals in 2019, providing food, casework support, and emergency financial assistance, as well as summer camperships and college and vocational scholarships. P2P has received CDBG funds in both Norwalk and Stamford in past years to support programs providing financial assistance for low-income families to meet rent and security deposit obligations and assist with utilities payments and arrears. Finally, the agency has received support from the State of Connecticut to ensure low income families remain stably housed.

P2P has experienced serious and substantial increases in demand since mid-March, when the public health measures taken to prevent the spread of COVID-19 began to be implemented. Demand for food support has increased 50% and emergency financial assistance is at 300% over typical levels. Service levels continue to increase significantly across all agency sites, as individuals and families with few to no financial buffers suffer job losses and school closures.

2. Identify the “core” programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated.

P2P was founded as a human services organization to respond to the needs of the community for basic resources: food, clothing, emergency financial assistance. In terms of both budget and hours spent, the Emergency Assistance Program, comprised of food assistance, a clothing center and emergency financial assistance, is the agency’s “core” program. In addition to the Emergency Assistance Program, and intertwined with its goals, P2P helps address systemic opportunity gaps in the region through both a summer Campership Program and a College Scholarship program, helping low- and very low- income students afford programs they would otherwise not be able to attend.

1. Check “YES” or “NO” to the following questions.

- | | | | |
|----|--|--------------|-----------------------------|
| A. | Does your organization have a Board of Directors? | X YES | ☐ NO |
| B. | Is your organization exempt under IRS Code 501(c) (3)? (If yes, provide documentation*) | X YES | ☐ NO |
| C. | Are your organization’s services available to Norwalk residents? | X YES | ☐ NO |
| D. | Does your organization have an EEO Policy? (Include a copy*) | X YES | ☐ NO |
| E. | If a housing provider, does your organization have a written Fair Housing Policy including accessibility (504) requirements? (Include a copy*) | N/A | |
| F. | Does your organization have a written Procurement Policy? (Include a copy*) | X YES | ☐ NO |

- G. Is your organization considered a Faith-Based Organization? **X NO**
- H. Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal*
- I. Include a copy of your written Policy on Record Keeping*
- J. Include a copy of your most current audited Financial Statements

****Please note that requested documentation (from above) must be submitted to the Norwalk Redevelopment Office only if you are a new applicant or if there have been any changes to a previously filed documentation.***

PART 2. PROPOSED PROJECT/ACTIVITY

GENERAL DESCRIPTION

1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of preventing, preparing for and/or responding to the COVID-19 outbreak. Omission of requested information may be a cause to reject application.

SEE ATTACHED DECIPTION OF P2P's "DOOR2DOOR" FOOD ASSISTANCE BY HOME DELIVERY PROGRAM.

2. Check the box that best describes the proposed project/activity.

- ☐ **X Public service activity**
☐ Rehabilitation activity
☐ New construction activity
☐ Real property acquisition activity (i.e. land/building).
☐ Other (explain) _____

3. Check the box that applies to the proposed project/activity.

- ☐ New "core" program
☐ **X Expansion of existing "core" program**
☐ Support of existing "core" program (with no expansion)
☐ New "support" program
☐ Expansion of existing "support" program
☐ Existing "support" program (with no expansion)
☐ Other (explain) _____

4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose? Please note that P2P in Darien sits on church property, but the Norwalk Pantry that this application is for, does not. The Norwalk Pantry is in a leased facility on Main Street in Norwalk.

☐ YES **X NO**

5. How many persons or families (unduplicated #s) will the proposed project/activity serve? Indicate one as follows:

_____ Week
800 Month
families
_____ Year

6. How many persons or families (unduplicated #s) in Question 7, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)? # _____ Week
800 Month
families
— Year

7. How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG-CV income guidelines on Page 2 of this application)? # _____ Week
800 Month
families
_____ Year

*** Failure to answer Questions 6 – 9 may disqualify application.**

8. What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? X Name
X Address
Check more than one box, if necessary. Note that the X Income
organization must be able to prove the income eligibility of Other
beneficiaries.

9. Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation with the application evidencing the below qualification. Examples: Client In-take forms (no names), proposed rents, etc.

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

Area Benefit. Activity meets needs of LMI persons residing in an area where at least 51% of the residents are LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood.

Documentation Attached: ☐

Limited Client Benefit. Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the subcategories, check the applicable number.

Documentation Attached:

TEFAP Forms Required of Clients

- (1) **Project/activity maintains client records on income and family size records documenting that such persons qualify as LMI.**
- (2) Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons.
- (3) Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons.
- (4) Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.)

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? X yes _____no
If yes, please explain:

Since the crisis began, P2P has received both solicited and unsolicited funding to help the agency fund its response to COVID-19, particularly in terms of food relief and emergency financial assistance provided to clients.

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? X yes _____no.
If yes, please explain below and include any letter(s) of commitment for ongoing funds or approved funds from other source(s) to assist with the proposed project that you are requesting.

If yes, what funding source?	Amount Requested	Amount Approved	Amount Pending	Amount Denied
Mayor of the City of Norwalk		\$2,500		

If the grant is approved, P2P intends to use individual donations through its online and other fundraising efforts as well as internal funds to cover the remaining Door2Door expenses. The Mayor of the City of Norwalk provided \$2,500, which P2P agreed to match, to launch the Door2Door program. Funds were used to hire a part time staff person to manage the Door2Door program, including volunteer recruitment and training, client scheduling and coordination, delivery logistics and overall quality assurance. P2P is committed to the growth of this vital program and will continue to secure funding to support its success.

2. What is the total cost of the proposed project? Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor and/or architect/engineer estimate.

DOOR2DOOR BUDGET (50 weeks)

PT Home Delivery Staff Member, inc. benefits	\$ 25,000		
Manager of Volunteers & Community Relations (10% tin	\$ 10,000		
Norwalk Food Cost (200 families per wk, avg 3 members	\$ 125,000	50 weeks	
Supplies	\$ 10,000	bags, lables, carts, et	
overhead 15%	\$ 15,000	(Norwalk Overhead :	
Total	\$ 185,000		
	\$ 61,667	33%	

Program budget above. Agency budget attached.

3. Describe your organization's fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

P2P has strong fiscal management and has a Platinum-level Guidestar rating. The agency has had an unqualified audit by the firm of Marks Paneth for the past three years and in addition to tight controls at the staff level has a Board of Directors with strong financial backgrounds, including risk management. P2P's Chief Operating Officer has a background in banking and is responsible for overseeing deposits, accounts payables and budgeting. The agency uses Quickbooks accounting software and reports monthly to a Finance Committee of the Board of Directors on the financial health of the organization. Invoices are reviewed and processed by the Chief Operating Officer and payments made by the Chief Executive Officer. The agency regularly reviews its financial policies both internally and with its auditors and remains current on best practices in accounting and financial management.

4. Attach an explanation on how the proposed project will affect your administrative budget (example: additional personnel, maintenance, office space, etc.) Include an explanation on long-term plans for funding/sustaining the proposed project.

The proposed budget includes 50% of an additional staff member's time to help manage the program. This staff person was hired with a small grant from the Mayor of the City of Norwalk, and will continue in his capacity of Door2Door Program Manager for the foreseeable future, as needed to respond to the COVID-19 pandemic crisis. Other costs are primarily specific to the program and the Norwalk Pantry operations, including the cost of food and supplies. The program utilizes volunteers for much of the driving, keeping costs low and sustainable. The service is planned for 50 weeks, to meet community needs arising from the economic repercussions of the COVID-19 crisis and Stay Home orders.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish).

The service is underway in pilot form. It is anticipated that it will run for 50 weeks, at which point the need will be reevaluated, in particular with regard to quarantine orders and community health requirements.

PART 4. ORGANIZATIONAL EFFICIENCY

1. How many staff members will be directly associated with the proposed project?

	Professional	Support	Volunteer
Full-Time Staff	1		
Part-Time Staff	1		50 - 75

Include a list of those involved in completing the project. The list must include: each person's name and a brief summary of job duties in relation to the proposed project.

Juri Garone, Director of Volunteers and Community Relations: Juri oversees the volunteer program of P2P, including recruiting and scheduling volunteers to provide home delivery via the Door2Door program.

Gianluca Canessa, Door2Door Program Manager: Gianluca oversees the day-to-day operations of the Door2Door program, including training and coordinating volunteers, client communications, food packaging and preparation, and overall quality assurance.

Volunteer food packers and drivers: Approximately 10 – 15 volunteers per day, five days per week, will pack groceries, prepare the bags for delivery, and deliver groceries to the homes of those affected by COVID-19 and unable to travel to the Norwalk food pantry for food assistance. Volunteers vary by day.

2. If your organization has an elected or appointed board, complete the questions below.

NAME OF BOARD/COMMITTEE: Person-to-Person, Inc. Board of Directors

List the names of the individuals on the board and the position they may hold on the board.

Board list attached.

- a. Number of voting board members as of January 1, 2020 20 Vacancies? None
- b. How many board members reside within the City of Norwalk? none
- c. How are the board members chosen?

Agency By-laws call for a standing Governance Committee, which meets regularly throughout the year to review qualified candidates for the Board of Directors. Candidates submit answers to a questionnaire, are interviewed by members of the Governance Committee, and are presented to the full Board of Directors for approval before being also approved by the Vestry of St. Luke's Parish, Darien. Upon approval by the Board of Directors, new Members sign a Conflict of Interest Disclosure form.

- d. Does your organization provide any board training and/or orientation? Xyes no
If so, how often is training provided? Annually
- e. How long is a term? 2 years How many consecutive terms may be served? 3

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. Has the organization attempted to coordinate the project with other agencies to avoid duplication of services? X yes no If yes, please explain.

In Norwalk, the Senior Services Coordinating Council, Inc. is actively involved in making daily deliveries from P2P's Norwalk food pantry to Norwalk seniors. P2P is a critical partner with the City of Norwalk, Commissioner of Social Services Lamond Daniels, and The Alliance (formerly ABCD) to coordinate home delivery services for those affected by COVID-19. The Mayor of the City of Norwalk similarly has worked to assist with food deliveries to residents in need and the First Congregational Church of Norwalk, a long-time partner of P2P, was instrumental in launching this program.

2. Identify other agencies in Norwalk (including non-profit and government) that provide services similar to your proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies?

For food assistance, Open Door, Homes with Hope, New Life Church, the Norwalk Senior Center, the Salvation Army, St. Philip's Church, the Norwalk Senior Services Coordinating Council and the Norwalk Public Schools all help provide food to people in Norwalk who need it. Open Doors is a homeless shelter whose food program is designed to provide congregate meals primarily to its residents. Similarly, the Norwalk Public Schools meals program provides prepared meals to support Norwalk's children and senior meals programs do the same for the senior population. In contrast, P2P provides groceries to ensure families and individuals have access to a nutritionally-balanced diet for three meals per day for each member of a family for seven days per week. P2P is the only agency providing groceries that is open every weekday , and the proposed home delivery program would be the most extensive delivery program in the city.

3. Identify other agencies in Norwalk that provide services directed toward the same target beneficiaries of your proposed project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?

P2P has a strong history of collaboration. P2P's skilled caseworkers evaluate client needs and make referrals where appropriate to providers of mental health, domestic violence, parenting support and homelessness services, including the Human Services Council, DVCC, Community Health Centers, CIRI and Child Guidance, among others. The Alliance (formerly ABCD) provides financial assistance for utilities and rent, and has a history of collaborating with P2P to fully meet the needs of its clients. Operation Fuel is a provider of utility assistance. P2P participates in collective impact groups such as Norwalk Acts, Food, Fuel and Shelter, and the Department of Health Food Access Group.

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants:

ORGANIZATION NAME: **Person-to-Person, Inc.**

Organization is:

1. Corporation ()
- 2. Non-Profit 501(c)(3) yes**
3. Partnership ()
4. Sole Owner ()
5. Association ()
6. Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the above-mentioned organization or project proposed. NONE

Name, Job Title and Norwalk Redevelopment Agency Department

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a potential "financial interest" in the organization or project. NONE

Name/Title

NOTE: If the applicant has provided names in question 1 or 2, please provide details regarding any known potential conflicts of interest in an attached narrative.

Door2Door: Responding to the COVID-19 Outbreak

The COVID-19 pandemic and the economic fallout created by the need to “stay home, stay safe” has had a disproportionate effect on residents of Fairfield County. At the epicenter of Connecticut’s infections and with half of the State’s undocumented population, Fairfield County is experiencing high rates of infections, hospitalizations and deaths. Record numbers of people are seeking assistance from food pantries, including Person-to-Person, which is experiencing demand in excess of 50% since February. To serve those in need of food who cannot or should not leave their homes, Person-to-Person has implemented a new home delivery system, called Door2Door. The program was created in response to a very large increase in demand for food assistance, and to ensure that at-risk clients receive the essentials they need to survive during the pandemic.

Door2Door uses a contactless system of delivery. Volunteer drivers drop off pre-packed bags of nutritious groceries at the doorsteps of P2P clients who are not able to make an in-person visit to one of their three food pantries, whether due to age, disability, or other high-risk category. P2P is coordinating with the City of Norwalk, the Norwalk Health Department and the Norwalk Senior Center to identify at risk residents in need of food assistance and home delivery. Delivery days and times are arranged in advance with clients, who are notified the day of the delivery to ensure they are able to receive the groceries. P2P hired a part-time coordinator to train and supervise volunteer drivers and grocery packers, create delivery routes, manage client communications, track data appropriately and provide overall program management and quality assurance. With additional staff hours, the program can be expanded to include up to 80 home deliveries daily, allowing more vulnerable Norwalk residents to “stay home, stay safe,” and eliminating the need for anyone to choose between their personal safety and receiving critical food assistance.

Agency-wide, P2P has seen a sharp increase in the need for food assistance since the shutdown began on or about March 15th. As the chart below reflects, in Norwalk alone P2P is serving an average 224 low- and very low- income families each week. In the month of April, 2020, the agency served 886 unique families in the Norwalk pantry, up from 743 in the prior year.

Weekly Food Numbers 2020 vs. 2019 - Norwalk

Week Starting	TOTAL UNIQUE FAMILIES '20	TOTAL UNIQUE FAMILIES '19	% CHANGE YEAR OVER YEAR	% CHANGE vs 2019 AVG
1/5/2020	236	209	12.9%	34.3%
1/12/2020	210	203	3.4%	19.5%
1/19/2020	167	168	-0.6%	-5.0%
1/26/2020	138	121	14.0%	-21.5%
2/2/2020	220	202	8.9%	25.2%
2/9/2020	192	166	15.7%	9.2%
2/16/2020	189	195	-3.1%	7.5%
2/23/2020	179	197	-9.1%	1.8%
3/1/2020	160	152	5.3%	-9.0%
3/8/2020	216	195	10.8%	22.9%
3/15/2020	173	185	-6.5%	-1.6%
3/22/2020	242	204	18.6%	37.7%
3/29/2020	222	108	105.6%	26.3%
4/5/2020	178	202	-11.9%	1.3%
4/12/2020	250	141	77.3%	42.2%
4/19/2020	275	220	25.0%	56.5%
4/26/2020	217	158	37.3%	23.5%
5/3/2020	231	188	22.9%	31.4%
Avg from 3/15	224	176	27.2%	
YTD	1,638	1,201	36.4%	

P2P Board members Kim Dickinson and Jackie Leonard worked with Juri Garone, P2P's Manager of Volunteers and Community Relations, to develop the Door2Door program, which involves the daily coordination of drivers and clients. "You can hear the relief in client's voices when we offer them the option for home delivery of their food order. They are very appreciative and thankful for our recognition that it is safer for them to stay home during this Covid-19 crisis," explains Leonard. Working with community partners has been critical in ensuring that seniors in need are identified. In Norwalk, the Senior Services Coordinating Council, Inc. is actively involved in making daily deliveries from P2P's Norwalk food pantry to Norwalk seniors and the First Congregational Church of Norwalk, a long-time partner of P2P, was instrumental in launching this program.

P2P is requesting CDBG-CV funding from the Norwalk Redevelopment Agency for P2P's Door2Door program to enable the program to expand to meet the need in the community. Currently, 83 households per week in Norwalk are receiving Door2Door services. With additional staff and funding for food expense, Door2Door would be able to serve an anticipated

40 households per day, dramatically increasing capacity and helping fight the serious food insecurity that this pandemic has brought for many of our most vulnerable neighbors. With a total 50-week Door2Door budget of \$185,000, the proposed funding of \$61,667 would cover one-third of program expenses. P2P's intent is to fund approximately one-third internally through general fundraising efforts and one-third through corporate and foundation donors targeted to this Norwalk home delivery program.

**Person-to-Person
Board of Directors
2019-2020**

Officers/Executive Committee

President	Victoria de Toledo, Casper & de Toledo Pound Ridge, NY 10576
Vice- President	Mike Riccardi, Tudor Investments Darien CT 06820
Treasurer	Chris Whitney, Lakeside Capital Darien, CT 06820
Secretary	Pam Dysenchuck, Formerly Darien Foundation Darien, CT 06820
Asst. Secretary	Clare Kretzman, Community Volunteer Darien, CT 06820

Board Members

Sheryl Battles, Pitney Bowes
Stamford, CT 06903

Steven Chin, ABB
Westport, CT 06880

Kim Dickinson, Community Volunteer
Stamford, CT 06902

Jen Forlizzi, OPUS Liaison
Darien, CT 06820

Allison Gagliardi, Troy Insurance
Stamford, CT 06902

Caroline Gillespie Greer, Commonfund
Stamford, CT 06907

Amy Gold, Volunteer
Darien, CT 06820

Michael Hyman, DOMUS – Chester Addison
Stamford CT 06902

Jackie Leonard, Community Volunteer
Darien, CT 06820

Liz Mackie, Community Volunteer
Darien, CT 06820

Tina Madon, Consultant
Darien, CT 06820

Katherine Michele, Community Volunteer
Darien, CT 06820

Valerie McNeil, Administrator, Real Estate, Former Board of Reps.
Stamford Stamford, CT 06907

Virgil Williams, Custom Sign Solutions
Stamford, CT 06905

Betsy Wilson, Commonfund
Darien, CT 06820

6/30/2021 Projected***Expense****5000* · Program Expense****5001 · Emergency Assistance****5010 · Grants-Other Programs** 780,000**5015 · Loan Conversions** 0**5050 · Food Programs** 360,000**5051 · Program Supplies** 30,000**Total 5001 · Emergency Assistance** 1,170,000**5011 · Scholarship Grants** 307,000**5012 · Campership - Elementary School** 220,000**Total 5000* · Program Expense** 1,697,000.00**5100 · Compensation****5110 · Payroll & Benefits****5111 · Salary** 1,763,000**5112 · Payroll Taxes** 150,000**5113 · Benefits** 250,000**Total 5110 · Payroll & Benefits** 2,163,000**5117 · Consulting****5118 · Staff Consultants** 15,000**Total 5117 · Consulting** 15,000**Total 5100 · Compensation** 2,178,000**5300 · Other Expense****5301 · Payroll Expenses** 4,300**5305 · Credit Card/Online Donation Fee** 40,000**5312 · Postage** 20,000**5315 · Office Expenses** 33,000**5317 Insurance** 35,000**5320 · Equipment Maint & Support** 65,000**5324 · Marketing** 65,000**5330 · Cleaning** 25,000**5335 · Repair/Maintenance** 10,000**5340 · Occupancy****5341 · Rent** 167,000**5342 · Utilities & Services** 50,000**5345 · Telephone & Internet** 25,000**Total 5340 · Occupancy** 242,000**5350 · Vehicle Expense** 32,000**5355 · Volunteers** 5,000**5360 · Fundraising Expenses** 14,000**5365 · Meeting Expense** 5,000**5370 · Computer Supplies & Software** 3200**5375 · Education/Training** 6,000**5376 · Consulting** 1,500**5380 · Audit** 19,200**5385 · Miscellaneous** 5,000

5390 · Depreciation Expense	167,000
5391 · Amortization Expense	5,000
Total 5300 · Other Expense	802,200
Total Expense (not including In-Kind)	4,677,200
In-Kind Expense	\$ 10,300,000
TOTAL EXPENSE (Cash + "In Kind")	\$ 14,977,200.00

* Please note P2P converted to 6/30 FYE from 12/31 as of 6/30/20.



PERSON-TO-PERSON

Helping Others, One Person at a Time.

**PERSON-TO-PERSON, INC.
FINANCIAL STATEMENTS
(TOGETHER WITH INDEPENDENT AUDITORS' REPORT
AND SUPPLEMENTARY INFORMATION)**

**FOR THE YEARS ENDED
DECEMBER 31, 2019 AND 2018**

M A R K S P A N E T H

ACCOUNTANTS & ADVISORS

PERSON-TO-PERSON, INC.
FINANCIAL STATEMENTS
(TOGETHER WITH INDEPENDENT AUDITORS' REPORT)
AND SUPPLEMENTARY INFORMATION)
FOR THE YEARS ENDED DECEMBER 31, 2019 AND 2018

TABLE OF CONTENTS

	<u>PAGE</u>
Independent Auditors' Report.....	1-2
Statements of Financial Position.....	3
Statements of Activities and Change in Net Assets.....	4-5
Statements of Functional Expenses.....	6-7
Statements of Cash Flows.....	8
Notes to Financial Statements.....	9-19
 SUPPLEMENTARY INFORMATION	
Graphical Information.....	21-24

INDEPENDENT AUDITORS' REPORT

To the Board of Directors of
Person-to-Person, Inc.

We have audited the accompanying financial statements of Person-to-Person, Inc. (a not-for-profit organization, the "Organization"), which comprise the statements of financial position as of December 31, 2019 and 2018, and the related statements of activities and change in net assets, functional expenses, and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Person-to-Person, Inc. as of December 31, 2019 and 2018, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Related Party Support

As explained in Note 11 of the financial statements, Person-to-Person, Inc. is a separate not-for-profit organization founded by Saint Luke's Episcopal Church of Darien, Connecticut ("St. Luke's"). St. Luke's and Person-to-Person, Inc. are related parties under common control and share economic resources. Our opinion is not modified with respect to this matter.

Report on Supplementary Information

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The Supplementary Information on pages 21-24 is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audits of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Marks Peneth W

Purchase, New York
[REDACTED] 2020

DRAFT
For Discussion Purposes Only

PERSON-TO-PERSON, INC.
STATEMENTS OF FINANCIAL POSITION
DECEMBER 31, 2019 AND 2018

ASSETS

	<u>2019</u>	<u>2018</u>
Current Assets		
Cash and cash equivalents	\$ 1,256,261	\$ 1,716,629
Loans receivable from clients	-	575
Government grants receivable	29,333	24,257
Contributions receivable, current portion	119,175	51,665
Inventory	153,970	171,210
Prepaid expenses and other receivables	<u>50,536</u>	<u>83,954</u>
Total Current Assets	1,609,275	2,048,290
Property and Equipment, net	808,246	900,853
Security deposit	10,587	10,587
Contributions receivable, net of current portion and discount of \$3,795 in 2019 and \$6,393 in 2018	21,205	43,607
Investments - Operating Reserve Fund	8,542	-
Investments - Janet Evans Endowment Fund	<u>3,542,479</u>	<u>3,114,001</u>
TOTAL ASSETS	<u>\$ 6,000,334</u>	<u>\$ 6,117,338</u>

LIABILITIES AND NET ASSETS

Current Liabilities		
Accounts payable and accrued expenses	\$ 75,497	\$ 87,845
Agency liabilities	<u>28,684</u>	<u>13,984</u>
Total Current Liabilities	<u>104,181</u>	<u>101,829</u>
Net Assets		
Without donor restrictions:		
Available for operations	33,856	646,533
Board-designated - Operating reserve	560,617	-
Board-designated - Endowment fund	241,578	203,181
Net investment in property and equipment	<u>808,246</u>	<u>900,853</u>
Total without donor restrictions	1,644,297	1,750,567
With donor restrictions	<u>4,251,856</u>	<u>4,264,942</u>
TOTAL NET ASSETS	<u>5,896,153</u>	<u>6,015,509</u>
TOTAL LIABILITIES AND NET ASSETS	<u>\$ 6,000,334</u>	<u>\$ 6,117,338</u>

PERSON-TO-PERSON, INC.
STATEMENT OF ACTIVITIES AND CHANGE IN NET ASSETS
YEAR ENDED DECEMBER 31, 2019

	<u>Without Donor Restrictions</u>	<u>With Donor Restrictions</u>	<u>Total</u>
PUBLIC SUPPORT AND REVENUE			
Contributions - cash	\$ 2,369,115	\$ 84,775	\$ 2,453,890
Contributions - goods	10,437,088	-	10,437,088
In-kind contributions - other	64,022	-	64,022
Government grants	123,075	-	123,075
Investment return	43,418	562,312	605,730
Special events income	549,320	96,453	645,773
Less: Costs of direct benefit to donors	<u>(158,243)</u>	<u>-</u>	<u>(158,243)</u>
Net revenues from special events	391,077	96,453	487,530
OPUS dues	7,870	-	7,870
Other revenue	10,698	-	10,698
Net assets released from restrictions:			
Satisfaction of program and purpose restrictions	<u>756,626</u>	<u>(756,626)</u>	<u>-</u>
Total Public Support and Revenue	<u>14,202,989</u>	<u>(13,086)</u>	<u>14,189,903</u>
EXPENSES			
Program Services			
Emergency assistance	12,729,200	-	12,729,200
Scholarships	350,565	-	350,565
Camperships	<u>318,676</u>	<u>-</u>	<u>318,676</u>
Total Program Services	<u>13,398,441</u>	<u>-</u>	<u>13,398,441</u>
Supporting Services			
Management and general	271,832	-	271,832
Fund development	<u>638,986</u>	<u>-</u>	<u>638,986</u>
Total Supporting Services	<u>910,818</u>	<u>-</u>	<u>910,818</u>
Total Expenses	<u>14,309,259</u>	<u>-</u>	<u>14,309,259</u>
<u>CHANGE IN NET ASSETS</u>	(106,270)	(13,086)	(119,356)
Net assets - beginning of year	<u>1,750,567</u>	<u>4,264,942</u>	<u>6,015,509</u>
Net assets - end of year	<u>\$ 1,644,297</u>	<u>\$ 4,251,856</u>	<u>\$ 5,896,153</u>

See accompanying notes to financial statements.

- 4 -

PERSON-TO-PERSON, INC.
STATEMENT OF ACTIVITIES AND CHANGE IN NET ASSETS
YEAR ENDED DECEMBER 31, 2018

	Without Donor Restrictions	With Donor Restrictions	Total
PUBLIC SUPPORT AND REVENUE			
Contributions - cash	\$ 1,235,396	\$ 1,142,316	\$ 2,377,712
Contributions - goods	10,049,192	-	10,049,192
In-kind contributions - other	56,234	-	56,234
Government grants	142,462	-	142,462
Investment return (loss)	(7,198)	(159,879)	(167,077)
Special events income	750,949	266,232	1,017,181
Less: Costs of direct benefit to donors	<u>(222,308)</u>	<u>-</u>	<u>(222,308)</u>
Net revenues from special events	528,641	266,232	794,873
OPUS dues	8,296	-	8,296
Other revenue	6,449	6,310	12,759
Net assets released from restrictions:			
Satisfaction of program restrictions	<u>1,695,438</u>	<u>(1,695,438)</u>	<u>-</u>
Total Public Support and Revenue	<u>13,714,910</u>	<u>(440,459)</u>	<u>13,274,451</u>
EXPENSES			
Program Services			
Emergency assistance	12,122,786	-	12,122,786
Scholarships	346,159	-	346,159
Camperships	364,141	-	364,141
Total Program Services	<u>12,833,086</u>	<u>-</u>	<u>12,833,086</u>
Supporting Services			
Management and general	211,470	-	211,470
Fund development	<u>659,274</u>	<u>-</u>	<u>659,274</u>
Total Supporting Services	<u>870,744</u>	<u>-</u>	<u>870,744</u>
Total Expenses	<u>13,703,830</u>	<u>-</u>	<u>13,703,830</u>
<u>CHANGE IN NET ASSETS</u>	11,080	(440,459)	(429,379)
Net assets - beginning of year, as originally stated	1,524,470	4,920,418	6,444,888
Prior period adjustments - Note 15	<u>215,017</u>	<u>(215,017)</u>	<u>-</u>
Net assets - beginning of year, as restated	<u>1,739,487</u>	<u>4,705,401</u>	<u>6,444,888</u>
Net assets - end of year	<u>\$ 1,750,567</u>	<u>\$ 4,264,942</u>	<u>\$ 6,015,509</u>

PERSON-TO-PERSON, INC.
STATEMENT OF FUNCTIONAL EXPENSES
FOR THE YEAR ENDED DECEMBER 31, 2019

	PROGRAM SERVICES				SUPPORTING SERVICES			DIRECT BENEFIT TO DONORS	TOTAL FUNCTIONAL EXPENSES
	EMERGENCY ASSISTANCE	SCHOLAR- SHIPS	CAMPER- SHIPS	TOTAL	MANAGEMENT AND GENERAL	FUND DEVELOPMENT	TOTAL		
Salaries	\$ 991,216	\$ 49,561	\$ 66,081	\$ 1,106,858	\$ 115,642	\$ 429,527	\$ 545,169	\$ -	\$ 1,652,027
Payroll taxes	77,765	3,888	5,184	86,837	9,072	33,697	42,769	-	129,606
Benefits	135,838	5,582	5,582	147,002	9,304	29,773	39,077	-	186,079
Payroll and Related Expenditures	1,204,819	59,031	76,847	1,340,697	134,018	492,997	627,015	-	1,967,712
Clothing and food distributed	10,454,328	-	-	10,454,328	-	-	-	-	10,454,328
Grants and assistance	335,514	282,520	223,256	841,290	-	-	-	-	841,290
Food and supplies	137,188	-	-	137,188	-	-	-	63,062	200,250
Program supplies	23,151	21	-	23,172	-	21,347	21,347	-	44,519
Donated services	64,022	-	-	64,022	-	-	-	-	64,022
Occupancy	191,164	1,966	2,093	195,223	6,504	11,193	17,697	52,162	265,082
Office expenses	23,355	1,128	853	25,336	1,179	51,509	52,688	-	78,024
Insurance	-	-	-	-	28,085	-	28,085	-	28,085
Postage	1,603	85	859	2,547	187	8,218	8,405	-	10,952
Equipment maintenance and support	66,019	2,811	2,318	71,148	2,448	9,517	11,965	-	83,113
Computer supplies and software	1,952	203	230	2,385	107	2,063	2,170	-	4,555
Telephone	21,609	222	237	22,068	735	1,265	2,000	-	24,068
Vehicle expense	28,269	-	-	28,269	-	3,844	3,844	-	32,113
Volunteers and training	13,085	289	211	13,585	368	1,555	1,923	-	15,508
Audit	-	-	-	-	18,150	-	18,150	-	18,150
Communications	5,494	73	9,736	15,303	147	15,248	15,395	-	30,698
Consulting	10,600	675	200	11,475	-	2,249	2,249	-	13,724
Project consulting	-	-	-	-	74,892	-	74,892	-	74,892
Other	3,683	67	267	4,017	134	9,588	9,722	43,019	56,758
Depreciation and Amortization	143,345	1,474	1,569	146,388	4,878	8,393	13,271	-	159,659
Total Expenses	12,729,200	350,565	318,676	13,398,441	271,832	638,986	910,818	158,243	14,467,502
Less: direct benefits to donors recorded on statement of activities	-	-	-	-	-	-	-	(158,243)	(158,243)
Total Functional Expenses	\$ 12,729,200	\$ 350,565	\$ 318,676	\$ 13,398,441	\$ 271,832	\$ 638,986	\$ 910,818	\$ -	\$ 14,309,259

See accompanying notes to financial statements.

PERSON-TO-PERSON, INC.
STATEMENT OF FUNCTIONAL EXPENSES
FOR THE YEAR ENDED DECEMBER 31, 2018

	PROGRAM SERVICES				SUPPORTING SERVICES			DIRECT BENEFIT TO DONORS	TOTAL FUNCTIONAL EXPENSES
	EMERGENCY ASSISTANCE	SCHOLAR- SHIPS	CAMPER- SHIPS	TOTAL	MANAGEMENT AND GENERAL	FUND DEVELOPMENT	TOTAL		
Salaries	\$ 864,428	\$ 68,258	\$ 80,000	\$ 1,012,686	\$ 143,905	\$ 372,783	\$ 516,688	\$ -	\$ 1,529,374
Payroll taxes	65,135	5,403	6,333	76,871	12,307	31,882	44,189	-	121,060
Benefits	115,742	9,292	10,890	135,924	20,126	52,136	72,262	-	208,186
Payroll and Related Expenditures	1,045,305	82,953	97,223	1,225,481	176,338	456,801	633,139	-	1,858,620
Clothing and food distributed	10,084,797	-	-	10,084,797	-	-	-	-	10,084,797
Grants and assistance	282,729	251,703	239,201	773,633	-	-	-	-	773,633
Food and supplies	122,783	-	-	122,783	-	-	-	116,169	238,952
Program supplies	29,856	-	-	29,856	-	38,419	38,419	-	68,275
Donated services	56,234	-	-	56,234	-	-	-	-	56,234
Occupancy	174,472	1,939	1,939	178,350	5,818	9,694	15,512	67,800	261,662
Office expenses	34,316	1,734	1,125	37,175	1,177	48,112	49,289	-	86,464
Insurance	-	-	-	-	-	-	-	-	-
Postage	1,281	62	2,093	3,436	75	8,128	8,203	-	11,639
Equipment maintenance and support	65,431	3,829	2,971	72,231	2,497	8,897	11,394	-	83,625
Computer supplies and software	1,012	195	203	1,410	54	2,775	2,829	-	4,239
Telephone	15,591	757	891	17,239	913	4,121	5,034	-	22,273
Vehicle expense	20,566	-	-	20,566	-	391	391	-	20,957
Volunteers and training	16,789	227	267	17,283	273	3,798	4,071	-	21,354
Audit	-	-	-	-	17,400	-	17,400	-	17,400
Communications	19,851	116	15,276	35,243	140	31,783	31,923	-	67,166
Consulting	8,295	350	825	9,470	-	17,293	17,293	-	26,763
Project consulting	3,602	-	-	3,602	1,854	-	1,854	-	5,456
Other	2,741	541	322	3,604	205	20,168	20,373	38,339	62,316
Depreciation and Amortization	137,135	1,753	1,805	140,693	4,726	8,894	13,620	-	154,313
Total Expenses	12,122,786	346,159	364,141	12,833,086	211,470	659,274	870,744	222,308	13,926,138
Less: direct benefits to donors recorded on statement of activities	-	-	-	-	-	-	-	(222,308)	(222,308)
Total Functional Expenses	\$ 12,122,786	\$ 346,159	\$ 364,141	\$ 12,833,086	\$ 211,470	\$ 659,274	\$ 870,744	\$ -	\$ 13,703,830

See accompanying notes to financial statements.

PERSON-TO-PERSON, INC.
STATEMENTS OF CASH FLOWS
YEARS ENDED DECEMBER 31, 2019 AND 2018

	<u>2019</u>	<u>2018</u>
CASH FLOWS FROM OPERATING ACTIVITIES		
Change in Net Assets	\$ (119,356)	\$ (429,379)
Adjustments to Reconcile Change in Net Assets to Net Cash Provided (Used) by Operating Activities:		
Realized and unrealized losses (gains) on investments, net	(472,158)	279,627
Depreciation and amortization	159,659	154,313
Changes in Operating Assets and Liabilities:		
Loans receivable from clients	575	2,452
Government grants receivable	(5,076)	(16,744)
Contributions receivable	(45,108)	207,689
Prepaid expenses and other receivables	33,418	(32,578)
Inventory	17,240	35,605
Accounts payable, accrued expenses and agency liabilities	2,352	8,564
Due to Saint Luke's Parish	-	(2,056)
Total Adjustments	<u>(309,098)</u>	<u>636,872</u>
Net Cash Provided (Used) by Operating Activities	<u>(428,454)</u>	<u>207,493</u>
CASH FLOWS FROM INVESTING ACTIVITIES		
Proceeds from sale of investments	173,085	587,976
Purchase of investments	(137,947)	(653,281)
Purchase of property and equipment	<u>(67,052)</u>	<u>(240,501)</u>
Net Cash Used by Investing Activities	<u>(31,914)</u>	<u>(305,806)</u>
<u>NET DECREASE IN CASH AND CASH EQUIVALENTS</u>	<u>(460,368)</u>	<u>(98,313)</u>
Cash and cash equivalents - beginning of year	<u>1,716,629</u>	<u>1,814,942</u>
Cash and cash equivalents - end of year	<u>\$ 1,256,261</u>	<u>\$ 1,716,629</u>

See accompanying notes to financial statements.

- 8 -

PERSON-TO-PERSON, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2019 AND 2018

NOTE 1 – ORGANIZATION AND NATURE OF ACTIVITIES

Person-to-Person, Inc. (“Person-to-Person” or the “Organization”), a not-for-profit human services organization, was established in 1968 by Saint Luke’s Episcopal Church in Darien, Connecticut (“St. Luke’s”). Person-to-Person was incorporated under the Connecticut Nonstock Corporation Act as a separate organization in 1994. St. Luke’s is the sole member of the Organization.

Person-to-Person is a volunteer-driven, community-supported agency which, through the sharing of goods and talents, responds to individuals and families who lack the basic necessities or resources to improve their lives. The Organization provides rapid response assistance to client emergencies, as well as access to interconnected services that support its clients' journeys toward self-sufficiency. Person-to-Person offers assistance through three key programs: emergency assistance, camperships and scholarships. The emergency assistance program provides food, clothing, financial assistance, including eviction mediation, and crisis counseling to residents of Lower Fairfield County, Connecticut. More than 400 children attended summer day camps in 2019 through the campership program. The scholarship program provides financial assistance for local students from low-income households.

In 2018, Person-to-Person launched the P2P on Wheels program. The purpose of the program is to take food and financial assistance into five low-income neighborhoods four days a week. In late 2017, Person-to-Person purchased and took possession of a 32' truck for P2P On Wheels, and in early 2018 launched its new program.

The Organization receives most of its support from the general public through cash and in-kind contributions. OPUS, a fundraising arm of Person-to-Person, was established to raise funds and public awareness for Person-to-Person. OPUS has dues-paying members who engage primarily in special event fundraising on behalf of Person-to-Person. OPUS is not a separate legal entity, but rather a part of Person-to-Person.

NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Accounting Basis

Person-to-Person’s financial statements have been prepared on the accrual basis of accounting and presented in accordance with Financial Accounting Standards Board (“FASB”) guidance for not-for-profit organizations. Under that guidance, the Organization is required to report information regarding its net assets and revenues, gains, and losses based on the existence or absence of donor-imposed restrictions. Accordingly, the net assets of the Organization and changes therein are classified and reported as follows:

- Without donor restrictions – Net assets that are not subject to explicit donor-imposed stipulations, including board designated funds functioning as endowment.
- With donor restrictions – Net assets subject to donor-imposed stipulations, including stipulations that will be met either by actions of the Organization or the passage of time, stipulations that they be held in perpetuity by the Organization, and net assets from endowments not yet appropriated for spending. When time and purpose restrictions expire, net assets with donor restrictions are reclassified to net assets without donor restrictions.

Revenue Recognition

Contributions: Person-to-Person reports gifts of cash and other assets as restricted support if they are received with donor stipulations that limit the use of the donated assets. When a donor restriction expires, a stipulated time restriction ends or a purpose restriction is accomplished, net assets with donor restrictions are reclassified to net assets without donor restrictions and reported in the Statements of Activities and Change in Net Assets as net assets released from restrictions.

PERSON-TO-PERSON, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2019 AND 2018

NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Revenue Recognition (Continued)

Promises to Give: Unconditional promises to give are recognized as revenue in the period received and recorded as assets. Conditional promises to give are recognized when the conditions on which they depend are *substantially met*.

Government Grants: The Organization has certain grants that are based on expenditure-driven grant revenue (i.e., the Organization must first incur the expenditure as a basis for reimbursement) that is recognized when the related expenditure is incurred.

Non-cash Contributions: The Organization receives a substantial amount of volunteer services in carrying out its programs and activities. Volunteers perform various administrative and fundraising functions. However, only certain amounts have been reflected in the financial statements for those services meeting the criteria for recognition. Contributed services are not recognized unless the donated services create or enhance non-financial assets or require specialized skills that would typically be purchased if not donated. In-kind contributions are measured at the fair value of the assets transferred to Person-to-Person or the liabilities cancelled or settled. The Organization received and recognized contributed services from specialized professionals for its emergency assistance programs and administrative functions of \$64,022 and \$56,234 during the years ended December 31, 2019 and 2018, respectively. The programs run by the Organization require the dedication and resources of over 4,000 volunteers who provided approximately 70,000 hours of service assisting clients, stocking the food pantry, sorting clothing, packing bags and boxes for clients, and other tasks.

Government Grants and Contributions Receivables

Management reviews the balances of government grants and contributions receivable on a regular basis and expects all amounts to be fully collectible; therefore, there is no allowance for doubtful accounts.

Inventory

Inventory consists of clothing, food, household items and supplies. Items are valued based on unit values published by The Salvation Army, Feeding America, and Second Harvest, and other available data.

Investments

Person-to-Person follows FASB guidance on fair value, which, among other things, defines fair value, establishes a hierarchical framework for measuring fair value, and expands disclosure about fair value measurements. Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The fair value hierarchy is organized into three levels based upon the assumptions (referred to as “inputs”) used in pricing the asset or liability, as follows:

Level 1: Inputs are quoted prices (unadjusted) in active markets for identical assets or liabilities that the reporting entity has the ability to access at the measurement date.

Level 2: Inputs are other than quoted prices included within Level 1 that are observable for the asset or liability, either directly or indirectly, with fair value being determined through the use of models or other valuation methodologies.

PERSON-TO-PERSON, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2019 AND 2018

NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Investments (continued)

Level 3: Inputs are unobservable for the asset or liability and are used to the extent that observable inputs do not exist. Level 3 inputs require significant management judgment and estimation. Factors considered include the purchase cost, prices of recent private placements of the same issuer, liquidity of the investment, changes in financial condition of the issuer, and valuations of similar companies.

The Organization values all of its investments using Level 1 inputs. For equity funds and fixed income funds, the inputs are valued at the closing price reported on the active market on which the individual securities are traded. For mutual funds, the inputs are valued at the net asset value of shares held at year end.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future values. Furthermore, while the Organization believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date. The Organization reports investment income and gains and losses as increases or decreases in net assets without donor restrictions in the Statements of Activities and Change in Net Assets unless a donor or law restricts their use.

Property and Equipment

Property and equipment are carried at cost, if purchased, or at fair values on dates donated, if contributed. Person-to-Person reports gifts of property and equipment as net assets without donor restrictions unless explicit donor stipulations specify how the donated assets must be used. Gifts of long-lived assets with explicit restrictions that specify how the assets are to be used are reported as donor restricted support. Purchases over \$500 with a useful life greater than one year are capitalized. Repairs and maintenance of existing assets are expensed as incurred.

Depreciation is determined by use of the straight-line method over the following estimated useful lives or lease term:

Leasehold improvements	5 - 20 years
Equipment and furnishings	3 - 15 years
Vehicles	5 - 6 years

Uncertainty in Income Taxes

The Organization evaluates all significant tax positions as required by accounting principles generally accepted in the United States of America. As of December 31, 2019, the Organization does not believe that it has taken any positions that would require recording of any additional tax liability nor does it believe that there are any unrealized tax benefits that would either increase or decrease within the next year.

PERSON-TO-PERSON, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2019 AND 2018

NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Advertising

Person-to-Person expenses the cost of advertising when the advertising takes place. Amounts spent during the year ended December 31, 2018 were \$9,900. There were no advertising costs in 2019.

Use of Estimates

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. The Organization regularly assesses these estimates and, while actual results may differ from these estimates, management believes that material changes will not occur in the near term.

Cash Equivalents

For financial statement purposes, the Organization considers all highly liquid investments with an initial maturity of less than three months when purchased to be cash equivalents.

Functional Expenses

The costs of providing various programs and other activities have been summarized on a functional basis in the accompanying statements of activities and functional expenses. The financial statements report certain categories of expenses that are attributed to more than one program or supporting function. Therefore, expenses require allocation on a reasonable basis that is consistently applied. The expenses that are allocated include occupancy, depreciation, and amortization, which are allocated on a square footage basis, as well as salaries and wages, benefits, payroll taxes, professional services, office expenses, information technology, interest, insurance, and other, which are allocated on the basis of estimates of time and effort. The direct costs of special events include expenses for the benefit of the donors.

Reclassification

Certain reclassifications were made to the presentation of the 2018 financial statements to conform to the 2019 financial statement presentation of functional expenses.

Recent Authoritative Pronouncements

In 2018, the Organization adopted the provisions of FASB Accounting Standards Update (“ASU”) 2016-14, “Not-for-Profit Entities (Topic 958) – Presentation of Financial Statements of Not-for-Profit Entities” and ASU 2016-18 “Statement of Cash Flows.” ASU 2016-14 provided for a number of changes including the presentation of two classes of net assets and enhanced disclosure of liquid resources and expense allocation. ASU 2016-18 required that restricted cash be included with cash and cash equivalents on the accompanying statement of cash flows. These changes had no impact on the change in net assets. The unrestricted net asset class has been renamed net assets without donor restrictions. The temporarily and permanently restricted net assets have been renamed to net assets with donor restrictions.

FASB ASU 2018-08 “Clarifying the Scope and the Accounting Guidance for Contributions Received and Contributions Made”, was adopted for the year ended December 31, 2019. ASU 2018-08 aims to assist entities in evaluating whether contributions should be accounted for as contributions or exchange transactions and determination as to whether a contribution is conditional. The adoption of this standard had no significant impact on the financial statements.

PERSON-TO-PERSON, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2019 AND 2018

NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Recent Authoritative Pronouncements (continued)

The FASB has issued standards that the Organization must consider for adoption over the next year. Those standards include the following: “Leases,” effective for the year ended December 31, 2020, which aims to increase transparency and comparability among organizations by recognizing lease assets and lease liabilities on the statement of financial position and disclosing key information about leasing arrangements. The Organization is currently evaluating the impact of the adoption of these standards on its financial statements.

NOTE 3 – LIQUIDITY AND AVAILABILITY OF FINANCIAL ASSETS

The Organization regularly monitors liquidity required to meet its operating needs, while also striving to maximize the investment of its available funds. The Organization has various sources of liquidity at its disposal, including cash and cash equivalents, and marketable equity securities. For purposes of analyzing resources available to meet general expenditures over a 12-month period, the Organization considers all expenditures related to its ongoing activities of emergency assistance, campership, and scholarship as well as services undertaken to support those activities to be general expenditures. In addition to financial assets available to meet general expenditures over the next 12 months, the Organization anticipates collecting sufficient revenue to cover general expenditures not covered by donor-restricted resources.

As of December 31, 2019, the Organization’s financial assets were as follows:

Cash and cash equivalents	\$ 1,256,261
Investments	3,551,021
Government grants receivable	100,538
Contributions receivable	69,175
Miscellaneous receivables	<u>4,270</u>
Subtotal financial assets at year end	4,981,265
Less: amounts with limits on usage	
Spendable net assets with donor restrictions	(950,955)
Endowed investments	<u>(3,042,479)</u>
Total financial assets available for general use within one year	<u>\$ 987,831</u>

As part of the Organization’s liquidity management plan, the Organization invests cash in excess of daily requirements in short-term investments, CDs, and money market funds. Occasionally, the Board designates a portion of any operating surplus to its operating reserve, which was \$560,617 as of December 31, 2019. This reserve, established by the Board of Directors, may be drawn upon, if necessary, to meet unexpected liquidity needs or in the event of financial distress

PERSON-TO-PERSON, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2019 AND 2018

NOTE 4 – CONTRIBUTIONS RECEIVABLE

Contributions receivable are expected to be fully collectible and consist of the following as of December 31:

	<u>2019</u>	<u>2018</u>
Due in less than one year	\$ 119,175	\$ 51,665
Due in two to five years	25,000	50,000
Less: discount to present value, at 5.5%	<u>(3,795)</u>	<u>(6,393)</u>
Total Contributions Receivable	<u>\$ 140,380</u>	<u>\$ 95,272</u>

NOTE 5 – PROPERTY AND EQUIPMENT

Property and equipment consisted of the following at December 31:

	<u>2019</u>	<u>2018</u>
Equipment and software	\$ 333,798	\$ 329,753
Furniture and fixtures	110,580	110,580
Leasehold improvements	987,791	962,356
Vehicles	<u>311,764</u>	<u>274,192</u>
	1,743,933	1,676,881
Less: accumulated depreciation and amortization	<u>(935,687)</u>	<u>(776,028)</u>
Total Property and Equipment, net	<u>\$ 808,246</u>	<u>\$ 900,853</u>

NOTE 6 – INVESTMENTS

The following table sets forth, within Level 1 of the fair value hierarchy, the Organization's assets at fair value at December 31:

	<u>2019</u>	<u>2018</u>
Equity funds	\$ 2,408,628	\$ 1,953,254
Fixed income funds	<u>1,142,393</u>	<u>1,160,747</u>
Total Investments, at Fair Value	<u>\$ 3,551,021</u>	<u>\$ 3,114,001</u>

Investment activity, including interest earned on cash accounts, is summarized as follows for the years ended December 31:

	<u>2019</u>	<u>2018</u>
Interest and dividend income	\$ 146,657	\$ 126,022
Realized gains (losses)	8,073	37,905
Unrealized gains (losses)	464,085	(317,532)
Investment fees	<u>(13,085)</u>	<u>(13,472)</u>
Total Investment Return (Loss)	<u>\$ 605,730</u>	<u>\$ (167,077)</u>

PERSON-TO-PERSON, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2019 AND 2018

NOTE 6 – INVESTMENTS (Continued)

Investments are managed in accordance with board-approved policies. The policies, which also permit a portion of the Janet Evans Endowment Fund (see Note 8) to be spent annually, are designed to diversify the assets in the portfolio and manage them in a prudent manner, to preserve the value of the portfolio in real terms (after inflation), and to generate a reliable flow of earnings annually for support.

NOTE 7 – RESTRICTIONS AND DESIGNATIONS OF NET ASSETS

Net assets with donor restrictions were available for the following purposes at December 31:

	<u>2019</u>	<u>2018</u>
Janet Evans Endowment Fund assets with restrictions	\$ 3,300,901	\$ 2,910,820
Food programs	91,634	94,443
P2P on Wheels	107,488	363,069
Baby Basics	2,273	7,342
Emergency assistance	211,880	481,815
Capital campaign	52,311	52,311
Campership	177,027	158,043
Scholarship	229,082	178,553
Technology, strategic planning and training	20,917	18,546
Capital improvements	54,300	-
Other Programs:		
Holiday toy store	2,543	-
Volunteer program	<u>1,500</u>	<u>-</u>
Total Net Assets with Donor Restrictions	<u>\$ 4,251,856</u>	<u>\$ 4,264,942</u>

Net assets released from donor restrictions and disbursed during the years ended December 31 were as follows:

	<u>2019</u>	<u>2018</u>
Janet Evans Endowment Fund appropriations	\$ 172,231	\$ 172,607
Food programs	36,181	82,713
P2P on Wheels	255,581	596,318
Baby Basics	5,069	8,320
Emergency assistance	269,935	295,049
Camperships	-	239,201
Scholarships	-	251,703
Technology, strategic planning, and training	17,629	39,059
Other Programs:		
Holiday toy store	<u>-</u>	<u>10,468</u>
Total Net Assets Released from Restrictions	<u>\$ 756,626</u>	<u>\$ 1,695,438</u>

PERSON-TO-PERSON, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2019 AND 2018

NOTE 8 – JANET EVANS ENDOWMENT FUND

In 2003, Person-to-Person established the Janet Evans Endowment Fund (the “Fund”) to honor the retirement of former Executive Director Janet Evans. Contributions to the Fund are invested as directed by an endowment committee appointed by the Board of Directors. Withdrawals from the Fund in a given year, which may be used at the discretion of the board of directors, are limited to 6% of the average year end market value for the three preceding calendar years.

The Organization’s endowment includes both donor-restricted endowment funds and funds designated by the Board of Directors to function as endowments. As required by generally accepted accounting principles, net assets associated with endowment funds, including funds designated by the Board of Directors to function as endowments, are classified and reported based on the existence or absence of donor-imposed restrictions.

Changes in endowment net assets during the years ended December 31 are as follows:

	<u>Without Donor Restrictions</u>	<u>With Donor Restrictions</u>	<u>Total</u>
Net assets, January 1, 2018	<u>\$ 215,017</u>	<u>\$ 3,133,306</u>	<u>\$ 3,348,323</u>
Investment income	8,114	118,235	126,349
Net asset depreciation	(19,085)	(278,114)	(297,199)
Contributions	-	110,000	110,000
Investment fees	(865)	(12,607)	(13,472)
Appropriation of endowment assets for expenditure	<u>-</u>	<u>(160,000)</u>	<u>(160,000)</u>
Net assets, December 31, 2018	203,181	2,910,820	3,114,001
Investment income	8,521	122,067	130,588
Net asset appreciation	30,730	440,245	470,975
Contributions	-	-	-
Investment fees	(854)	(12,231)	(13,085)
Appropriation of endowment assets for expenditure	<u>-</u>	<u>(160,000)</u>	<u>(160,000)</u>
Net assets, December 31, 2019	<u>\$ 241,578</u>	<u>\$ 3,300,901</u>	<u>\$ 3,542,479</u>

The Organization’s Board of Directors, as a matter of policy, requires the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. The donor-restricted endowment fund is classified as net assets with donor restrictions until those amounts are appropriated for expenditure by the Organization in a manner consistent with the standard of prudence prescribed by the State of Connecticut’s Uniform Prudent Management of Institutional Funds Act. In accordance with accounting principles generally accepted in the United States, any deterioration of the fair value of assets associated with donor restricted endowment funds that fall below the level the donor requires the Organization to retain in perpetuity is to be reported in net assets with donor restrictions. The deficiencies may result from unfavorable market fluctuations that occurred in the economy as a whole that may have affected the donor restricted endowment fund where the fair value of the donor restricted endowment fund fell below the amount that is required to be held in perpetuity. The Organization has not incurred such deficiencies in its endowment funds as of December 31, 2019.

PERSON-TO-PERSON, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2019 AND 2018

NOTE 8 – JANET EVANS ENDOWMENT FUND (Continued)

The Organization currently has an investment policy that provides for an asset allocation that is designed to meet the goals of the Organization based on a number of factors including the projected spending needs, the maintenance of sufficient liquidity and the return objectives and risk tolerances of the Organization. The asset allocation plan provides for diversification of assets in an effort to maximize the investment return and manage risk of the Organization consistent with market conditions.

The Organization considers the mission of the Organization and the donor-restricted fund, and the nature of the restrictions and financial needs of the Organization in making a determination to accept donor-restricted funds into the endowment fund.

NOTE 9 – IN-KIND CONTRIBUTIONS

During 2019 and 2018, Person-to-Person recognized donated clothing, food, and supplies of \$10,437,088 and \$10,049,192, respectively, for use in Person-to-Person's programs. The values of clothing, furniture, household items, and other goods are estimated by management based on unit values published by The Salvation Army and other available data. From time to time, management reviews Person-to-Person's valuation methodology for food items. Such a review was conducted in 2019 based upon data published by Feeding America. The weight of the typical bag of groceries received is ten pounds. Food contributions for 2019 and 2018 have been reported based upon these benchmarks.

For the years ended December 31, 2019 and 2018, donated professional services recognized in the financial statements totaled \$64,022 and \$56,234, respectively.

The Organization received the services of approximately 4,000 individual volunteers. Volunteer services are not recognized in the Statements of Activities and Change in Net Assets because such services do not involve specialized skills; however, they represent greater than 70,000 and 78,000 hours of service for the years ended December 31, 2019 and 2018, respectively. Volunteers staff and run the Organization's numerous programs, projects, and events, as well as provide transportation services. The value of donated volunteer services not recognized in the financial statements is approximately \$1,999,133 and \$2,078,151 for the years ended December 31, 2019 and 2018, respectively (based on the Independent Sector valuation of Connecticut volunteer time at an hourly rate of \$31.05 and \$30.24 for the years ended December 31, 2019 and 2018, respectively).

NOTE 10 – RETIREMENT PLAN

The Organization has a 403(b) Plan ("403(b) Plan"). Employees who are over 21 years of age and work 1,000 or more hours per year are eligible to participate in the 403(b) Plan on the first day of the month coincident with or following the date that the employees satisfy the eligibility requirements. For those employees who make a contribution of 2% or more to the 403(b) Plan, the Organization will make a 5% contribution to the 403(b) Plan on their behalf. Employees who make a contribution of less than 2% are not entitled to a contribution on their behalf from the Organization. Participating employees' years of full-time service prior to the adoption of the 403(b) Plan are counted toward the employees' vesting schedule. Retirement plan expense was \$47,155 and \$43,326 for the years ended December 31, 2019 and 2018, respectively.

PERSON-TO-PERSON, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2019 AND 2018

NOTE 11 – RELATED-PARTY TRANSACTIONS

An independent Board of Directors elected by St. Luke's oversees the management and operation of Person-to-Person. Person-to-Person occupies two buildings on St. Luke's' property in Darien, Connecticut, which it uses for offices, a clothing distribution center and a food pantry, and also shares certain other economic resources with St. Luke's. In April 2010, Person-to-Person entered into an agreement to pay an occupancy expense of \$4,000 per month to Saint Luke's. The agreement is on a month-to-month basis.

There was no payables balance at December 31, 2019 and 2018 for certain expenses paid for by St. Luke's. Saint Luke's donated \$70,500 and \$65,500 to the Organization as part of the church annual outreach program for the years ended December 31, 2019 and 2018, respectively.

NOTE 12 – COMMITMENTS

The Organization has a lease on a facility at 76 South Main Street in Norwalk, Connecticut which operates as a food pantry. The lease is a five-year operating lease, commencing August 1, 2016 and expiring July 31, 2021, with escalations each year. Rent expense under the Norwalk lease for the years ended December 31, 2019 and 2018 was \$50,373 and \$49,144, respectively.

In December 2017, the Organization entered into a ten-year operating lease agreement for warehouse space in Stamford, Connecticut, with lease payments commencing in February 2018. This location houses P2P on Wheels and serves as a food storage location for the entire Organization. Rent expense under the Stamford lease for the years ended December 31, 2019 and 2018 was \$54,585 and \$42,702, respectively.

The annual payment requirements under the lease agreement for the years subsequent to December 31, 2019 are:

2020	\$ 85,113
2021	64,871
2022	35,176
2023	36,055
2024	36,956
Thereafter	<u>119,818</u>
Total	<u>\$ 377,989</u>

NOTE 13 – CONCENTRATIONS

The Organization maintains its cash and cash equivalent balances at several financial institutions. Concentrations of credit risk result primarily from cash on deposit at these financial institutions in excess of Federal Deposit Insurance Corporation ("FDIC") limits. At times during the year, cash and cash equivalent balances may be in excess of FDIC coverage. At December 31, 2019, the Organization's uninsured cash and cash equivalents balance totaled \$238,169.

NOTE 14 – INCOME TAXES

The Organization is exempt from federal income taxes under Section 501(c)(3) of the Internal Revenue Code. Contributions made to the Organization are qualified for the maximum tax deductions allowable under the United States Internal Revenue Code.

PERSON-TO-PERSON, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2019 AND 2018

NOTE 15 – PRIOR PERIOD ADJUSTMENT

Unrestricted net assets at the beginning of 2017 have been adjusted to properly allocate board designated and donor restricted endowment assets that were not properly reflected in prior years. The new allocation has no effect on the results of the current year's activities; however, the cumulative effect decreases beginning net assets with donor restrictions by \$215,017 and increases net assets without donor restrictions by \$215,017.

NOTE 16 – SUBSEQUENT EVENTS

The Organization has evaluated subsequent events through [REDACTED] 2020, the date the financial statements were available to be issued.

In March 2020, the World Health Organization declared the outbreak of a novel coronavirus ("COVID-19") as a pandemic, which continues to spread throughout the United States. The Organization could be materially and adversely affected by the risks, or the public perception of the risks, related to an epidemic, pandemic, outbreak, or other public health crisis, such as the recent outbreak of COVID-19. The ultimate extent of the impact of any epidemic, pandemic or other health crisis on our business, financial condition and results of operations will depend on future developments, which are highly uncertain and cannot be predicted, including new information that may emerge concerning the severity of such epidemic, pandemic or other health crisis and actions taken to contain or prevent their further spread, among others. Accordingly, we cannot predict the extent to which our financial condition and results of operations will be affected.

On March 27, 2020, in response to COVID-19, the federal government passed the Coronavirus Aid, Relief, and Economic Stability Act ("CARES Act"). Among many other provisions, to help businesses retain employees, the CARES Act provides relief to qualifying businesses through a program called the Paycheck Protection Program ("PPP"). Participating in the PPP enables the business to obtain a loan from the Small Business Administration sector of the government. The term of the loan is two years and bears interest at a fixed rate of 1% per annum. If the proceeds from the loan are used for specified purposes, some or all of the loan can be forgiven, based on how much is spent in the eight week period immediately following funding of the loan times a forgiveness factor that is based on employee headcount and amounts paid to the Organization's employees. The Organization applied and was approved for a \$365,210 loan with its primary lender, a small business loan authorized lender

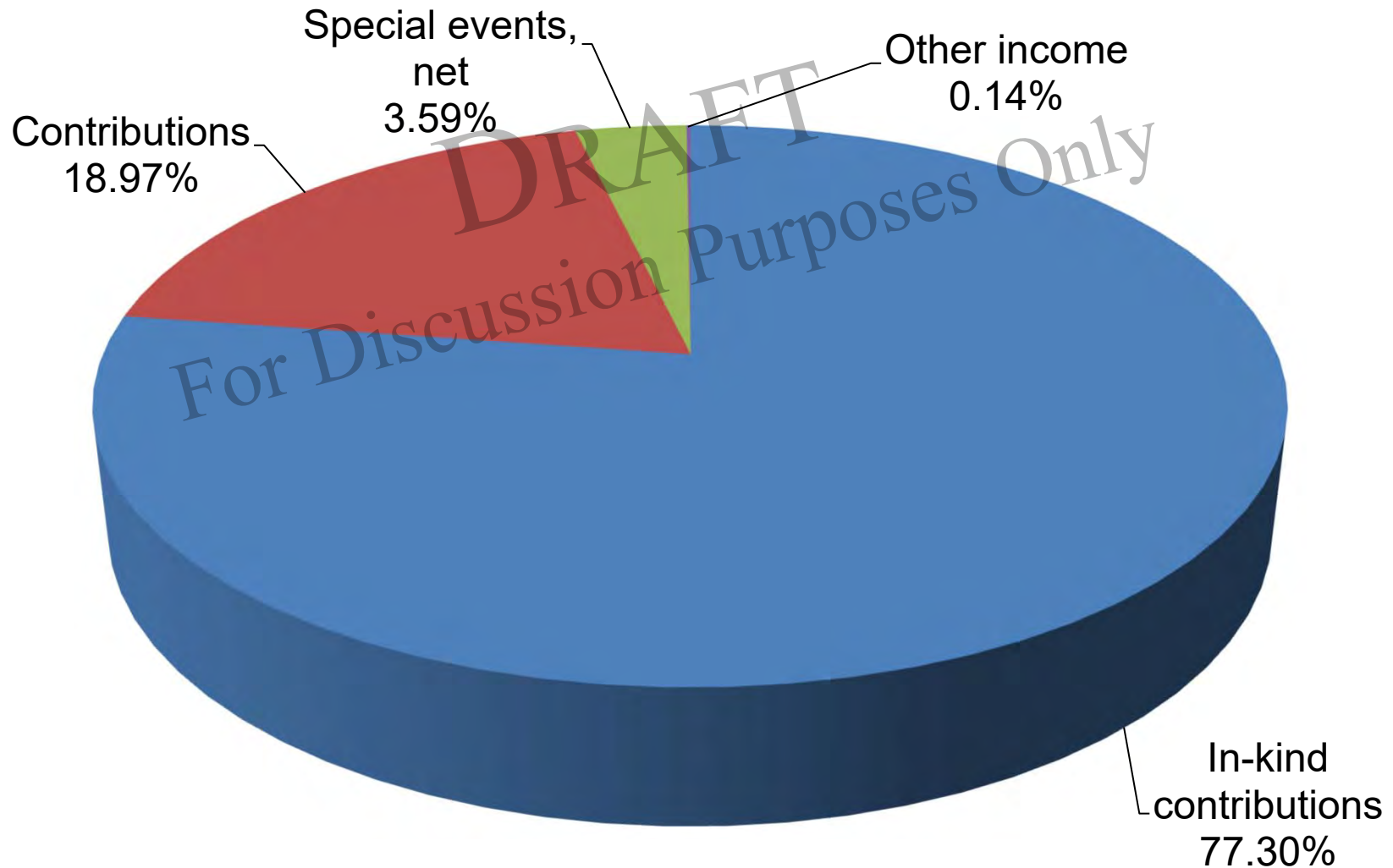
SUPPLEMENTARY INFORMATION

DRAFT

For Discussion Purposes Only

Person-to-Person, Inc.

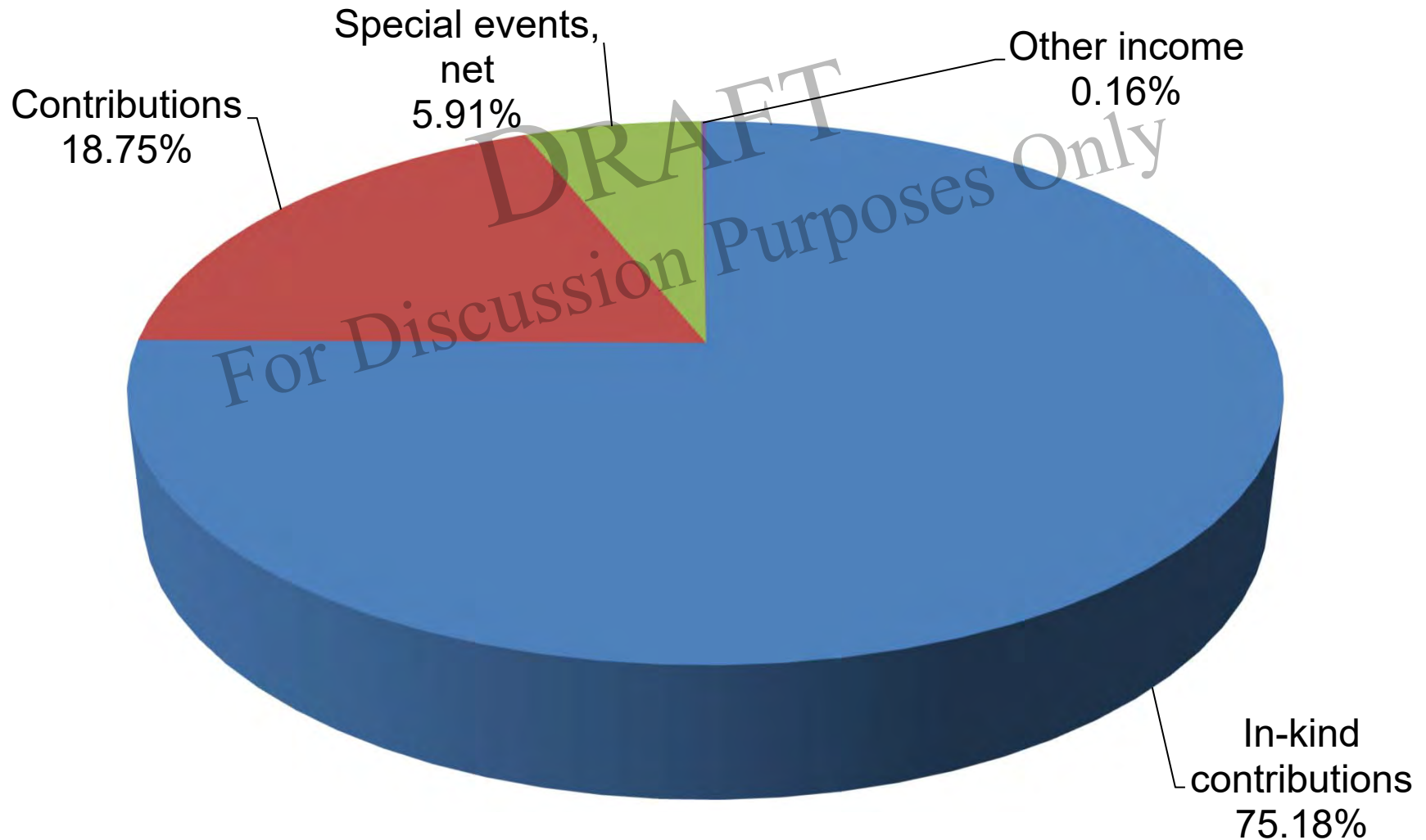
Income Distribution, without Investment Return
Year Ended December 31, 2019



See independent auditors' report.

Person-to-Person, Inc.

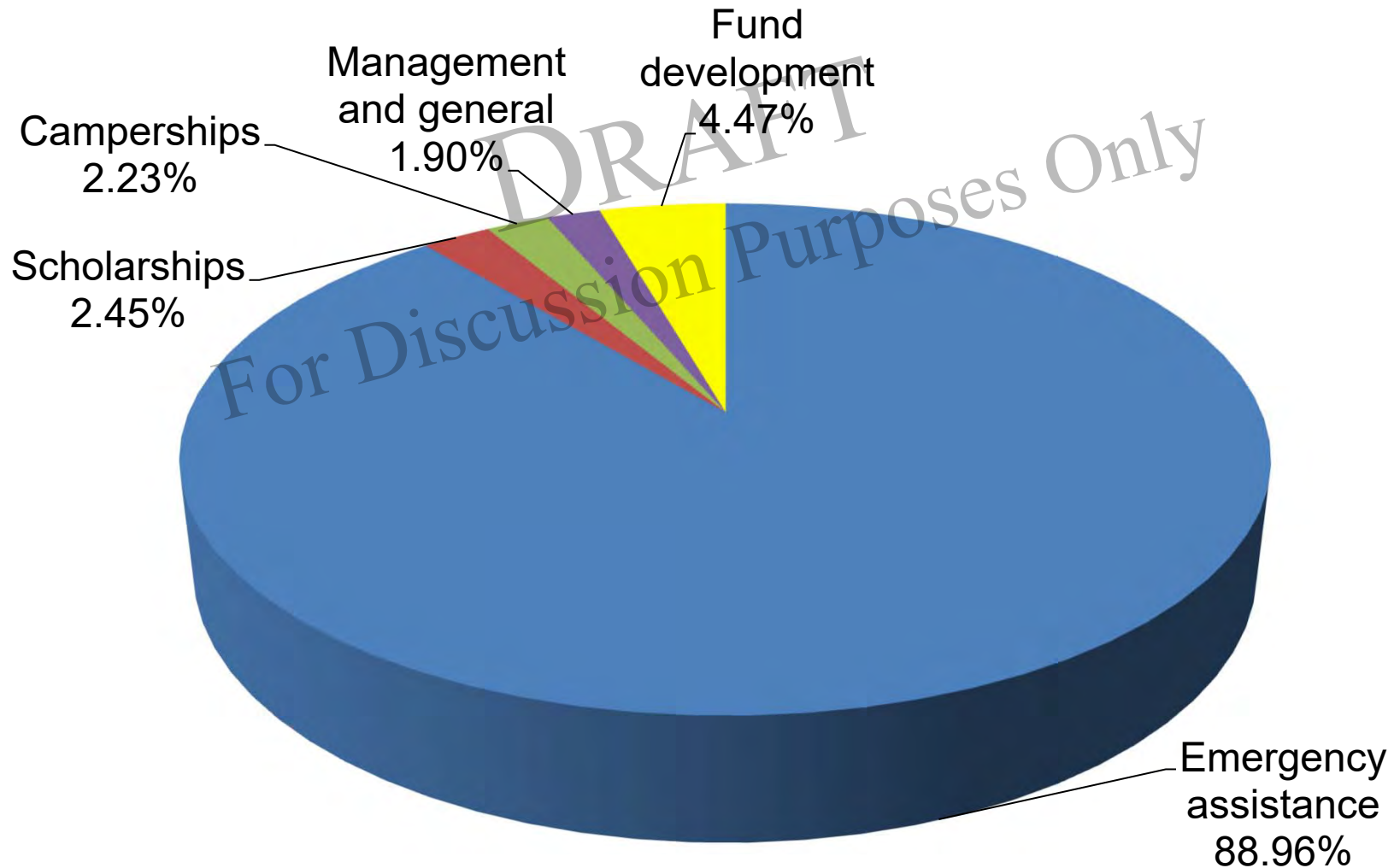
Income Distribution, without Investment return
Year Ended December 31, 2018



See independent auditors' report.

Person-to-Person, Inc.

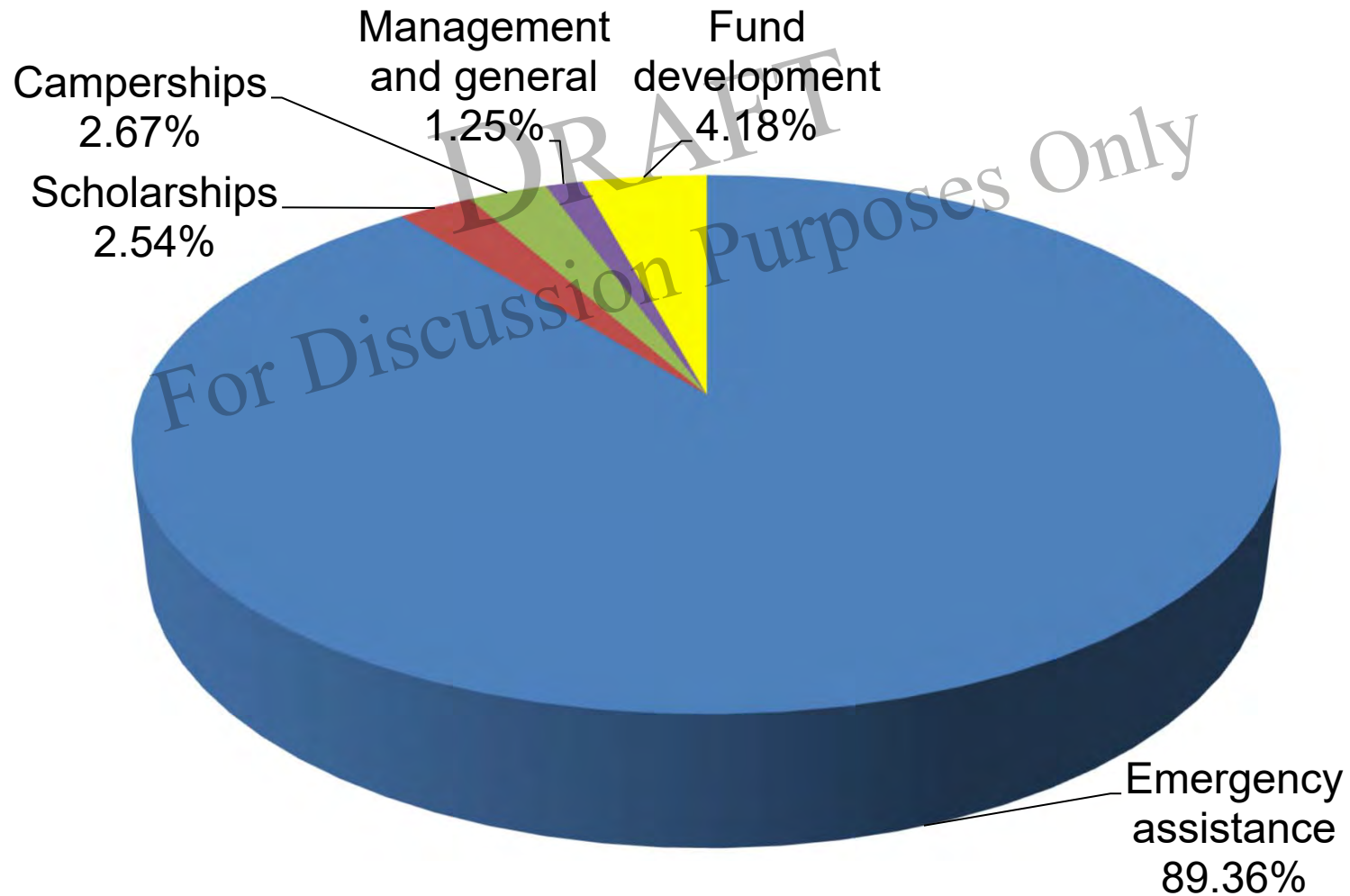
Functional Expense Distribution
Year Ended December 31, 2019



See independent auditors' report.

Person-to-Person, Inc.

Functional Expense Distribution
Year Ended December 31, 2018



See independent auditors' report.

SERVING ALL VESSELS EQUALLY

**NORWALK REDEVELOPMENT AGENCY obo CITY OF NORWALK
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG-CV) PROGRAM
APPLICATION FORM FOR CDBG-CV FUNDS**

Applicant Agency/Organization Name: Serving All Vessels Equally, Inc. (S.A.V.E.)

President/CEO/Executive Director's Contact Information: Pamela Y. George, (203) 985-5498,
pgeorge@saveinc.org

Type of Organization: Youth empowerment, leadership development, academic enrichment and mentoring for youth 14-24.

Applicant Mailing Address: 31 Concord Street, Norwalk, CT. 06854

Project Location Address: 31 Concord (however virtually for now)

Age of Building (Public Facility/Housing Applications Only):

Contact Person (designated contact person for the project/proposal):

Name: Pamela George

Title: Executive Director

Phone #: (203) 985-5498

Email Address: pgeorge@saveinc.org

Proposed Project/Activity Name: Youth PSA's during COVID19

Brief Description of the Proposed Project/Activity: Serving All Vessels Equally, Inc. is requesting \$8,000 to help raise awareness among teenagers and young adults about the need for proper precautions and safety due to Covid19. In our groups, youth share with us a rather nonchalant sense of invincibility and lack of appreciation for health and safety protocols. They sometimes sneak out of the house to see a love interest, posts photos on social medias in groups, no physical distancing, no PPE, etc. Or, they roam around the neighborhoods without PPE during school hours because their parents are essential workers and not a home to monitor school progress of their child. Some travel as far as Bridgeport several times a week to hang out with friends or see siblings who live with another parent--who also may not be home during the day or evening.

I certify that all information provided is correct to the best of my knowledge.

Pamela Y. George, Executive Director

May 20, 2020

Name, Title & Signature

Date

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

PART 1. GENERAL INFORMATION

ORGANIZATION

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

Serving All Vessels Equally, Inc. (SAVE), is dedicated to supporting, sustaining and strengthening youth in Norwalk, CT.

Our goals have been to create effective partnerships and creative programming that will turn problems into promises in our community and provide specific social, psychological and spiritual competencies that change attitudes, motives, behavior and add value and empowerment to the lives of our youth. SAVE utilizes strategies to reduce the high school dropout rate of at-risk kids from 30% to 15%; to significantly increase the number of Norwalk youth embracing a spiritual worldview; to foster sanctity of life and personal responsibility; to offer hope and a sense of goal-oriented fulfillment to at-risk adults in Norwalk; to advance the physical, emotional and spiritual transformation of the South Norwalk neighborhood and its residents; to significantly reduce the number of violent acts in Norwalk; to represent the youth voice in our local government; and to increase our voter registration base and civic engagement among our youth.

SAVE was created by Rev. Roosevelt Ewell, pastor of Canaan Institutional Baptist Church, Norwalk, CT in November 2006 to help address youth and gang-related violence, empower parents of youth involved in disruptive and violent behavior, connect clergy leaders with youth in one-on-one counseling relationships and get truant youth back into school or into the workplace. In 2008, SAVE was awarded a federal grant from the US Department of Health and Human Services to service children of incarcerated parents, ages 12 to 18. In 2009, SAVE received a grant from the Office of Juvenile Justice & Delinquency Prevention of the US Department of Justice to mentor youth at-risk of gang involvement. The Program curriculum is based on the National Alliance of Faith & Justice, stemming from the National Association of Blacks in Criminal Justice founded in 1974.

2. Identify the “core” programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated. Example: A homeless shelter’s “core” program might be its basic overnight shelter service, while it’s counseling or job placement services are “support” programs.

SAVE has now evolved into Signature Programs focused on mentoring, academic enrichment, leadership development and civic engagement for youth primarily residing in South Norwalk.

Check and Connect (est. 2006) is about relationship building. Each student participating in Check & Connect is assigned a mentor who seek to build long-term, sustained relationships with participating students that will connect them with their school and help them make academic progress. Studies show that Check & Connect improves enrollment, attendance and the likelihood of graduation for students who are disengaged and at risk of dropping out of school. Our current work is at Norwalk High School and expanding in 2020 to Brien McMahon.

Pen or Pencil (est. 2009) is a play on words. Penitentiary or Pencil is an innovative approach to teaching and inspiring boys and girls in middle school who are struggling through today's intense social, environmental, family and school dynamics in grades 6-8. Our current work is at West Rocks Middle School.

Youth Council for Justice (YC4J) (est. 2013) is a youth-led, adult supported social justice program empowering youth

ages 14 – 24 to express themselves and to take appropriate action on the issues that affect their lives. Issue awareness forums are conducted at school and advocacy campaigns are initiated to identify concerns. Our current projects have expanded to a hands-on and local civic engagement/digital arts program, funded by FCCF.

There are incredible institutions in Norwalk, CT serving youth for decades primarily through academic, social and recreational enrichment programs and services. However, there remain severe gaps, fragments of programming and a lack of viable continuous connections and opportunities for youth within disenfranchised communities in Norwalk. We are pleased with our progress among students and families disenfranchised and falling through the cracks at school and community/relationship building.

3. Check “YES” or “NO” to the following questions.
- A. Does your organization have a Board of Directors?

☒ YES ☐ NO
- B. Is your organization exempt under IRS Code 501(c) (3)? (If yes, provide documentation*)

☒ YES ☐ NO
- C. Are your organization’s services available to Norwalk residents?

☒ YES ☐ NO
- D. Does your organization have an EEO Policy? (Include a copy*)

☒ YES ☐ NO
- E. If a housing provider, does your organization have a written Fair Housing Policy including accessibility (504) requirements? (Include a copy*)

☐ YES ☐ NO
- F. Does your organization have a written Procurement Policy? (Include a copy*)

☐ YES ☒ NO
- G. Is your organization considered a Faith-Based Organization?

☒ YES ☐ NO
- H. Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal*
- I. Include a copy of your written Policy on Record Keeping*
- J. Include a copy of your most current audited Financial Statements

****Please note that requested documentation (from above) must be submitted to the Norwalk Redevelopment Office only if you are a new applicant or if there have been any changes to a previously filed documentation.***

SAVE is not new and has recently submitted BOD, 501c3 documents for CDBG funds.

PART 2. PROPOSED PROJECT/ACTIVITY

GENERAL DESCRIPTION

1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of **preventing, preparing for and/or responding to the COVID-19 outbreak**. Omission of requested information may be a cause to reject application.

Serving All Vessels Equally, Inc. is requesting \$8,000 to help raise awareness among teenagers and young adults about the need for proper precautions and safety due to Covid19. In our groups, youth share with us a rather nonchalant sense of invincibility and lack of appreciation for health and safety protocols. They sometimes sneak out of the house to see a love interest, posts photos on social medias in groups, no physical distancing, no PPE, etc. Or, they roam around the neighborhoods without PPE during school hours because their parents are essential workers and not a home to monitor school progress of their child. Some travel as far as Bridgeport several times a week to hang out with friends or see siblings who live with another parent—who also may not be home during the day or evening.

In addition, several of our Black and Latino teenagers live in multigenerational households where they are helping to care for infirmed relatives or infant siblings. Further, some of our young people are doing everything they are supposed to do, but they are bored and want something new and motivating to engage in. Overall, our teenagers, 14-17 year-olds in particular, have not yet developed the skills or interest to really reflect on how they are coping during these difficult times.

SAVE's Youth Council For Justice has a new civic education/digital arts campaign that we began in September, which will progress in the summer, (we couldn't meet the last three months and we're playing catch up.) It is designed to help teenagers gain critical thinking and interviewing/digital media skills with a focus on how their communities can progress towards justice, equity and wellness.

To this end, we are requesting funds to:

- 1) **Create a social media health and safety campaign to help prevent the spread of the corona virus among teenagers and young adults;**
- 2) **Provide PPE supplies to give to our youth participants and their families;**
- 3) **Include and additional social media announcement for the critical need of the residents we serve in South Norwalk to complete the CENSUS.**

Program Design

- During a span of three weeks, a group of teenagers and young adults in Norwalk between the ages of 14-24 will be paid a stipend of \$300 for training on health, safety and wellness in the midst of Covid19. They will listen to messages from Mayor Rilling's town hall meetings and we will enlist support from Norwalk's Health Department and Community Services with Lamond Daniels.
- The young people will come from SAVE's youth programs as well as the E.D.'s partnership with Norwalk Community College. (Pamela George is Coordinator of peer academic support services at NCC.) The NCC students ranging from 18-24 need to hear the same messages as younger youth, but they are also in a position to help support and mentor younger teens with their insights and peer-to-peer training techniques that can provide powerful support/buddy system to our high schoolers.

Additionally, we will partner with NCC’s efforts and staff there, (namely Lois DeArmas), who is outreaching to complete the Census. We will enlist her help and ideas for outreaching to our hardest to reach areas and will join with some of our community partners, e.g. The Haitian Collaboration, Norwalk Acts and Norwalk NAACP.

- We know that there will again be an opportunity to go door-to-door later this summer. YC4J was introduced to canvassing in the fall with Kadeem Roberts, Godfrey Azima and David Heuvelman. They would like to do this again with local officials in the hardest to reach areas of Norwalk such as Councilmember Ernie Dumas and BOE member Sherelle Harris.
- Even with canvassing, social media awareness can have greater impact. We will provide youth-produced public announcements through social media that are in English, Spanish and Haitian Kreyol.
- Youth will work in small groups facilitated by our partnership with radio broadcaster at WPKN, Tony L. Hardy and director of digital arts in New Britain, Duane Pierre. Both men grew up in Norwalk. Youth will develop a series of Tik Tok and Flip Grid videos to post to Instagram, Facebook and Snapchat with critically important health messages on wellness and safety.
- The young people will work with BOE members and Common Council representing their communities to help develop content for the public service announcements.
- Some of the announcements will appear on the radio, some in social media. We will work for other media coverage as well with support of the City and the Black Puerto Rican Caucus. To this end, our youth may need to travel to the recording studio to complete a PSA. However, much can be done from home computers or computers we will purchase for individual use if necessary.
- That said, we are including some transportation costs in the event that one or two youth at a time can enter a broadcasting studio in BPT or New Britain. We of course await further guidance from the State. All activities related to this project must receive the written permission of parent or guardian.

We’ve noticed that some of our youth and families have some PPE, but running out. We know that the Health Department has provided masks, gloves and thermometers. If appropriate, SAVE would like to provide some of the supplies (surgical face masks, gloves, thermometer, and sanitizers), whenever we gather or the supplies are requested.

\$4,000	Youth Stipends
\$1,000	PPE, travel through Vango (youth travel service), materials/supplies such as tote bag or back pack with helpful info to drop off to families while canvassing.
\$1,000	Renumeration for facilitators and nominal rental cost of space if needed (Broadcasting studio and digital arts room to be used by one or two students at a time if allowable. The 1k is in addition to the funding we have for facilitators.)
\$1,000	Purchase 2-3 computers for individual use. Some of our youth don’t have adequate computers and software or their Chromebook doesn’t work properly. In some cases computers are shared with other siblings...Also wifi packs, if necessary. (However, will work with the District as much as possible to alleviate additional costs.)
\$1,000	Overhead costs for E.D. for oversight and accountant services and taxes.
\$8,000	TOTAL COSTS

2. Check the box that best describes the proposed project/activity.

- ☒ **Public service activity**
- ☐ Rehabilitation activity
- ☐ New construction activity
- ☐ Real property acquisition activity (i.e. land/building).
- ☐ Other (explain) _____

3. Check the box that applies to the proposed project/activity.

- ☐ New "core" program
- ☒ **Expansion of existing "core" program**
- ☐ Support of existing "core" program (with no expansion)
- ☐ New "support" program
- ☐ Expansion of existing "support" program
- ☐ Existing "support" program (with no expansion)
- ☐ Other (explain) _____

4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose? (NOTE: Our office is at 31 Concord St, Canaan Baptist Church. The video cameras we currently have are stored there. However, we are using resources remotely for now.)

☒ YES ☐ NO

5. How many persons or families (unduplicated #s) will the proposed project/activity serve? Indicate one as follows: We expect to reach a high number weekly due to social media output. Number estimated herein is conservative.

60-100 Week
_____ Month
_____ Year

- | | | | |
|----|--|------------------------------------|-----------------------|
| 6. | How many persons or families (unduplicated #s) in Question 7, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)? | # <u>95%</u>

_____ | Week
Month
Year |
| 7. | How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG-CV income guidelines on Page 2 of this application)? | # <u>95%</u>

_____ | Week
Month
Year |

*** Failure to answer Questions 6 – 9 may disqualify application.**

- | | | |
|----|--|--|
| 8. | What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? <u>Check more than one box, if necessary</u> . Note that the organization must be able to prove the income eligibility of beneficiaries. | ☐ Name
☐ Address
☐ Income
☐ Other |
| 9. | Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation with the application evidencing the below qualification. Examples: Client In-take forms (no names), proposed rents, etc. | |

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

- ☐ **Area Benefit.** Activity meets needs of LMI persons residing in an area where at least 51% of the residents are LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood.
Documentation Attached: ☐
- ☐ **Limited Client Benefit.** Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the subcategories, check the applicable number.
Documentation Attached: ☐
- (1) Project/activity maintains client records on income and family size records documenting that such persons qualify as LMI.
 - (2) Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons.
 - (3) Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons.
 - (4) Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.)

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ____yes ____no

If yes, please explain:

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? ____yes ____no.

If yes, please explain below and include any letter(s) of commitment for ongoing funds or approved funds from other source(s) to assist with the proposed project that you are requesting.

If yes, what funding source?	Amount Requested	Amount Approved	Amount Pending	Amount Denied

2. What is the total cost of the proposed project? Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor and/or architect/engineer estimate.

\$4,000	Youth Stipend
\$1,000	PPE and travel through Vango (youth travel service)
\$1,000	Renumeration for facilitators and usage of space if needed (Broadcasting studio and digital arts room to be used by one or two students at a time if allowable.)
\$1,000	Purchase of a few computers for individual use. Some of our youth don't have adequate computers and software or their Chromebook isn't working. Also wifi packs, if necessary.
\$1,000	Overhead costs for E.D. oversight and accountant services and taxes.
\$8,000	TOTAL COSTS

3. Describe your organization's fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

SAVE has an accountant who utilizes Quick Books and monthly submits statements Profit/Loss and Balance Sheets to the Board of Directors for review and final approval. SAVE submits quarterly expenditure reports to the State. All payments are approved by the Board and distributed by the Accountant, only. All audit requirements are in place and approved annually through the State.

4. Attach an explanation on how the proposed project will affect your administrative budget (example: additional personnel, maintenance, office space, etc.) Include an explanation on long-term plans for funding/sustaining the proposed project.

For now, this project will nominally impact the administrative budget. There will be some cost associated with the facilitators and office space as well as administrative oversight by the E.D.

We are hoping to sustain the project by developing an archive of digital content created over the summer and used regularly with nominal costs for updating if needed.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish).

TIMETABLE

June 2020

Train 8-15 teenagers and young adults on health and safety procedures during Covid19.
Guest speakers: Norwalk Health and Community Services directors.
Social Media and Influencer expert.

Develop ideas for digital content and PSAs.

Training on how to “tell a story” and edit videos.

July and August 2020

Record, edit, produce and disseminate content throughout Social Media.

Work with community partners to canvass neighborhoods.

PART 4. ORGANIZATIONAL EFFICIENCY

1. How many staff members will be directly associated with the proposed project?

	Professional	Support	Volunteer
Full-Time Staff			
Part-Time Staff	2	3	

Include a list of those involved in completing the project. The list must include: each person's name and a brief summary of job duties in relation to the proposed project.

Pamela George, Executive Director. Oversight of project

YC4J Coordinator, TBD (funding through FCCF and Perrin Foundation)

Duane Pierre, Facilitator in Digital Arts

Tony L. Hardy, Facilitator in Broadcasting

Ceren Citak, Youth Leader/Support Staff with stipend

2. If your organization has an elected or appointed board, complete the questions below.

NAME OF BOARD/COMMITTEE: S.A.V.E. Board of Directors

List the names of the individuals on the board and the position they may hold on the board.

- a. Number of voting board members as of January 1, 2020 6 Vacancies? 3
- b. How many board members reside within the City of Norwalk? 2
- c. How are the board members chosen? Through Nominating Committee and Board vote.
- d. Does your organization provide any board training and/or orientation? x yes ____ no
If so, how often is training provided? Annually
- e. How long is a term? Undefined. Board is currently in process of updating Bylaws. How many consecutive terms may be served? undefined

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. Has the organization attempted to coordinate the project with other agencies to avoid duplication of services? x yes ____ no If yes, please explain. We have discussed with the City of Norwalk and participated in weekly Community Services calls to ensure what services are being offered currently.

2. Identify other agencies in Norwalk (including non-profit and government) that provide services similar to your proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies? We have spoken with Census coordinator at NCC to discuss ways to collaborate and not duplicate efforts. We are unaware of any group focused on young adults at NCC and the use of social media to influence younger peers.

- 3.

4. Identify other agencies in Norwalk that provide services directed toward the same target beneficiaries of your proposed project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants:

ORGANIZATION NAME: Serving All Vessels Equally, Inc. (S.A.V.E.)

Organization is:

- 1. Corporation ()
- 2. Non-Profit 501(c)(3) ()
- 3. Partnership ()
- 4. Sole Owner ()
- 5. Association ()
- 6. Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the above-mentioned organization or project proposed. 0

Name, Job Title and Norwalk Redevelopment Agency Department

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a potential "financial interest" in the organization or project. 0

Name/Title

NOTE: If the applicant has provided names in question 1 or 2, please provide details regarding any known potential conflicts of interest in an attached narrative.

CARES ACT PROPOSAL

COVID19 Prevention and Awareness

Serving All Vessels Equally, Inc. is requesting \$8,000 to help raise awareness among teenagers and young adults about the need for proper precautions and safety due to Covid19. In our groups, youth share with us a rather nonchalant sense of invincibility and lack of appreciation for health and safety protocols. They sometimes sneak out of the house to see a love interest, posts photos on social medias in groups, no physical distancing, no PPE, or roam around the neighborhoods without PPE during school hours because their parents are essential workers and not a home to monitor school progress of their child. Some travel as far as Bridgeport several times a week to hang out with friends or see siblings who live with another parent who also may not be home during the day or evening.

In addition, several of our Black and Latino teenagers live in multigenerational households where they are helping to care for infirmed relatives or infant siblings. Further, some of our young people are doing everything they are supposed to do, but they are bored and want something new to do. Overall, our teenagers, 14-17 year-olds in particular, have not yet developed the skills or interest to really reflect on how they are coping during these difficult times.

SAVE's Youth Council For Justice has a new civic education/digital arts campaign that we began in September, which will progress in the summer, (we couldn't meet the last three months and we're playing catch up.) It is designed to help teenagers gain critical thinking and interviewing/digital media skills with a focus on how their communities can progress towards justice, equity and wellness.

To this end, we are requesting funds to:

- 1) Create a social media health and safety campaign to help prevent the spread of the corona virus among teenagers and young adults;
- 2) Provide PPE supplies to give to our youth participants and their families;
- 3) Include an additional social media announcement for the critical need of the residents we serve in South Norwalk to complete the CENSUS.

Program Design

- During a span of three weeks, a group of teenagers and young adults in Norwalk between the ages of 14-24 will be paid a stipend of \$300 to be trained on health, safety and wellness in the midst of Covid19. They will listen to messages from Mayor Rilling's town hall meetings and we will enlist support from Norwalk's Health Department and Community Health with Lamond Daniels.

- The young people will come from SAVE's youth programs as well as the E.D.'s partnership with Norwalk Community College. (Pamela George is Coordinator of peer academic support services at NCC.) The NCC students ranging from 18-24 need to hear the same messages as younger youth, but they are also in a position to help support and mentor younger teens with their insights and peer-to-peer training techniques that can provide powerful mentoring to our high schoolers.

Additionally, we will partner with NCC's efforts and staff there, (namely Lois DeArmas), who is outreaching to complete the Census. We will enlist her help and ideas for outreaching to our hardest to reach areas.

- We will provide public announcements through social media that are in English, Spanish and Haitian Kreyol.
- Youth will work in small groups facilitated by our partnership with radio broadcaster at WPKN, Tony L. Hardy and director of digital arts in New Britain, Duane Pierre. Both men grew up in Norwalk. Youth will develop a series of Tik Tok and Flip Grid videos to post to Instagram, Facebook and Snapchat with critically important health messages on wellness and safety.
- The young people will work with BOE members and Common Council representing their communities to help develop content for the public service announcements.
- Some of the announcements will appear on the radio, some in social media. We will work for other media coverage as well with support of the City and the Black Puerto Rican Caucus. To this end, our youth may need to travel to the recording studio to complete a PSA. However, much can be done from home computers or computers we will purchase for individual use if necessary.
- That said, we are including some transportation costs in the event that one or two youth at a time can enter a broadcasting studio – we of course await further guidance from the State. All activities related to this project must receive the written permission of parent or guardian.

We've noticed that some of our youth and families have some PPE, but running out. We would like to provide some of the supplies (surgical face masks, gloves and sanitizer), whenever we gather or the supplies are requested.

\$4,000	Youth Stipend
\$1,000	PPE and travel through Vango (youth travel service)
\$1,000	Renumeration for facilitators and usage of space if needed (Broadcasting studio and digital arts room to be used by one or two students at a time if allowable.)
\$1,000	Purchase of a few computers for individual use. Some of our youth don't have adequate computers and software or their Chromebook isn't working. Also wifi packs, if necessary.
\$1,000	Overhead costs for E.D. oversight and accountant services and taxes.
\$8,000	TOTAL COSTS

Respectfully submitted,

Pamela Y. George
Executive Director of S.A.V.E.
Norwalk, CT.
(203) 985-5498

SAVE

Balance Sheet

As of May 22, 2020

	<u>Total</u>
ASSETS	
Current Assets	
Bank Accounts	
PayPal	0.00
Wells Fargo	50,255.03
Total Bank Accounts	\$ 50,255.03
Other Current Assets	
Repayment	
CC Repayment	-2,127.19
Payroll Advance	0.00
Total Repayment	-\$ 2,127.19
Total Other Current Assets	-\$ 2,127.19
Total Current Assets	\$ 48,127.84
TOTAL ASSETS	\$ 48,127.84
LIABILITIES AND EQUITY	
Liabilities	
Current Liabilities	
Accounts Payable	
20000 Accounts Payable	0.00
Total Accounts Payable	\$ 0.00
Credit Cards	
Chase Credit Card	462.16
A. DANCY (6265)	79,657.74
P. George (8690)	5,769.79
P. JOHNSON (4507)	7,751.74
R. EWELL (6257)	-130,862.25
T. TORIAN (6281)	37,386.97
Total Chase Credit Card	\$ 166.15
Total Credit Cards	\$ 166.15
Other Current Liabilities	
Direct Deposit Payable	0.00
Payroll Liabilities	
ConnectiCare	2.00
CT Income Tax	114.46
CT Unemployment Tax	121.53
Federal Taxes (941/944)	961.34
Total Payroll Liabilities	\$ 1,199.33
Total Other Current Liabilities	\$ 1,199.33
Total Current Liabilities	\$ 1,365.48
Total Liabilities	\$ 1,365.48
Equity	
30000 Opening Balance Equity {3}	171.34
32000 Unrestricted Net Assets	54,101.85
39999 Retained Earnings	1,282.97
Net Income	-8,793.80
Total Equity	\$ 46,762.36
TOTAL LIABILITIES AND EQUITY	\$ 48,127.84

SAVE

Budget vs. Actuals: FY2019 - FY19 P&L Classes

January - December 2019

	Agency1				Check&Connect1				PenPencil1				YC4J1				TOTAL			
	Actual	Budget	over Budget	Remaining	Actual	Budget	Budget	Remaining	Actual	Budget	Budget	g	Actual	Budget	Budget	Remaining	Actual	Budget	Budget	Remaining
Income																				
42000 Grants			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00	0.00	0.00	0.00	0.00
42002 Perrin	2,291.67	2,500.00	-208.33	208.33			0.00	0.00			0.00	0.00	55,208.33	27,500.00	27,708.33	-27,708.33	57,500.00	30,000.00	27,500.00	-27,500.00
42005 State of CT - YSG	27,493.06	27,425.00	68.06	-68.06	41,421.66	13,887.50	27,534.16	-27,534.16	501.54	500.00	1.54	-1.54	13,633.74	13,600.00	33.74	-33.74	83,050.00	55,412.50	27,637.50	-27,637.50
42006 Ffld Cnty Comm Foundation			0.00	0.00			0.00	0.00			0.00	0.00	15,000.00		15,000.00	-15,000.00	15,000.00	0.00	15,000.00	-15,000.00
42008 City of Norwalk CDBG	5,300.00		5,300.00	-5,300.00	3,983.74	7,000.00	-3,016.26	3,016.26	3,016.26	5,300.00	-2,283.74	2,283.74			0.00	0.00	12,300.00	12,300.00	0.00	0.00
Total 42000 Grants	\$ 35,084.73	\$ 29,925.00	\$ 5,159.73	-\$ 5,159.73	\$ 45,405.40	\$ 20,887.50	\$ 24,517.90	-\$ 24,517.90	\$ 3,517.80	\$ 5,800.00	-\$ 2,282.20	\$ 2,282.20	\$ 83,842.07	\$ 41,100.00	\$ 42,742.07	-\$ 42,742.07	\$ 167,850.00	\$ 97,712.50	\$ 70,137.50	-\$ 70,137.50
44001 Contributions (SAVE Board)	348.60		348.60	-348.60			0.00	0.00			0.00	0.00			0.00	0.00	348.60	0.00	348.60	-348.60
44002 Individuals (Donor Base)	1,124.43		1,124.43	-1,124.43			0.00	0.00			0.00	0.00			0.00	0.00	1,124.43	0.00	1,124.43	-1,124.43
Total Income	\$ 36,557.76	\$ 29,925.00	\$ 6,632.76	-\$ 6,632.76	\$ 45,405.40	\$ 20,887.50	\$ 24,517.90	-\$ 24,517.90	\$ 3,517.80	\$ 5,800.00	-\$ 2,282.20	\$ 2,282.20	\$ 83,842.07	\$ 41,100.00	\$ 42,742.07	-\$ 42,742.07	\$ 169,323.03	\$ 97,712.50	\$ 71,610.53	-\$ 71,610.53
Gross Profit	\$ 36,557.76	\$ 29,925.00	\$ 6,632.76	-\$ 6,632.76	\$ 45,405.40	\$ 20,887.50	\$ 24,517.90	-\$ 24,517.90	\$ 3,517.80	\$ 5,800.00	-\$ 2,282.20	\$ 2,282.20	\$ 83,842.07	\$ 41,100.00	\$ 42,742.07	-\$ 42,742.07	\$ 169,323.03	\$ 97,712.50	\$ 71,610.53	-\$ 71,610.53
Expenses																				
61000 Salary and Benefits			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00	0.00	0.00	0.00	0.00
61001 Executive Director	29,005.00	18,475.00	10,530.00	-10,530.00	4,577.50		4,577.50	-4,577.50	1,837.50		1,837.50	-1,837.50	8,907.50		8,907.50	-8,907.50	44,327.50	18,475.00	25,852.50	-25,852.50
61002 Check & Connect Coord			0.00	0.00	20,997.00	16,500.00	4,497.00	-4,497.00			0.00	0.00			0.00	0.00	20,997.00	16,500.00	4,497.00	-4,497.00
61004 Pen or Pencil Director			0.00	0.00			0.00	0.00		5,300.00	-5,300.00	5,300.00			0.00	0.00	0.00	5,300.00	-5,300.00	5,300.00
61005 Youth Organizer (Y4CJ			0.00	0.00			0.00	0.00			0.00	0.00	11,100.00	25,750.00	-14,650.00	14,650.00	11,100.00	25,750.00	-14,650.00	14,650.00
Total 61000 Salary and Benefits	\$ 29,005.00	\$ 18,475.00	\$ 10,530.00	-\$ 10,530.00	\$ 25,574.50	\$ 16,500.00	\$ 9,074.50	-\$ 9,074.50	\$ 1,837.50	\$ 5,300.00	-\$ 3,462.50	\$ 3,462.50	\$ 20,007.50	\$ 25,750.00	-\$ 5,742.50	\$ 5,742.50	\$ 76,424.50	\$ 66,025.00	\$ 10,399.50	-\$ 10,399.50
62000 Salary and Wages - Other			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00	0.00	0.00	0.00	0.00
62005 Student Stipends			0.00	0.00			0.00	0.00			0.00	0.00	17,650.00	7,500.00	10,150.00	-10,150.00	17,650.00	7,500.00	10,150.00	-10,150.00
62006 Mentor Stipends			0.00	0.00			0.00	0.00	1,500.00		1,500.00	-1,500.00			0.00	0.00	1,500.00	0.00	1,500.00	-1,500.00
62007 Advances	0.00		0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00	0.00	0.00	0.00	0.00
62008 Tutors			0.00	0.00	1,860.00	1,387.50	472.50	-472.50			0.00	0.00			0.00	0.00	1,860.00	1,387.50	472.50	-472.50
62009 Facilitators			0.00	0.00			0.00	0.00			0.00	0.00	1,250.00	3,000.00	-1,750.00	1,750.00	1,250.00	3,000.00	-1,750.00	1,750.00
Total 62000 Salary & Wages - Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,860.00	\$ 1,387.50	\$ 472.50	-\$ 472.50	\$ 1,500.00	\$ 0.00	\$ 1,500.00	-\$1,500.00	\$ 18,900.00	\$ 10,500.00	\$ 8,400.00	-\$ 8,400.00	\$ 22,260.00	\$ 11,887.50	\$ 10,372.50	-\$ 10,372.50
62130 Bank Charges	168.05		168.05	-168.05			0.00	0.00			0.00	0.00			0.00	0.00	168.05	0.00	168.05	-168.05
62150 Workmens Compensation		375.00	-375.00	375.00			0.00	0.00			0.00	0.00			0.00	0.00	0.00	375.00	-375.00	375.00
62500 Youth Services			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00	0.00	0.00	0.00	0.00
62501 Food			0.00	0.00	1,442.16		1,442.16	-1,442.16			0.00	0.00	1,052.18		1,052.18	-1,052.18	2,494.34	0.00	2,494.34	-2,494.34
62502 Transportation			0.00	0.00	543.54		543.54	-543.54			0.00	0.00	147.79		147.79	-147.79	691.33	0.00	691.33	-691.33
62503 College Tours/Field Trips			0.00	0.00			0.00	0.00			0.00	0.00	300.00		300.00	-300.00	300.00	0.00	300.00	-300.00
Total 62500 Youth Services	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,985.70	\$ 0.00	\$ 1,985.70	-\$ 1,985.70	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,499.97	\$ 0.00	\$ 1,499.97	-\$ 1,499.97	\$ 3,485.67	\$ 0.00	\$ 3,485.67	-\$ 3,485.67
63140 Facilities	7,700.00	4,200.00	3,500.00	-3,500.00			0.00	0.00			0.00	0.00			0.00	0.00	7,700.00	4,200.00	3,500.00	-3,500.00
63145 Equipment Rental/Use			0.00	0.00			0.00	0.00			0.00	0.00	1,660.50		1,660.50	-1,660.50	1,660.50	0.00	1,660.50	-1,660.50
63150 Insurance	50.00		50.00	-50.00			0.00	0.00			0.00	0.00			0.00	0.00	50.00	0.00	50.00	-50.00
64100 Accountant/Bookkeeping	3,500.00		3,500.00	-3,500.00			0.00	0.00			0.00	0.00			0.00	0.00	3,500.00	0.00	3,500.00	-3,500.00
65000 Operations			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00	0.00	0.00	0.00	0.00
Copying	98.84	500.00	-401.16	401.16			0.00	0.00			0.00	0.00			0.00	0.00	98.84	500.00	-401.16	401.16
65035 Software/services	1,825.35		1,825.35	-1,825.35			0.00	0.00	33.00		33.00	-33.00			0.00	0.00	1,858.35	0.00	1,858.35	-1,858.35
65040 Equipment/Supplies			0.00	0.00			0.00	0.00			0.00	0.00		350.00	-350.00	350.00	0.00	350.00	-350.00	350.00
65060 Refreshments	51.04		51.04	-51.04			0.00	0.00	203.35		203.35	-203.35			0.00	0.00	254.39	0.00	254.39	-254.39
Total 65000 Operations	\$ 1,975.23	\$ 500.00	\$ 1,475.23	-\$ 1,475.23	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 236.35	\$ 0.00	\$ 236.35	-\$ 236.35	\$ 0.00	\$ 350.00	-\$ 350.00	\$ 350.00	\$ 2,211.58	\$ 850.00	\$ 1,361.58	-\$ 1,361.58
65100 Subcontractor			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00	0.00	0.00	0.00	0.00
65120 Insurance - Liability, D & O	4,333.88	1,250.00	3,083.88	-3,083.88			0.00	0.00			0.00	0.00			0.00	0.00	4,333.88	1,250.00	3,083.88	-3,083.88
Total 65100 Subcontractor	\$ 4,333.88	\$ 1,250.00	\$ 3,083.88	-\$ 3,083.88	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 4,333.88	\$ 1,250.00	\$ 3,083.88	-\$ 3,083.88
66100 Travel, Meetings, Training	240.39	2,500.00	-2,259.61	2,259.61	8,202.03	1,250.00	6,952.03	-6,952.03	300.15		300.15	-300.15	189.13		189.13	-189.13	8,931.70	3,750.00	5,181.70	-5,181.70
66150 Mktg Materials/Advertising	243.26		243.26	-243.26			0.00	0.00			0.00	0.00	437.39		437.39	-437.39	680.65	0.00	680.65	-680.65
66160 Fundraisers/Events	910.00	2,500.00	-1,590.00	1,590.00	265.88		265.88	-265.88	113.53		113.53	-113.53			0.00	0.00	1,289.41	2,500.00	-1,210.59	1,210.59

67100 Staff Training/Dev/Supplies		0.00	0.00	295.00		295.00	-295.00			0.00	0.00		0.00	0.00	295.00	0.00	295.00	-295.00		
68400 Background Checks	125.00	-125.00	125.00	79.98		79.98	-79.98			0.00	0.00		0.00	0.00	79.98	125.00	-45.02	45.02		
69100 Student Supplies		0.00	0.00	740.24	1,750.00	-1,009.76	1,009.76			0.00	0.00		0.00	0.00	740.24	1,750.00	-1,009.76	1,009.76		
69150 Field Trips, Group Activities		0.00	0.00	2.00		2.00	-2.00	792.48	500.00	292.48	-292.48	284.40	4,500.00	-4,215.60	4,215.60	1,078.88	5,000.00	-3,921.12	3,921.12	
71000 In-Kind Expenses	3,000.00	3,000.00	-3,000.00			0.00	0.00			0.00	0.00			0.00	0.00	3,000.00	0.00	3,000.00	-3,000.00	
Payroll Expenses		0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00	0.00	0.00	0.00	0.00	
Taxes	3,274.52	3,274.52	-3,274.52	1,439.16		1,439.16	-1,439.16			0.00	0.00	1,226.55		1,226.55	-1,226.55	5,940.23	0.00	5,940.23	-5,940.23	
Taxes - Check & Connect Coord		0.00	0.00	532.52		532.52	-532.52			0.00	0.00			0.00	0.00	532.52	0.00	532.52	-532.52	
Taxes - Executive Director	771.12	771.12	-771.12			0.00	0.00			0.00	0.00			0.00	0.00	771.12	0.00	771.12	-771.12	
Total Payroll Expenses	\$ 4,045.64	\$ 0.00	\$ 4,045.64	-\$ 4,045.64	\$ 1,971.68	\$ 0.00	\$ 1,971.68	-\$ 1,971.68	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,226.55	\$ 0.00	\$ 1,226.55	-\$ 1,226.55	\$ 7,243.87	\$ 0.00	\$ 7,243.87	-\$ 7,243.87
Total Expenses	\$ 55,171.45	\$ 29,925.00	\$ 25,246.45	-\$ 25,246.45	\$ 40,977.01	\$ 20,887.50	\$ 20,089.51	-\$ 20,089.51	\$ 4,780.01	\$ 5,800.00	-\$ 1,019.99	\$ 1,019.99	\$ 44,205.44	\$ 41,100.00	\$ 3,105.44	-\$ 3,105.44	\$ 145,133.91	\$ 97,712.50	\$ 47,421.41	-\$ 47,421.41
Net Operating Income	-\$ 18,613.69	\$ 0.00	-\$ 18,613.69	\$ 18,613.69	\$ 4,428.39	\$ 0.00	\$ 4,428.39	-\$ 4,428.39	-\$ 1,262.21	\$ 0.00	-\$ 1,262.21	\$ 1,262.21	\$ 39,636.63	\$ 0.00	\$ 39,636.63	-\$ 39,636.63	\$ 24,189.12	\$ 0.00	\$ 24,189.12	-\$ 24,189.12
Net Income	-\$ 18,613.69	\$ 0.00	-\$ 18,613.69	\$ 18,613.69	\$ 4,428.39	\$ 0.00	\$ 4,428.39	-\$ 4,428.39	-\$ 1,262.21	\$ 0.00	-\$ 1,262.21	\$ 1,262.21	\$ 39,636.63	\$ 0.00	\$ 39,636.63	-\$ 39,636.63	\$ 24,189.12	\$ 0.00	\$ 24,189.12	-\$ 24,189.12

Taxpayer Copy

Do NOT mail to the Department of Revenue Services.

Your Confirmation Number is: 17W9900202015

Reasons for Registering

Opening a new business

Business Profile

Business Information

Type of Organization: Corporation

Nature of Business Activity

Other (explain):

501c3 Charitable Organization

Major Business Activity

Faith Based Youth Leadership Program

NAICS Code: 813410

Business Name & Address

Organization Name: Serving All Vessels Equally

FEIN: 050616689

CT Secretary of the State Business ID: 0732472

Business Trade Name: Serving All Vessels Equally

Address: 31 Concord Street

Norwalk, CT 06854

Mailing Address

Address: 31 Concord Street

Norwalk, CT 06854

Business Telephone Number: 203-853-1000

Business Bank: Wells Fargo

Owner and Officer Information

This is the information you filled out on your application. If your organization type is taxed as a partnership such as a General Partnership, Limited Partnership, Limited Liability Partnership, or a Limited Liability Company you

634

must enter more than one member/partner name. If you need to make any change, select the EDIT button to make the appropriate additions.

Roosevelt Ewell

Owner Type: Individual

Title: President

SSN: 246943469

Date of Birth: 01/31/1958

Home Address: 2 Moran Ave

Danbury, CT 06810

Telephone Number: 203-733-7246

Bank Name: Wells Fargo

Registered Tax Types

Tax Type	Tax Liability Start Date
Income Tax Withholding	02/23/2017

1. Are you an employer that transacts business or maintains an office in Connecticut and intends to pay wages to resident employees or nonresident employees who work in Connecticut? 1. Yes
If you have a Connecticut tax registration number for withholding for another location and intend to file withholding for this new location under that number, enter the Connecticut Tax Registration Number.
Connecticut Tax Registration Number:
2. Are you an out-of-state company voluntarily registering to withhold Connecticut income tax for your Connecticut resident employees who work outside of Connecticut? (By answering "Yes" to this question, you are indicating that this company does not have any tax liability in CT, and you will only be registering for Income Tax Withholding with this registration application.) 2. No
3. Do you intend to withhold Connecticut income tax from any of the following: pension plans; annuity plans; retirement distributions; or gambling distributions? 3. No
4. Do you pay nonresident athletes or entertainers for services they render in Connecticut? 4. No
5. Do you only have household employees and wish to withhold Connecticut income tax? 5. No
6. Do you only have agricultural employees and wish to withhold Connecticut income tax? 6. No

If you use a payroll service, enter name of payroll company: Quickbooks Payroll

Signature

FEIN/SSN: 050616689

Contact Information

Name:	Tonya Torian
Email:	ttorian@saveinc.org
Daytime Telephone Number:	203-846-9444

Board of Directors

SERVING ALL VESSELS EQUALLY, INC.

Roosevelt Ewell President/CEO	Assistant Tax Collector City of Danbury
Phyllis Johnson (Director)	Program Assistant Norwalk Head Start Program – Ben Franklin Center
Eric Fischman (Director)	School Psychologist Wilton Public Schools
Tonya Torian (Director)	Financial Consultant Norwalk
Cedric Lawrence (Director)	Sacred Heart University
Nicole Davis (Director)	Recruitment and Placement Specialist Norwalk Public Schools

COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

Household Information Sheet

This information is required in order to determine eligibility for assistance under a federally-assisted program. The responses on this form will be used for eligibility decisions and statistical purposes only and will otherwise be held strictly confidential. **PLEASE ANSWER ALL QUESTIONS.**

Name of Beneficiary of CDBG-funded Activity:	
Name of Head of Household:	
Street Address (No P.O. Boxes):	
Head of Household's Age: ☐ Under 62 years ☐ Over 62 years	
Number of persons in household, including head of household:	
Age youngest person in household: _____ Years old	
Gender of Head of Household: ☐ Male ☐ Female	
IS HEAD OF HOUSEHOLD HANDICAPPED? ☐ Yes ☐ No	
**If yes, please note type of disability:	
ETHNICITY AND RACE OF HEAD OF HOUSEHOLD:	Race:
Ethnicity:	☐ Black ☐ White
☐ Latino/a	☐ Asian ☐ Other _____
☐ Non-Latino/a	☐ Native Hawaiian/Pacific Islander
	☐ American Indian/Alaskan Native

Annual Household Income

Please list gross annual income and source of income for all persons living in the household who are over the age of 18 and not in school.

Source of Income (Employer, Agency, Public Assistance or Individual Who Pays Member of Household)	Annual Income

CERTIFICATIONS: I hereby certify that the information on this form is complete and correct to the best of knowledge. I also hereby authorize the Redevelopment Agency of the City of Norwalk to verify any and all income information provided on this form.

Signature, Head of Household: _____

Date: _____

Office Use Only

INCOME CATEGORY: ☐ Extremely Low Income ☐ Low Income ☐ Moderate Income ☐ Over Income

TO: MEMBERS, PLANNING COMMITTEE OF THE NORWALK COMMON COUNCIL
FROM: STAFF OF THE NORWALK REDEVELOPMENT AGENCY
DATE: MAY 27, 2020
RE: CDBG 5-YEAR CONSOLIDATED PLAN AND PY46 ANNUAL ACTION PLAN (AAP)

As an entitlement community, The City of Norwalk receives an annual allocation of community development funding from the U.S. Department of Housing and Urban Development (HUD) and is required to submit a five-year Consolidated Plan, covering Norwalk's Community Development Program. The plan is:

- A collaborative process whereby the community establishes a unified vision for community development actions.
- A strategy, according to HUD's directions, that sets forth Norwalk's policy for allocating investment to meet housing needs and economic development initiatives.
- A statement of community development objectives.
- A management tool for tracking and measuring results.

5-YEAR CONSOLIDATED PLAN (ConPlan) AND PY46 ANNUAL ACTION PLAN (AAP) PUBLIC PARTICIPATION

There were no comments received on the Annual Action Plan during the public comment period April 20th – May 19th, 2019 or at the public hearing held on May 7th, 2020.

The ConPlan and PY46 AAP can be found in draft format at the Agency's CBDG page on the City of Norwalk's website: <http://www.norwalkct.org/1412/Community-Development-Block-Grant>

PY46 FUNDS AVAILABLE AND FUNDING RECOMMENDATIONS

The City's CBDG amount available for funding is \$1,050,515. Below is a summary of funding allocations recommended by the Planning Committee and included in the Consolidated Plan and Annual Action Plan. CBDG program planning and administration will continue to operate according to the 20% formula as prescribed by HUD. All public service activities are capped at 15% of the allocation.

Project	Organization	Program/Project	Request	Funds Allocated
Public Services	East Norwalk Library	Youth Robotics Program	\$7,900	\$7,900
	Higher Education Learning Professionals	College Prep Program	\$14,000	\$9,702
	Liberations	Vocational Training & Financial Planning for Women in Substance Abuse Programs	\$20,000	\$15,702
	Malta House	Residential and Partnering Success Prog	\$50,000	\$45,701
	Open Door Shelter	Smilow Life Ctr Jobs Training Program	\$35,000	\$30,702
	Serving All Vessels Equally (SAVE)	Check & Connect Intervention Program for K-12 Students	\$30,000	\$25,701
	TOTAL		\$156,900	\$135,408
Housing	Domestic Violence Crisis Center	Norwalk Safe House Renovations	\$35,000	\$35,000
	HomeFront	Critical Repairs for 3 very low inc homes	\$17,000	\$17,000
	Keystone House	Bathroom Renovation at Elmcrest Terrace Group Home	\$10,075	\$10,075
	Malta House	Renovations to Malta House's New Home	\$50,000	\$50,000
	Norwalk Housing Authority	Ludlow Village Handicap Accessibility Housing Units for Seniors	\$60,500	\$60,500
	Open Door Shelter	Energy Efficient Windows and Doors	\$37,000	\$37,000
	TOTAL		\$209,575	\$209,575
Public Facilities	Carver Foundation	New Boiler System	\$40,236	\$40,236
	City of Norwalk	Walk Bridge Mitigation Program	\$100,000	\$100,000
	Norwalk Redevelopment Agency	City Neighborhoods	\$355,193	\$355,193
	TOTAL		\$495,429	\$495,429
Planning and Administration	Norwalk Redevelopment Agency	CDBG Administration	\$210,103	\$210,103
	TOTAL		\$210,103	\$210,103

REQUESTED ACTION:

- Advance the final 5-year Consolidated Plan (ConPlan) and PY46 Annual Action Plan (AAP) to the Common Council for its approval and authorize the Mayor to execute any and all documents associated with the submission of the ConPlan/PY46 AAP to HUD and all documents consistent with the approved ConPlan/PY46 AAP.

Memorandum

May 28, 2020

To: Planning Committee, Common Council
From: Steve Kleppin, Planning & Zoning Director
Re: Utile – Industrial Zones Study

As part of the Planning & Zoning Department's 2019/2020 Operating Budget, we were approved for \$100,000 to conduct a long overdue study of the City's industrial zones. No zoning area in the city has more controversy associated with it and is under as much pressure as the city's industrial zoned land. The study looks to address many questions, including but not limited to: *Where and how much land should be allocated to contractors? How much land do we need in the future to support industry? What policies should the city enact in order to attract the desired businesses? Should the zoning bounds be redrawn? Should the uses within the various industrial zones be modified? How are our peer communities addressing these issues?*

A Request for Qualifications was issued. Five responses were received with 1 being disqualified for incorrect submission requirements. The four remaining firms were interviewed. While all the firms interviewed well, Utile had the most unique approach to the study, approaching the goals and issues differently than the other firms. Utile was the unanimous choice of the committee.

I have attached the Scope of Work for the study which was prepared by Utile, City staff and reviewed by the Oversight Committee.

For informational purposes, the study committee is comprised of John Kydes and Darlene Young from Planning Committee, Richard Roina from the Zoning Commission, Tammy Langalis from the Planning Commission, Sabrina Church and myself. In addition, we will involve other stakeholders, as we move forward, specifically the Harbor Management Commission since many of these areas have impacts on Norwalk Harbor. Work is anticipated to begin in earnest in July and should hopefully conclude twelve months later.

I request that the following resolution be forwarded to the full Council for consideration:

Authorize the Mayor, Harry W. Rilling, to execute an Agreement with Utile, Inc. to conduct an Industrial Zones Study, in an amount not to exceed \$100,000.

Feel free to reach out to me with any questions.

END

Scope of Services for Norwalk Industrial Zones Study

The estimated Scope of Services describes tasks and associated services to meet the City's staff and oversight committee's goals for the Norwalk Industrial Zones Study. The process of creating scenarios, soliciting internal city feedback, and creating revisions for public presentation will require a relatively efficient process for internal consensus-building and decision-making.

Time Frame

The planning study will be accomplished within 12 months of its initiation, subject to reasonable and mutually approved adjustments by the City and Utile to take into account additional requested time for reviews, community discussions, unanticipated requests due to changes in existing conditions or force majeure events. During this timeline we propose scheduled check-ins every month, for a total of twelve updates over the twelve months. For both public health concerns as well as work efficiency, each of these meetings will be held as video-conference calls.

Project Management, Collaborative Process, and Client Responsibilities

The consultant team will collaborate with the Project Manager, Zoning Commission, Planning Commission, and Oversight Committee established by the City, City staff and officials, citizens and other stakeholders as described in this Scope of Services.

Consultant Lead: Utile is responsible for developing the Industrial Zones Study and coordinating the work of the subconsultant, Ninigret Partners. Tim Love FAIA will be the principal-in-charge, and Will Cohen AICP will be the project manager except as may be approved by the City.

Oversight Committee: The City will create an Oversight Committee (OC) to function as an advisory group. The OC will provide input, advice, and feedback to the consultant team through the City project manager. Members will be asked to assist in defining outreach opportunities, promote public involvement using their networks, including any bodies they represent, and attend public engagement events.

Project Manager: The City of Norwalk's project manager will be the Planning and Zoning Director, Steven Kleppin, who will act as principal liaison to coordinate all aspects of the project with Utile's project manager. There will be regular consultation through email, telephone, and scheduled conference calls. The City's project manager will:

- Provide access to demographic and socio-economic data, GIS data layers and map projects, assessor's data, regulations, previous planning documents, stakeholders' contact information, and other information
- Assist in making data and information held by other governmental bodies available to the consultant, as needed
- Assist by scheduling Neighborhood Impact Analysis meetings and contacting property owners and other stakeholders to attend

- Assist with public outreach and any needed media approvals including serving as the liaison for the Norwalk Tomorrow website or other City information outlets.
- Assist with the logistics for public meetings, including identification of City-owned meeting space
- Attend Oversight Committee meetings
- Attend online and in-person community meetings

Task 1: Existing Conditions and Industry Assessment

1.1 Kick-Off and Focus Groups

We propose to kick-off the project with either a half-day online meeting or a series of shorter online meetings with the City, Utile, and Ninigret Partners. This will be a chance for the project team to hear about the issues facing the waterfront and industrial zones and get context in preparation for focus groups. The issues described above are an example of the kinds of observations, design considerations, and opportunities for economic development we hope to elaborate on during a kick-off meeting. We also propose one half-day of virtual focus groups for corridor stakeholders who will be determined in collaboration with the City. Participants in the focus groups may be interested residents or community stakeholders, and may also be business owners similar to those who will fill out the survey described in Task 1.2.

1.2 Spatial & Economic Analysis

- **Collect existing data and plans:** The project team will request any existing studies from the City. This includes additional documents related to the citywide planning process' work around industrial areas, and the City's collected GIS and property data related to existing businesses, development, or tax revenue.
- **Trend analysis:** The team will assess trends in the "Industrial" sector of the economy in Fairfield & Westchester counties, looking at industrial districts in terms of establishment change and sector activity. Ninigret and Utile will look at the businesses in Norwalk's industrial districts, to assess what their products and services are, leading to a high-level summary of activities, operations and logistical needs. This information will help inform the following planning efforts. Ninigret and Utile will conduct interviews with 10-15 representative businesses in Norwalk to understand why they are located in these districts, and what needs they have for continued success.
- **Peer Communities Case Studies:** Utile and Ninigret will work with the city to identify 3-5 peer communities where cities have successfully guided growth, redevelopment, and/or repurposed their industrial districts. Representatives of the selected communities will be interviewed to understand efforts to attract the growth of industrial businesses, challenges they faced, and how their experience can inform Norwalk and the City's approach to attracting and retaining industrial uses. The comparative analysis will factor in regulatory obstacles unique to Norwalk.
- **Analyze existing developments:** Utile and Ninigret will look at the relationship of recent developments and projects to the industrial zones' current market potential. Our team will use the information provided by the City's existing datasets and lessons from the recently completed citywide plan to assess the current market viability of these areas based on their existing regulatory capacity. This will help establish the baseline conditions that will inform the future-oriented scenarios described in Task 3.

Task 2: Community Outreach

Due to COVID-19, the proposal for public meetings will maximize virtual calls with less than 50 participants. We aim to have one larger public meeting in person, and we recognize that the content presented at this meeting may shift depending on the overall project start date as well as public health considerations. All outreach efforts will be made visible on the Norwalk Tomorrow website.

2.1 Online Survey

Utile will develop a simple online survey to be completed by area stakeholders, residents, and businesses. This will be integrated with the Norwalk Tomorrow website. Feedback from this survey, which will ask questions about existing concerns and perceived needs, will help inform the scenario development. The survey will address both general issues as well as issues specific to geographic areas.

2.2 Neighborhood Impact Outreach

During this phase, Utile will host online focus groups with the different neighborhoods that abut industrial zones. Online meetings with stakeholders from geographic districts will convene to understand concerns and compatibility with adjacent uses. Utile will work with the city to identify five geographic areas of study and will convene one online meeting per defined area. The five zones could be defined as: (1) Off Route 7, (2) Waterfront, (3) East Norwalk, (4) South Norwalk, (5) MLK SoNo. The team will be mindful that industry disproportionately negatively impacts underserved communities while also considering the changing nature of industry and its relationship to other uses.

2.3 Present Scenarios to City & Public

In order to get public input on conclusions from online community outreach and the development scenarios, we will present them at a public meeting designed in a collaborative, workshop style. Utile is very intentional about how we conduct public engagement, believing that a traditional hearing-style meeting is rarely the most effective way to get constructive input. When evaluating potential development scenarios, voting for one option or another is too simplistic. Instead, what often emerges from a good public process is a hybrid scenario, taking desirable elements from more than one alternative and making informed compromises. In order to get to this type of result, a more robust discussion amongst residents, stakeholders, and City staff is necessary. Utile will work closely with the City to present the scenarios in a way that best tees up this type of discussion, and then to design and facilitate a workshop that can encourage participants to actively engage with priorities and tradeoffs to reach consensus.

Task 3: Development Scenarios

When preparing development scenarios, Utile's approach is to carefully balance the practical and the aspirational. A plan should not be constrained by the least common denominator, but nor should it be completely untethered from reality. Market demand in multiple sectors, population trends, construction costs in the region, nationwide retail trends, and other factors will play an important role in informing the development scenarios. We will combine this with a detailed look at the available parcels and soft sites across Norwalk's three industrial zones, considering the relevant industrial building types that are appropriate from a dimensional perspective, and reality-checking these "test fits" against market-driven metrics.

3.1 Scenario Design and Industrial Types

The RFP contemplates a wide range of objectives, including an appropriate balance of uses, impacts on traffic including the balance of truck traffic versus other modes, public access, resilience, protection of surrounding residential neighborhoods, and impacts on zoning and other regulatory frameworks. Utile will develop two or three scenarios that explore different ways that these objectives might be balanced. The team will assess the relevant industrial use categories and subcategories that have the greatest potential for attraction and/or expansion in the City. This will be accompanied by illustrating and cataloging corresponding building prototypes that are appropriate to the existing fabric of Norwalk's industrial zones. Graphics to support these schemes will be drafted in this initial task and refined in Task 3 in preparation for City and public presentation.

3.2 Economic Development & Program

In addition to the objectives mentioned in Task 3.1, the RFP also contemplates the need for considering the options for different kinds of industrial and heavy commercial uses, identifying potential new kinds of tenants, understanding the role of the waterfront, and understanding which development initiatives will lead to the best development outcomes for the district, long term. A conceptualization around scenarios will need to grapple with specific answers to these questions, and any range between options must fit within the spectrum of possibilities that is viable from a contemporary market perspective. The findings of the economic studies will inform the “fit analysis” conducted in 3.1, which tests the spatial viability of various industrial buildings and operations on specific sites.

3.3 Tradeoffs

The scenarios will consider tradeoffs along multiple dimensions. At the most basic level, which land uses should be prioritized? Does the City see these zones as an opportunity, beyond industrial development, to increase the commercial tax base? Which uses might conflict with each other or the existing surroundings? In what situations is it appropriate to consider additional housing, given the importance of preserving existing commercial and industrial land? The context will also be important when it comes to the scale of development explored in the scenarios, ranging from potential land uses to zoning constraints to building footprint and height. The scenarios will also consider infrastructure capacity and its constraints and opportunities.

Task 4: Plan Production

4.1 Finalize Preferred Scenario & Program

Based on feedback from the presentations in Task 2.3, Utile will select and refine a single preferred scenario and program in preparation for inclusion in final deliverables. Refinement of a preferred scenario after the public presentation will help ensure that this project's final deliverable reflects public input and is coordinated with other ongoing City initiatives and policies.

4.2 Create Final Annotated Presentation, Summary Document, and Goal Tracking

The recommendations that come out of this study will be useful for a wide range of audiences—municipal stakeholders at the City, interested members of the public, small businesses along the study area, and potential new developers. We believe that producing only a detailed book-style report might not be the most effective way to generate momentum for implementation. Instead, we propose two final deliverables, tailored for different audiences. The first deliverable from this study would be an annotated presentation, geared toward external audiences including the public, businesses, and developers. This would be based on the presentation from Task 2.3 and

would make a clear and compelling case for the proposed vision for the study area. Providing this deliverable as a presentation will allow City staff to use it more flexibly for follow-up conversations with different stakeholders, such as prospective developers. The second final deliverable would be an implementation report summarizing the study's recommendations. The audience for this memo will be the City. Additionally, Utile will also work with the city to set up an online platform for tracking the goals of this final study that is compatible with Norwalk Tomorrow.

Revised Estimated Timeline and Budget

Utile's initial proposal was in response to the RFP and a \$90,000 budget. Since the RFP submission, Utile has worked with the City to revise the scope. Community Outreach is now broken out as a separate scope item and the work now includes focused outreach for each of the five distinct geographic areas. Additional scope has been added to Task 1 with the inclusion of Peer Communities Case Studies and interviews in the Trend Analysis. These scope changes have been coordinated with the updated overall project budget of \$100,000.

Proposed Fee

The total fee is \$100,000 (including expenses) and will be billed on an hourly not-to-exceed basis. Invoices will be prepared monthly based on hours accrued to-date.