

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 27, 2021
RE: MEETING NOTICE

The next scheduled meeting of the Planning Committee of the Common Council will be held on Thursday, June 3, 2021 at 6:00pm. To allow public access, anyone may access a meeting by telephone, Zoom, and/or the City of Norwalk YouTube channel. Specific instructions and links can be found at www.norwalkct.org/meetings.



Members of the public 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 Maritza Alvarado at malvarado@norwalkct.org to provide written public comment prior to the meeting.

**PLANNING COMMITTEE OF THE COMMON COUNCIL
REGULAR MEETING
JUNE 3, 2021
6:00PM
AGENDA**

CALL TO ORDER

PUBLIC HEARING: 2021 NAA-TCP PROGRAM

Applications: <https://www.norwalkct.org/1709/Neighborhood-Assistance-Act-Tax-Credit-P>

ROLL CALL

PUBLIC PARTICIPATION

I. ADMINISTRATION

- A. Approval of the Minutes of May 6, 2021 Meeting.

II. NEW BUSINESS

III. OLD BUSINESS

A. PLANNING AND ZONING

- 1. Update on Industrial Zone Public Hearing
- 2. Authorize the Mayor, Harry W. Rilling, to execute an amendment to the Agreement by and between the City of Norwalk and Utile, Inc. in an amount not to exceed \$60,000 for the additional scope of services to conduct the Norwalk Urban Waterfront Land Use Plan.

B. REDEVELOPMENT AGENCY

- 1. Advance the recommended applications to the Common Council for approval at the June 8, 2021 Common Council meeting of their inclusion in the 2021 Connecticut Neighborhood Assistance Act program.

C. TRANSPORTATION PARKING & MOBILITY

- 1. Authorize the Mayor, Harry W. Rilling, to execute an agreement with Vanasse Hangen Brustlin, Inc (VHB) for the design of a roundabout on Gregory Boulevard at Fifth Street for an amount not to exceed \$10,600.00.
Account Number: 09 20 4120 5777 C0232
- 2. Authorize the Mayor, Harry W. Riling to execute an assignment of capital funds in the amount of \$50,000.00 to the Norwalk River Valley Trail, Inc. a 501-C, to assist in the construction of the Wil-Walk section of the Norwalk River Valley Trail. Account Number: 09 21 3750 5777 C0777

ADJOURNMENT

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**CITY OF NORWALK
PLANNING COMMITTEE
REGULAR MEETING
MAY 6, 2021
VIA TELECONFERENCE**

ATTENDANCE: John Kydes, Chair; Thomas Keegan; Lisa Shanahan; Barbara Smyth; George Tsiranides (7:10 p.m.); Darlene Young (7:29 p.m.)

STAFF: Sabrina Church, Director of Business Development and Tourism

OTHERS: Brian Bidoli, Norwalk Redevelopment Agency; Tod Kallenbach of Dorenberg/Kallenbach Advertising; Jessica Vonashek, Chief of Economy and Community Development; Michael Yoesock, Principal Engineer

CALL TO ORDER

Mr. Kydes called the meeting to order at 7:08 p.m.

ROLL CALL

Mr. Kydes called the Roll as indicated above.

PUBLIC PARTICIPATION

No members of the public wished to participate this evening.

I. ADMINISTRATION

A. Approval of the Minutes of April 1, 2021 Meeting.

**** MR. LIVINGSTON MOVED TO APPROVE THE MINUTES AS PRESENTED**

**** MOTION PASSED UNANIMOUSLY**

Mr. Tsiranides joined the meeting at 7:10 p.m.

II. NEW BUSINESS

There was no new business discussed this evening.

III. OLD BUSINESS

A. BUSINESS DEVELOPMENT & TOURISM

1. Update on the Visit Norwalk Tourism initiative by consultant, DKA.

Mr. Kallenbach shared his screen and gave a PowerPoint presentation. He explained the Visit Norwalk campaign started in November. He said they hope to have an official launch of their site in July. He reviewed the Norwalk Destination Branding campaign, including marketing goals and growth measures.

Mr. Kallenbach said they were awarded two contracts – Business/Park promotion in November 2020 and Tourism in January 2021. He reviewed the scope of services for both contracts.

Mr. Kallenbach presented a new City seal and Mr. Livingston asked how that fits with the current seal. Mr. Kallenbach explained they created a legacy seal. Ms. Vonashek

added that there was a lot of work done on the logo and this is a place for the different logo. She said they are not retiring the other logo, but they wanted to be able to brand this effort. Ms. Church said they would see something like this new logo on signage or an event to draw visitors. This was an opportunity to refresh the original seal of the City of Norwalk. Mr. Livingston pointed out that the seal is set by Ordinance and asked if this satisfies the Ordinance. Ms. Church said the seal was not changed, it was just refreshed for social media. Mr. Livingston said he had a problem with that, because it says the Seal of the City of Norwalk.

Ms. Vonashek explained that this started out as an exercise when Stew Leonard's asked to revise the gateway sign at Exit 16 and they needed to add the seal. She said that Mr. Kallenbach sharpened the original seal and created the new seal. She added that Mr. Livingston's point was taken and she will take the new seal through the process. Mr. Kallenbach said the new seal complements the new destination logo.

Ms. Young joined the meeting at 7:29 p.m.

Mr. Kallenbach said he will do whatever he has to do to comply with the Ordinance.

Mr. Kydes asked if they ever saw a collaborative effort with a municipality and a major company. Ms. Vonashek said there have been conversations. She said the gateway signage that was replaced cost approximately \$10,000. She noted that they need to replace other gateway signs and put money in the budget. Mr. Kydes asked if there was any talk about sponsored ads on social media. Ms. Vonashek said that was a good idea, but she hadn't thought of that. Ms. Church said she did not believe the tourism website was ready for that, but it is an option.

Mr. Kallenbach shared screen shots of the new website. Ms. Young pointed out that the website did not indicate Norwalk, CT, since there are several other Norwalks. Mr. Kallenbach said they have not yet established a series of tag lines, but that is something for further thought. He added that they want to create a sense of place so there is no confusion with other Norwalks.

Mr. Kallenbach concluded his presentation and fielded questions from the Committee members. Mr. Livingston said a key to this is to keep the website up to date. He asked who will do that. Mr. Kallenbach said they are on board with their current contract through the end of the year. He added that he hopes to stay involved. Ms. Vonashek said they partnered with Go Nation to help with content and Mr. Kallenbach is building the website. The second piece is that Mr. Kallenbach is managing the social media accounts. He added that they use open source technology that is available to everyone.

2. Update on the activity within the Enterprise Zone since the 2020 expansion.

Ms. Church reviewed this item and said it was signed and ratified in March. She is the Administrator. At this point they had one transaction in the expanded geography. In addition, there is one project in South Norwalk that may use the benefit and three businesses who used the manufacturing zone benefit. Mr. Kydes asked Ms. Church to let them know if there is any activity.

B. REDEVELOPMENT AGENCY

**** MS. SMYTH MOVED TO ADVANCE THE FINAL PY47 ANNUAL ACTION PLAN (AAP) TO THE COMMON COUNCIL FOR ITS APPROVAL AND TO AUTHORIZE THE MAYOR TO EXECUTE ANY AND ALL DOCUMENTS ASSOCIATED WITH THE SUBMISSION OF THE PY47 AAP TO HUD AND ALL DOCUMENTS CONSISTENT WITH THE APPROVED PY47 AAP.**

Mr. Bidoli gave an overview of this item. He said this is a yearly plan on what they anticipate spending CDBG funds on. He said holding a public hearing was a condition of this and there were no comments.

Mr. Kydes thanked everyone for submitting their choices.

**** MOTION PASSED UNANIMOUSLY**

2. Update on the South Norwalk TOD Study.

Mr. Bidoli provided a brief update. He said the consultant has been working on a number of development scenarios and they expect to have the LDA in July.

Ms. Young thanked Mr. Bidoli for attending the District B meeting. She said she wants to be able to share information in a timely manner. Mr. Bidoli said he wants to be in constant communication.

C. TRANSPORTATION PARKING & MOBILITY

1. Update on the Transportation Master Plan.

Mr. Yoesock provided an update and said they finished the contract and plan to review the existing studies. They are starting to create a list of stakeholders and research some of the problems. Public outreach programs will be scheduled later this year.

Mr. Kydes asked Mr. Yoesock to keep the Committee updated on the progress.

2. Update on the Safe Routes to School initiatives.

Mr. Yoesock reported that they selected a contractor for Highland Avenue to complete the sidewalks. The design is almost done, but the project is on hold because the gas company is doing some work there. The project has not been put out to bid yet. He said he will try to get a better schedule from the gas company.

D. ECONOMIC & COMMUNITY DEVELOPMENT

1. Update on the MLK Corridor Initiative.

Ms. Vonashek shared her screen and gave an update on the MLK Corridor initiative. She said they have been working on this initiative and partnering with the faith-based community. She reviewed the history of the initiative. She said the MLK corridor encompasses a lot of South Norwalk.

Ms. Vonashek said when they met with the public, they received well over 200 comments. They used that information and came up with a set of recommendations. They have been working on the recommendations by applying for grants and have been working on adding those recommendations into the budget.

Ms. Vonashek discussed the art initiative and said that three different locations will be decorated with murals through the Arts Commission. She said they identified a \$3 million grant to support public Wi-Fi. She added that it would be great to partner with AT&T to bring Wi-Fi to the South Norwalk area.

Ms. Vonashek said that another recommendation is an education hub. They need to figure out what that looks like. In addition, they need to focus on traffic and mobility improvements; that is a safety piece. She reviewed other initiatives, including open space and green space and playground clean up and beautification of the MLK Corridor. She said that tomorrow she will be meeting with community members to discuss improvements to Ely Avenue.

Another recommendation is the staircase at Hamilton and MLK. One was reconstructed a number of years ago, but they have been trying for the last year and a half to fund a second staircase. Ms. Vonashek said she believes the addition of a second staircase will help with connectivity.

Ms. Vonashek said that moving forward, meetings will be held with sub-groups to discuss the recommendations. She thanked Ms. Young, Reverend Clark and Mayor Rilling for all of their efforts.

Mr. Livingston asked Ms. Vonashek to send a copy of the presentation to the Committee. Ms. Smyth said these are great initiatives and will infuse a great sense of pride in the area. Mr. Kydes said this was a great update.

ADJOURNMENT

**** MS. SHANAHAN MOVED TO ADJOURN**

**** MOTION PASSED UNANIMOUSLY**

There was no further business, and the meeting was unanimously adjourned at 8:35 p.m.

Respectfully submitted,

Rosemarie Lombardi
Telesco Secretarial Services



Memorandum

May 25, 2021

To: Planning Committee, Common Council

From: Steve Kleppin, Planning & Zoning Director

Re: Utile – Waterfront Study

As part of the Planning & Zoning Department's 2019/2020 Operating Budget, \$100,000 was approved to conduct a long overdue study of the City's industrial zones. Subsequently I received approval from the Planning Committee to utilize the consulting firm Utile, Inc. to conduct the study. As part of the study we intended to look at the industrial waterfront as well, but as we began reviewing the issues related to the waterfront in more depth, we realized the complexities related to the waterfront could not be fully understood within the approved budget.

Utile was going to recommend a separate study as part of the industrial zones report, but as we were discussing it, the idea of adding additional funds to the project in order to complete that additional task made more sense. The City could issue a new RFP for this work but it is more economical and will take less staff time and resources to simply expand the budget to add these additional tasks. In addition, the Utile team has been an excellent firm to work with; they are highly responsive and bring an enthusiasm and fresh approach to the issues facing the industrial zones.

The additional scope will take a more focused look at Norwalk Harbor in order to make land use decisions that maximize its economic potential, provide access and enjoyment to the waterfront for our residents, while ensuring that water quality is enhanced and not negatively impacted by development in proximity to the harbor.

The supplemental work-plan will cost an additional \$60,000. At their May 3rd meeting the BET approved our request to internally transfer \$60,000 from our Full Time Salaries account to our Architecture/Landscaping account, which contains the funds for the industrial zones study. We ultimately will seek to carry these funds into FY 2021/2022 to complete this phase of the study

For your convenience I have attached the Scope of Work and fee schedule for the waterfront study.

I request that the following resolution be forwarded to the full Council for consideration:

Authorize the Mayor, Harry W. Rilling, to execute an amendment to the Agreement by and between the City of Norwalk and Utile, Inc. in an amount not to exceed \$60,000 for the additional scope of services to conduct the Norwalk Urban Waterfront Land Use Plan.

Feel free to reach out to me with any questions.

END

Norwalk Urban Waterfront Land Use Plan
Scope of Services
For the Planning and Zoning Department
City of Norwalk, Connecticut

May 10, 2021 (revised)

Summary

As an extension of the Norwalk Industrial Zones Study, Utile will undertake an urban waterfront land use plan in collaboration with the Planning and Zoning Department. While the study will focus on existing and future land use along the waterfront, it will synthesize relevant existing information about the water sheet, including navigation channels, water quality, flood hazards, and other environmental issues.

The scope of services includes a review of past relevant City and State of Connecticut plans and regulations, an existing conditions analysis, scenario development, and recommended actions itemized in an implementation plan. The final plan will include prioritized land use policy and economic development recommendations tied to a timeline. In addition, the plan will recommend capital projects and tie those improvements to relevant city, state, and federal technical grant programs and capital project funding sources.

Utile plans to work with City of Norwalk staff and a Waterfront Planning Steering Committee throughout the planning process. The steering committee will be composed of members who have a specific understanding of waterfront business and redevelopment issues. In addition, the study will be done in coordination with the Norwalk Harbor Management Commission, since the final recommendations are intended to inform future updates to the Harbor Management Plan as well as land-side land use regulations.

Task 1: Review and Synthesize Relevant Regulations and Plans

Relevant city and state regulations, guidelines, and plans will provide the initial framework for the waterfront plan. In addition, Utile will evaluate the actions taken since past plans in order to assess work left to be done and new issues to tackle, given changes in market conditions, City priorities, and a new appreciation of the potential impact of climate change.

- *Task 1.1 Document Review*

Review and summarize the relevant policies and recommendations in the following:

State of Connecticut

- [Connecticut Coastal Management Act](#)
- [Connecticut Coastal Management Manual](#)
- [Connecticut Coastal Resilience Interactive Tool](#)
- [Connecticut Climate Change Preparedness Plan](#)

City of Norwalk

- [Norwalk Waterfront Guidelines \(1988\)](#)
- [Norwalk Mid-harbor Planning Study \(2005\)](#)

- [Norwalk Harbor Management Plan \(1990/2009\)](#)
- [Norwalk Citywide Plan: 2019-2029](#)
- [Wall-West Neighborhood Plan](#) and other relevant neighborhood plans
- *Task 1.2 Existing Plans and Policies Memo*
Summarize and synthesize the key policy goals, priorities, and recommendations in the documents above into a memo that can serve as a detailed outline of the issues that should be tackled in this plan.
- *Task 1.3 Review with Steering Committee*
A meeting will be held with the Steering Committee to review the Existing Documents Memo and set priorities for the plan moving forward. The memo will be sent to the committee a week before the meeting.

Task 2: Existing Conditions Analysis

Simultaneously with the review and synthesis of existing regulatory and planning documents, Utile will analyze the existing landside and waterside conditions along the waterfront. Methods include spatial mapping, using GIS data and other data sources; landside and waterside field observation; and stakeholder interviews.

- *Task 2.1 Map Analysis*
Utile will generate the following layered maps using a variety of data sources:
 1. Land use, zoning, and ownership
 2. Public access easements
 3. Public and private parking for waterfront access
 4. Watersheet (navigation channels and depths)
 5. Marina mapping (observation and data-informed)
 6. Recent and/or planned city, state, and federal projects (including USACE and FEMA) (TBD)
 7. Water edge infrastructure assessment (observation and data-informed)
 8. Flood vulnerability/coastal resiliency/FEMA regulations
- *Task 2.2 Non-spatial Analysis*
In addition to map analysis, Utile conduct non-spatial analysis:
 1. Jobs and job profiles
 2. Identify key water-dependent businesses and industries
 3. Economic analysis of dock and boat storage fees and other marina business data points
 4. Environmental and ecological assessment
 - a. Environmental issues
 - b. Landside and waterside habitat
 - c. FEMA regulations and CRS guidelines
- *Task 2.3 Field Observation*

The Utile team will conduct an extensive field observation of the water's edge. Observations will be recorded by photographs and field notes. The field observations will be made from two vantage points:

- a. Land side field trip by bicycle
 - b. Waterside field trip by boat
- **Task 2.4 Stakeholder Interviews**
Timed with the field trips in Task 2.3 above, Utile will schedule a series of 30-minute interviews with marina and business owners, non-profit organizations, and other stakeholders recommended by City staff. With guidance from the City, Utile will conduct meetings as either one-on-one interviews or focus groups.
 - **Task 2.5 Consolidation of Existing Conditions Analysis and Steering Committee Meeting**
The information gathered in Tasks 2.1-2.3 will be consolidated into a slide deck and an accompanying memo. The information will be presented at the 2nd Steering Committee meeting.

Task 3: Scenarios

Based on the existing conditions analysis and engagement with the Steering Committee, Utile will generate three scenarios for the waterfront. They will help frame discussions with the Steering Committee and other stakeholders about policy and economic development approaches.

- **Task 3.1 Waterfront Planning Scenarios**
Generate three waterfront planning scenarios that express different priorities; potential scenarios include the following:
 1. Protect existing jobs and businesses (surgical development where appropriate)
 2. Activate the waterfront as an amenity and tourist destination that promotes the maritime history and character of the harbor (Restaurants, more extensive public access, historic placemaking opportunities)
 3. Waterfront development as a tax engine

Each of the scenarios will be depicted as diagrammatic site plans and will include the following considerations:

1. Public access plan
 2. Existing and proposed water-dependent uses
 3. Rezoning recommendation
 4. Flood resiliency component
- **Task 3.2 Steering Committee Workshop**
The three waterfront planning scenarios will be shared and discussed with the Steering Committee. It is hoped that the feedback will allow Utile to consolidate the suggestions into a single consolidated plan diagram.

- *Task 3.3 Public Meeting*

A condensed version of the information shared at the Steering Committee in Task 3.2 will be presented at a public meeting. The meeting will be combined with a public survey that will include questions about the attributes of the alternative scenarios.

- *Task 3.3 Consolidated Waterfront Plan*

Based on the feedback of the Steering Committee and feedback generated during and after the public meeting, Utile will generate a single consolidated graphic plan that depicts the preferred mix of uses, public waterfront access, and other salient features. This graphic plan will be used as the basis for the Implementation Plan in Task 4.

Task 4: Implementation Plan

Based on the consolidated plan, ongoing feedback from the Steering Committee, and Public Feedback, Utile will generate a draft implementation plan.

- *Task 4.1 Implementation Plan Spreadsheet*

Utile will create a draft implementation plan in a spreadsheet format and organized into categories of actions, including future more detailed planning initiatives, policy recommendations, capital project recommendations, and economic development recommendations. Action items will be organized by order of priority and in general timeframes. In addition, potential City, State, and Federal technical resources and funding sources will be identified.

- *Task 4.2 Steering Committee Meeting*

Utile will present a draft of the Implementation Plan Spreadsheet to the Steering Committee for feedback. A draft of the spreadsheet will be sent to the Committee a week before the meeting.

Task 5: Final Report and Slide Deck

- *Task 5.1 Final Report*

Utile will consolidate the document analysis, existing conditions analysis, consolidate plan graphic(s), and implementation plan into final report.

- *Task 5.2 Final Presentation Deck*

Utile will consolidate the same information into a “greatest hits” slide deck that can be used by City staff and other stakeholders.

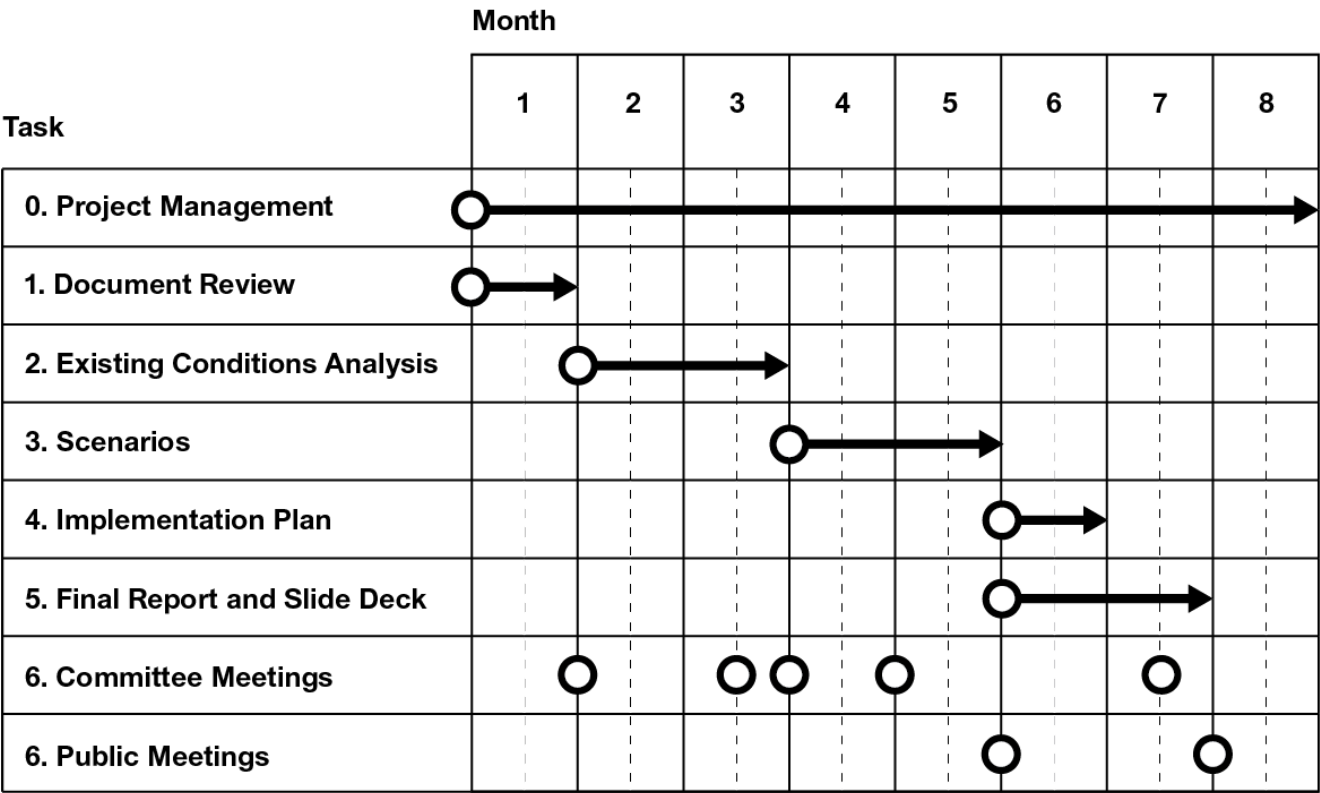
- *Task 5.3 Final Public Meeting*

Utile will co-organize and present at a final public meeting in conjunction with the release of a “final draft” of the report.

Task 6: Meetings

- *Task 6.1 City of Norwalk staff meetings*
Utile will meet with the City of Norwalk staff six times during the process
- *Task 6.2 Steering Committee Meetings (redundant with Tasks 1.3, 2.5, 3.2, and 4.2)*
Utile will meet with the Steering Committee four times
- *Task 6.3 Public Meetings (redundant with Tasks 3.3 and 5.3)*
Utile will co-organize and present at two public meetings

Schedule





CLIENT **City of Norwalk**
SUBJECT **Waterfront Plan**

SHEET NO.	1 of 1
PROJECT NO.	TBD
DATE	4/12/2021
BY	MT
CHECKED BY	TL

As an extension of the Industrial District Planning study, Utile will undertake a waterfront plan that includes a review of past relevant City and State of Connecticut plans and regulations, an existing conditions analysis, alternative scenarios, and recommended actions, itemized as an implementation plan. The plan will include prioritized land use policy and economic development recommendations tied to a timeline. In addition, the plan will recommend capital projects and tie those improvements to relevant city, state, and federal technical grant programs and capital project funding sources. Utile plans to work with City of Norwalk staff and a Waterfront Planning Steering Committee throughout the planning process. The steering committee should be composed of members who have a specific understanding of waterfront business and redevelopment issues.

Rate

Utile			Ninigret
Principal-in-Charge	Project Manager/ Urban Designer	Planner	Economic Dev
Tim Love	M. Tsang	Z.Mueller	K.Hively
\$225	\$130	\$115	\$200

Task Order	Description	Hours		
0	Project Management and Coordination			
	Project management, coordination with City staff and consultants.	0	8	0

1	Review and Synthesize Relevant Regulations and Plans			
1.1	Document Review	1	4	4
1.2	Existing Plans and Policies Memo	1	1	4
1.3	Review with Steering Committee	1	1	1
	<i>Task 1 Deliverables: Existing Plans and Policies Memo</i>			

2	Existing Conditions Analysis			
2.1	Map Analysis	1	16	24
2.2	Non-Spatial Analysis	1	8	16
2.3	Field Observation	8	8	8
2.4	Stakeholder Interviews	3	8	16
2.5	Consolidation of Existing Conditions Analysis and Steering Committee Meeting	2	16	24
	<i>Task 2 Deliverables: PDF presentation</i>			

3	Scenarios			
3.2	Waterfront Planning Scenarios	1	32	16
3.1	Steering Committee Workshop	1	1	1
3.2	Public Meeting	2	2	2
3.3	Consolidated Waterfront Plan	2	24	16
	<i>Task 3 Deliverables: PDF presentation</i>			

4	Implementation Plan			
4.1	Implementation Plan Spreadsheet	2	4	8
4.2	Steering Committee Meeting	1	1	1
	<i>Task 4 Deliverables: Implementation spreadsheet</i>			

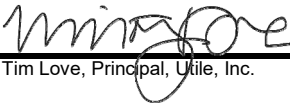
5	Final Report and Slide Deck			
5.1	Final Report and Slide Deck	1	16	24
5.2	Annotated Slide Deck	1	16	24
5.3	Final Public Meeting	2	2	2
	<i>Task 5 Deliverables: Final report and annotated presentation</i>			

6	Meetings				
6.1	City of Norwalk Staff Meetings	6	6	6	3
6.2	Steering Committee Meetings (redundant with tasks above)	4	4	4	4
6.3	Public Meetings (redundant with tasks above)	2	2	2	2

	Total Person-Hours	37	174	197	25
		\$8,325	\$22,620	\$22,655	\$5,000

Direct Expenses Estimate				Cost
Expenses at 2%				\$1,172
Total				\$1,172

1. Additional in-person meetings will be billed at the hourly rates shown above.	Total Hours	408
2. Expenses are covered under the base contract	Total Fee	\$58,600
3. Because project trajectory may change, consultants reserve the right to reallocate hours between tasks, in consultation with the client.	Estimated Expenses	\$1,172
	Fee + Expenses	\$59,772



Tim Love, Principal, Utile, Inc.

Steve Kleppin, Director,
 Planning & Development Dept.
 City of Norwalk

TO: Members of the Planning Committee of the Common Council
FROM: Staff of the Norwalk Redevelopment Agency
RE: 2021 Neighborhood Assistance Act Program (NAA)
DATE: May 25, 2020

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

On behalf of the City of Norwalk, the Norwalk Redevelopment Agency announced the 2021 open application period and collected applications. Norwalk Redevelopment Agency received 13 applications from 12 organizations for Connecticut's 2021 NAA program. Accompanying this memo is an electronic binder showcasing the NAA applications. 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 Connecticut Department of Revenue Services.

Under statute, the non-profit, tax-exempt organizations with 501(c)3 status must be referred by the local legislative body following a public hearing which will be held at the beginning of the June 3, 2021 Planning Committee meeting. Note: Applicants will not give presentations on their NAA 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: <https://www.norwalkct.org/1709/Neighborhood-Assistance-Act-Tax-Credit-P>

REQUESTED ACTION:

1. Advance the recommended applications to the Common Council for approval at the June 8, 2021 Common Council meeting of their inclusion in the 2021 Connecticut Neighborhood Assistance Act program.

CT Department of Revenue Services Neighborhood Assistant Act (NAA) 2021			
Organization	Program Title	Amount Requested	Credit % Requested
Domestic Violence Crisis Center	Housing & Financial Advocacy	\$20,000.00	60%
ElderHouse	Meals for Seniors	\$22,500.00	60%
Friends of Norwalk River Valley Trail, Inc	NRVT Norwalk Trail South from Grist Mist Rd	\$150,000.00	60%
Human Services Council, Inc.	Energy Efficient Improvement Interior Lighting for 1 Park St	\$56,762.00	100%
Jr Achievement of Greater Ffld County	Jr. Achievement's Virtual Financial Literacy & Work Readiness Programs	\$28,000.00	60%
Person-to-Person	Norwalk Food Program Capital and Capital Investment	\$73,600.00	60%
Riverbrook Regional YMCA	Race 4 Chase Youth Triathlon Program	\$24,930.00	60%
STAR, Inc., Lighting the Way	Upgrade Boiler System & Install Smart Home Assistive Technology for People with Disabilities	\$24,500.00	100%
Stepping Stones	Norwalk Opportunity Zone Fund	\$15,000.00	60%
The Maritime Aquarium	Replacement of Air Handling Units (Phase II)	\$150,000.00	100%
The Open Door Shelter #1	Employment First	\$70,000.00	60%
The Open Door Shelter #2	Energy Efficient Doors	\$40,000.00	100%
Under One Roof, Inc.	The Marvin Children's Center	\$50,000.00	60%



NEIGHBORHOOD ASSISTANCE ACT TAX CREDIT PROGRAM 2021

APPLICATIONS

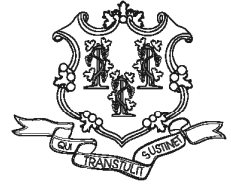
Administered by Norwalk Redevelopment Agency on behalf of the City of Norwalk



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DOMESTIC VIOLENCE CRISIS CENTER



Municipality: City of Norwalk

Form NAA-01
2021 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: Housing & Financial Advocacy

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): \$ 20,000.00

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: _____

Housing & Financial Advocates work with domestic violence victims who are experiencing financial abuse. Advocates work alongside victims to create financial wellness and safety plans. This includes repairing damaged or low credit scores, budgeting, building resumes, and strengthening job-seeking skills. Domestic Violence Crisis Center (DVCC) advocates work with victims to connect them with housing resources and assist them in finding safe, affordable, permanent housing.

Need for program: _____

Domestic violence victims—when attempting to leave abusers—explain their inability to do so in raw economic terms. In fact, surveys find that 74% of victims stay with their abuser longer because of financial issues. A victim's ability to regain autonomy and restore their life is tied to the tangible realities of housing, public benefits, potential income sources, child custody and support, and other financial resources. The Housing & Financial Advocacy program ensures that victims experiencing any level of housing instability with a goal of safer, affordable housing are connected to housing and financial advocacy resources.

Neighborhood area to be served: _____

Our target population is all victims of domestic violence within our service area of Norwalk, Stamford, Darien, New Canaan, Weston, Westport, and Wilton. Domestic violence can happen to anyone regardless of gender identity, race, religion, culture, socioeconomic level, mental or physical ability, educational attainment, sexual orientation, or age. Domestic violence is not just an individual problem. It impacts children, families, workplaces, and the community at large.

Plan to implement the program: _____

Housing & Financial Advocacy is an ongoing program of the DVCC. Clients engage with us for varying periods, based on their strengths, needs, and available resources.

Timetable:Program start date: July 1, 2021Program completion date: June 30, 2022

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 \$20,000.00

Other funding sources - itemized sources:

a) Government Funding \$121,740.00b) Private Donations (including Fundraising Events) \$129,700.00c) In-Kind Services & Goods \$7,375.00

d) _____

Total Funding: \$278,815.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Employee Salaries, Benefits, & Taxes \$255,960.00b) Supplies/Material \$1,650.00c) Travel \$981.00d) Volunteer Services \$5,000.00

Administrative expenses - itemized description:

a) Office Telephone & Internet \$906.00b) Office Space \$14,000.00c) General & Administrative Expense \$3,960.00d) Insurance-Excluding Employee Related \$9,000.00**Total Proposed Expenditures:** \$291,457.00

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 Ave., Norwalk, CT 06850
Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810 Ext 46790
Fax number:	_____
Email address:	koleary@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

2019**Open to Public Inspection****A** For the 2019 calendar year, or tax year beginning 7/01, 2019, and ending 6/30, 2020**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

D Employer identification number

06-1057356

E Telephone number

203-588-9100

G Gross receipts \$ 2,733,747.**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.DVCCCT.ORG**H(c)** Group exemption number ▶**K** Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶**L** Year of formation: 1982 **M** State of legal domicile: CT**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)	12
	4	Number of independent voting members of the governing body (Part VI, line 1b)	12
	5	Total number of individuals employed in calendar year 2019 (Part V, line 2a)	54
	6	Total number of volunteers (estimate if necessary)	154
	7a	Total unrelated business revenue from Part VIII, column (C), line 12	0.
7b	Net unrelated business taxable income from Form 990-T, line 39	0.	
Revenue	8	Contributions and grants (Part VIII, line 1h)	Prior Year: 2,159,855. Current Year: 2,410,590.
	9	Program service revenue (Part VIII, line 2g)	
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	73,079. 66,913.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	133,071. 210,331.
	12	Total revenue — add lines 8 through 11 (must equal Part VIII, column (A), line 12)	2,366,005. 2,687,834.
	Expenses	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)	1,944,492. 1,853,420.
16a		Professional fundraising fees (Part IX, column (A), line 11e)	
b		Total fundraising expenses (Part IX, column (D), line 25) ▶ 74,886.	
17		Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	529,351. 642,888.
18		Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	2,473,843. 2,496,308.
19		Revenue less expenses. Subtract line 18 from line 12	-107,838. 191,526.
Net Assets or Fund Balances	20	Total assets (Part X, line 16)	Beginning of Current Year: 1,385,664. End of Year: 1,560,485.
	21	Total liabilities (Part X, line 26)	114,405. 150,100.
	22	Net assets or fund balances. Subtract line 21 from line 20	1,271,259. 1,410,385.

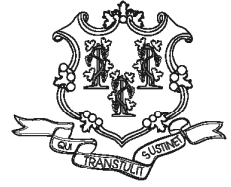
Part II Signature Block

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

Sign Here	Signature of officer: <u>David Stone</u>		Date: <u>April 18, 2021</u>	
	Type or print name and title: <u>DAVID STONE</u>		<u>TREASURER</u>	
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	Firm's EIN ▶ 22-2264838		
	Firm's address	Phone no. (732) 240-7377		

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

ELDERHOUSE



Municipality: City of Norwalk

Form NAA-01
2021 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: Meals for Seniors

Name of contact person: Denise Cesareo

Telephone number: (203) 847-1998

Email address: dcesareo@elderhouse.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 22,500.00

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: _____
see attached

Need for program: _____
see attached

Neighborhood area to be served: _____
All of Norwalk

Plan to implement the program: _____
see attached

Timetable:Program start date: 9/1/2021Program completion date: 6/30/2022

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>\$22,500.00</u>
Other funding sources - itemized sources:	
a) <u>Client Fees</u>	<u>\$711,700.00</u>
b) <u>Government Funding</u>	<u>\$110,500.00</u>
c) <u>Fundraising</u>	<u>\$87,500.00</u>
d) _____	_____
Total Funding:	<u>\$932,200.00</u>

Proposed Program Expenditures:

Direct operating expenses - itemized description:	
a) <u>Personnel</u>	<u>\$452,500.00</u>
b) <u>Building & Grounds</u>	<u>\$44,000.00</u>
c) <u>Program & Office</u>	<u>\$295,400.00</u>
d) _____	_____
Administrative expenses - itemized description:	
a) <u>Management personnel</u>	<u>\$74,300.00</u>
b) <u>Fundraising personnel</u>	<u>\$38,200.00</u>
c) <u>General administration expense</u>	<u>\$27,800.00</u>
d) _____	_____
Total Proposed Expenditures:	<u>\$932,200.00</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 Ave., Norwalk, CT 06850
Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810 Ext. 46790
Fax number:	_____
Email address:	koleary@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: Meals for Seniors

Description of Program:

ElderHouse is a medical model adult day center whose mission is to enhance the quality of life for aging adults and their caregivers through a broad range of trusted, compassionate, and enriching day services and home-based support. As a non-profit adult day center, ElderHouse is dedicated to serving all seniors in need of care regardless of their economic means.

For over 40 years, ElderHouse has been providing comprehensive daytime care and services to Norwalk's older adults living with memory loss and other cognitive and physical impairments. For seniors who attend ElderHouse, if left home alone, these individuals would be at risk for falls, wandering, self-neglect and depression. Five days per week older adults are offered door-through-door transportation to ElderHouse where they benefit from:

- Recreation/Memory Care - Therapeutic recreation is offered to improve cognitive function and physical wellbeing.
- Medical Monitoring/Disease Management - Includes nurse supervision of age-related disabilities and chronic diseases through monitoring of vitals, medication administration, early detection, health education, nutrition supervision and communication with client's family physician.
- 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.
- Caregiver Support - Weekday respite hours, counseling, and support groups. One-on-one counseling is offered to all caregivers as frequently as needed and at no charge. Caregiver support groups are held monthly.

As part of its accredited services, ElderHouse offers a Meal Program designed to provide proper nutrition and support a client's individual dietary restrictions such as low salt or no sugar. To achieve this, ElderHouse provides seniors with healthy snacks, balanced noon-time meals and nutritional supervision by a registered nurse at its center five days per week. For those who miss a day at the center, a lunch and dinner meal are delivered to their home. Meals are provided at no cost to low-income seniors.

Need for Program:

According to the National Council on Aging, over 9 million, or 1 in 6, older adults face the threat of hunger. Over the past 10 years, the percentage of seniors facing this threat more than doubled. Food insecure seniors have lower nutrient intakes and are more likely to suffer from a variety of poor health outcomes, including diabetes, depression, limitations in activities of daily living, high blood pressure, congestive heart failure, heart attacks and asthma. Due to physical and cognitive limitations, as well as limited financial resources, many low-income seniors are at-risk for poor health outcomes and declining health conditions.

To address this, ElderHouse offers a Meal Program designed to reduce the risk of hunger and malnutrition for its elderly clientele. This is achieved by providing seniors enrolled in the adult day program a health assessment by a registered nurse to determine nutritional needs, a personal dietary plan and nutritional guidance. The program also provides seniors with healthy snacks and balanced noontime meals at our center or home delivered up to five days per week.

Meals provided at ElderHouse meet all USDA nutritional standards for older adults such as low-fat milk, whole grain breads and servings of both fruits and vegetables. To accommodate the nutritional needs of each client,

ElderHouse offers special dietary meals for seniors who are diabetic, require low salt or have food allergies. Pre-cut and/or pureed meals are provided for seniors with physical limitations as well as cuing, utensil and feeding assistance for the most impaired clients.

Plan to implement the program:

The Meal Program is offered at our center year-round Monday through Friday and is implemented through the following steps:

- 1) **Assessment:** ElderHouse's registered nurse assesses each client for dietary restrictions and nutritional needs and provides them with a personal dietary plan and nutritional guidance.
- 2) **Meal Planning:** Meals served at ElderHouse are planned by a registered dietitian according to USDA meal pattern guidelines for older adults and are approved by ElderHouse's registered nurse.
- 3) **Meal Preparation:** Meal and snack preparations at ElderHouse are monitored by the registered nurse to ensure each client receives a healthy snack and nutritious noontime meal that meets their specific dietary requirements.
- 4) **Congregate Dining:** Clients at ElderHouse enjoy snacks and meals together as part of ElderHouse's daily program schedule which promotes social inclusion.
- 5) **Evaluation:** A survey of client meal satisfaction is conducted annually as part of ElderHouse's annual client and caregiver survey.
- 6) **Funding:** ElderHouse's Meal Program incurs expenses totaling \$50,000 annually. To help underwrite the cost of the program, ElderHouse raises funds from corporate, foundation and individual donors. In addition, ElderHouse is a participant in the USDA Child and Adult Care Food Program which sets standards for meal content and helps subsidize meals for low- and moderate-income clients.

EXTENDED TO MAY 17, 2021

Form 990
(Rev. January 2020)
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

2019

Open to Public Inspection

A For the 2019 calendar year, or tax year beginning JUL 1, 2019 and ending JUN 30, 2020

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 \$ 1,162,982.

H(a) Is this a group return

for subordinates? ☐ Yes ☒ NoH(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

Activities & Governance	1	Briefly describe the organization's mission or most significant activities: <u>NO OTHER NORWALK BASED PROGRAM PROVIDES AREA RESIDENTS WITH A BROAD RANGE OF COMPREHENSIVE CARE</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	13
	5	Total number of individuals employed in calendar year 2019 (Part V, line 2a)	5	19
	6	Total number of volunteers (estimate if necessary)	6	22
		7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a
b		Net unrelated business taxable income from Form 990-T, line 39	7b	0.
Revenue	8	Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
	9	Program service revenue (Part VIII, line 2g)	439,433.	331,716.
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	584,145.	586,509.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	47,974.	26,850.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	-30,460.	468.
	13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	1,041,092.	945,543.
	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)	810,902.	735,472.
	Expenses	b	Total fundraising expenses (Part IX, column (D), line 25) ▶ 39,627.	0.
17		Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	315,568.	331,412.
18		Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	1,126,470.	1,066,884.
19		Revenue less expenses. Subtract line 18 from line 12	-85,378.	-121,341.
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)	1,929,133.	1,982,281.
	22	Net assets or fund balances. Subtract line 21 from line 20	59,292.	237,173.
			1,869,841.	1,745,108.

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

DENISE CESAREO, EXECUTIVE DIRECTOR

Type or print name and title

Paid

Print/Type preparer's name

GARRETT M. HIGGINS

Preparer's signature

GARRETT M. HIGGINS

Date

12/09/20

Check if self-employed ☐

PTIN

P00543209

Preparer

Firm's name ▶ PKF O'CONNOR DAVIES, LLP

Firm's EIN ▶ 27-1728945

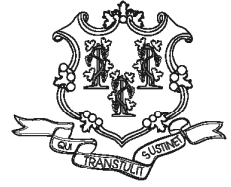
Use Only

Firm's address ▶ 3001 SUMMER STREET, 5TH FLOOR, EAST STAMFORD, CT 06905

Phone no. 203-323-2400

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

FRIENDS OF NORWALK RIVER VALLEY TRAIL, INC.



Municipality: City of Norwalk

Form NAA-01
2021 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: _____
Friends of Norwalk River Valley Trail, Inc.]

Address: _____
PO Box 174 Georgetown, CT 06829

Federal Employer Identification Number: 45-1496672

Program title: NRVT Norwalk Trail south from Grist Mill Rd

Name of contact person: Beth Merrill

Telephone number: (203) 807-5072

Email address: bmerrill@nrvt-trail.com

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): Build handicap accessible multipurpose trail

Description of program: _____

NRVT will run 30 miles from Norwalk's Calf Pasture Beach to Danbury Rodgers Park , running through Wilton, Ridgefield and Redding along the way. It will provide free and safe access for walking, biking, pushing baby strollers and runners and is handicap accessible so all can enjoy the healthy benefits of nature.

Need for program: _____

This section of trail will complete the already constructed Norwalk trail, Eventually , It will run from Broad Street to Grist Mill Rd, The first section for construction is the Grist Mill to Perry Ave.

Neighborhood area to be served: _____

This section will benefit all Norwalk residents and those who will visit Norwalk via the NRVT.

Plan to implement the program: _____

This is the important and remaining section of the NRVT Norwalk, We plan to begin from the Grist Mill Rd area and construct going south. While there are some more difficult areas, much of the trail will run under the Eversource grid which should be relatively easy.

Timetable:Program start date: Sept 2021Program completion date: Aug, 2023

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) _____

b) _____

c) _____

d) _____

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

Direct operating expenses - itemized description:

a) Construction \$786,000.00

b) _____

c) _____

d) _____

Administrative expenses - itemized description:

a) _____

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$786,000.00

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 Ave., Norwalk, CT 06850
Name of municipal liaison:	Katie O'Leary
Telephone number:	(203) 854-7810 x46790
Fax number:	_____
Email address:	koleary@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 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 2019 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" style="padding: 2px;"> C Name of organization Friends of the Norwalk River Valley Trail Inc </td> <td style="padding: 2px;"> D Employer identification number 45-1496672 </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> % STUART H GREEN Doing business as </td> <td rowspan="3" style="padding: 2px;"> E Telephone number (203) 938-4020 </td> </tr> <tr> <td style="padding: 2px;"> Number and street (or P O box if mail is not delivered to street address) P O Box 174 </td> <td style="padding: 2px;"> Room/suite </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> City or town, state or province, country, and ZIP or foreign postal code Georgetown, CT 06829 </td> </tr> <tr> <td colspan="3" style="padding: 2px;"> F Name and address of principal officer PATRICIA SESTO P O Box 174 Georgetown, CT 06829 </td> <td style="padding: 2px;"> G Gross receipts \$ 204,647 </td> </tr> </table>	C Name of organization Friends of the Norwalk River Valley Trail Inc		D Employer identification number 45-1496672	% STUART H GREEN Doing business as		E Telephone number (203) 938-4020	Number and street (or P O box if mail is not delivered to street address) P O Box 174	Room/suite	City or town, state or province, country, and ZIP or foreign postal code Georgetown, CT 06829		F Name and address of principal officer PATRICIA SESTO P O Box 174 Georgetown, CT 06829			G Gross receipts \$ 204,647
C Name of organization Friends of the Norwalk River Valley Trail Inc		D Employer identification number 45-1496672													
% STUART H GREEN Doing business as		E Telephone number (203) 938-4020													
Number and street (or P O box if mail is not delivered to street address) P O Box 174	Room/suite														
City or town, state or province, country, and ZIP or foreign postal code Georgetown, CT 06829															
F Name and address of principal officer PATRICIA SESTO P O Box 174 Georgetown, CT 06829			G Gross receipts \$ 204,647												
I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) () ◀ (insert no) ☐ 4947(a)(1) or ☐ 527		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 ▶													
J Website: ▶ www.nrvt-trail.com		K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶													
L Year of formation 2011		M State of legal domicile CT													

Part I Summary				
Activities & Governance	1 Briefly describe the organization's mission or most significant activities SUPPOORT THE IMPLEMENTATION OF A MULTI-USE TRAIL THROUGH THE FIVE-TOWN NORWALK RIVER VALLEY CORRIDOR			
	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	6	
	4 Number of independent voting members of the governing body (Part VI, line 1b)	4	6	
	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	6	
	7a Total unrelated business revenue from Part VIII, column (C), line 12	7a	0	
	b Net unrelated business taxable income from Form 990-T, line 34	7b	0	
	Revenue	8 Contributions and grants (Part VIII, line 1h)		214,754
		9 Program service revenue (Part VIII, line 2g)		0
10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)		361		
11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)		11,638		
12 Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)		226,753		
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)		0	
	16a Professional fundraising fees (Part IX, column (A), line 11e)		0	
	b Total fundraising expenses (Part IX, column (D), line 25) ▶26,701			
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)		264,527	
	18 Total expenses Add lines 13-17 (must equal Part IX, column (A), line 25)		264,527	
	19 Revenue less expenses Subtract line 18 from line 12		-37,774	
Net Assets or Fund Balances	20 Total assets (Part X, line 16)		246,556	
	21 Total liabilities (Part X, line 26)		0	
	22 Net assets or fund balances Subtract line 21 from line 20		246,556	
			318,632	

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		2020-05-22 Date	
	PATRICIA SESTO President Type or print name and title			
	Print/Type preparer's name Preparer's signature Date 2020-05-22 Check ☐ if self-employed PTIN P00023328			
Paid Preparer Use Only	Firm's name ▶ NANAVATY DAVENPORT STUDLEY WHITE		Firm's EIN ▶	
	Firm's address ▶ 123 South Main St Suite 140 NEWTOWN, CT 06470		Phone no (203) 426-8500	

HUMAN SERVICES COUNCIL, INC.



Municipality: Norwalk

Form NAA-01

2021 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 Improvement Interior lighting for 1 Park Street

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): \$ _____

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: _____

HSC's 1 Park Street building is home to several non-profits and provides services for a variety of programs from Mentoring, forensic interviews, behavioral health, financial assistance to families and an alternative program for students who are developmentally disabled.

The building has outdated lighting throughout the interior of the building of over 18,000 square feet. The balances are outdated, and they are no longer making the bulbs for all the fixtures all fixtures will need to be replaced. The fixtures are T12 and need replacement for all fixtures of energy efficiency.

Need for program: _____

The Human Services Council (HSC) has served the Norwalk Community for over 70 years. Currently the Human Services Council has 5 programs: Robert E. Appleby School Based Health Centers, Supportive Housing, Substance Abuse Prevention, Norwalk Mentor Program and Children's Connections. HSC owns and operates the property at 1 Park Street. The 1 Park Street property is also home to four other Non-Profits that provide critical services to the Norwalk Community and the Norwalk Public Schools Steps Program for Students with developmental disability.

Neighborhood area to be served: _____

The Robert E. Appleby School Based Health Centers, The Norwalk Mentor Program, the Substance Abuse Prevention Program, Our Housing program that serves low-income seniors at Ludlow and formally homeless at 40 South Main Street all these programs serve Norwalk residents. The Children's Connection Program Serves the Greater Norwalk area.

Plan to implement the program: _____

We have acquired a professional bid from a licensed electrician to do the work to our building. Once the funds are approved, the project is funded, and the funds become available we will collect two new bids and start the project.

Timetable:Program start date: 11-1-2021Program completion date: 10-1-2022

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 \$56,762.00

Other funding sources - itemized sources:

a) Replace all light fixtures \$56,762.00

b) _____

c) _____

d) _____

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

Direct operating expenses - itemized description:

a) _____

b) _____

c) _____

d) _____

Administrative expenses - itemized description:

a) _____

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$56,762.00

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 Ave., Norwalk, CT 06850

Name of municipal liaison: Katie O'Leary

Telephone number: 203-854-7810 Ext. 46790

Fax number: _____

Email address: koleary@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 17, 2021

Form **990**
(Rev. January 2020)
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

2019Open to Public
Inspection

A For the 2019 calendar year, or tax year beginning JUL 1, 2019 and ending JUN 30, 2020

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.

Doing business as

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

1 PARK STREET

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

NORWALK, CT 06851

F Name and address of principal officer: ANTHONY DILAURO

ONE PARK STREET, NORWALK, CT 06851

D Employer identification number

-*2160

E Telephone number

203-849-1111

G Gross receipts \$ 1,869,771.

H(a) Is this a group return

for subordinates? ☐ Yes ☒ NoH(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.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	21
	4	Number of independent voting members of the governing body (Part VI, line 1b)	4	21
	5	Total number of individuals employed in calendar year 2019 (Part V, line 2a)	5	29
	6	Total number of volunteers (estimate if necessary)	6	282
	Revenue	7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a
7b		Net unrelated business taxable income from Form 990-T, line 39	7b	0.
Expenses	8	Contributions and grants (Part VIII, line 1h)	Prior Year 906,648.	Current Year 992,630.
	9	Program service revenue (Part VIII, line 2g)	947,441.	840,428.
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	397.	184.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	14,612.	29,964.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	1,869,098.	1,863,206.
	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)	1,328,619.	1,282,041.
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
	16b	Total fundraising expenses (Part IX, column (D), line 25)	2,285.	
Net Assets or Fund Balances	17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	819,240.	756,841.
	18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	2,147,859.	2,038,882.
	19	Revenue less expenses. Subtract line 18 from line 12	-278,761.	-175,676.
	20	Total assets (Part X, line 16)	Beginning of Current Year 2,898,343.	End of Year 2,998,114.
21	Total liabilities (Part X, line 26)	2,456,278.	2,731,725.	
22	Net assets or fund balances. Subtract line 21 from line 20	442,065.	266,389.	

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	
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature
	KIMBERLY NAPP	
Paid Preparer Use Only	Firm's name	Firm's EIN
	WHITTLESEY PC	** - ***3326
Paid Preparer Use Only	Firm's address	Phone no.
	280 TRUMBULL ST 24TH FL HARTFORD, CT 06103	860.522.3111

May the IRS discuss this return with the preparer shown above? (see instructions)

☒ Yes ☐ No

932001 01-20-20

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

Form 990 (2019)

SEE SCHEDULE O FOR ORGANIZATION MISSION STATEMENT CONTINUATION

Grumman Electric

31 Algonquin Rd
Norwalk, CT 06851

(203) 846-9473

Estimate

DATE	ESTIMATE #
5/10/2021	2021-6920

NAME / ADDRESS
Human Services Council Anthony DiLauro 1 Park St Norwalk, CT 06851

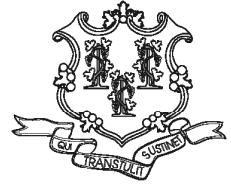
TERMS	PROJECT
Due on receipt	HSC - 1 Park St

QTY	DESCRIPTION
250	LED Flat panel 2x2 4000K
53	LED 2x4 Flat panel 4000K
48	LED candelabra base bulb
96	R30 LED bulb
52	LED 1x4 wraparound fixture
10	12" white LED surface fixture
1	Other materials and supplies for installation
100	Electrician labor to replace fixtures included in quote
20	Electrician labor to replace R30 & Candelabra lamps
1	Disposal fees
1	Laborers to uncrate and distribute fixtures
1	Laborers to carry and load old fixtures in dumpster

Prices quoted good for 45 days from estimate date

TOTAL \$56,762.00

JR ACHIEVEMENT OF GREATER FAIRFIELD COUNTY



Municipality: Norwalk

Form NAA-01
2021 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 Virtual Financial Literacy & Work Readiness Programs

Name of contact person: Laura Stern

Telephone number: (203) 382-0180

Email address: grants@jagfc.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 28,000.00

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



Yes



No

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

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

Part II — Program Information

Check the appropriate description of your program:

100% credit percentage

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

60% credit percentage

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

Description of program: _____

Junior Achievement (JA) is dedicated to inspiring and preparing young people with the knowledge and skills they need to succeed in a global economy. Through a dedicated volunteer network, JA's research-driven educational curriculum provides relevant, interactive experiences that focus on financial literacy, college/career readiness, and entrepreneurship for K-12 students. All programs are provided free of charge to schools and students.

Need for program: _____

Research shows that 43% of American adults are not deemed "financially literate," and they do not have the knowledge base to make significant decisions about paying for college, obtaining a mortgage, and saving for retirement. In recent surveys, teens reported fear and uncertainty, with 49% of Class of 2020 graduating seniors saying their post-high school plans have changed as a result of the COVID-19 pandemic. JA builds knowledge instead of fear, stability instead of uncertainty. Our approach is demonstrated to give students the tools they need to increase their chances of achieving career and financial success.

Neighborhood area to be served: _____

The Norwalk school population in grades K through 12.

Plan to implement the program: _____

JA engages volunteers from the business community and community at-large to deliver our curricula while sharing their own career and life experiences with students. Our programs are grade-level appropriate and follow the common core curriculum. All programs have been redesigned to accommodate current learning scenarios, and we offer programs via three delivery models: 1) In-person, 2) Virtual, 3) Independent, self-guided.

Timetable:Program start date: 7/1/2021Program completion date: 6/30/2022

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 \$28,000.00

Other funding sources - itemized sources:

a) Corporate, foundations, individual gifts \$40,584.00

b) _____

c) _____

d) _____

Total Funding: \$68,584.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Salaries, benefits, payroll taxes \$48,780.75b) Program materials and supplies \$1,696.96c) Travel, mileage, training \$686.20d) Scholarships, awards, recognition \$525.47

Administrative expenses - itemized description:

a) Insurance, license fees \$7,781.04b) Overhead - rent, utilities, equipment \$1,951.60c) Operating costs - IT, telephone, office supplies, postage \$5,451.29d) Marketing and development \$1,987.51**Total Proposed Expenditures:** \$68,860.82

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 Ave., Norwalk, CT 06850
Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810 Ext. 46790
Fax number:	_____
Email address:	koleary@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)

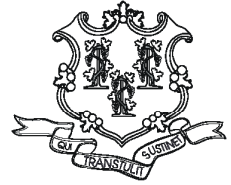
▶ Do not enter social security numbers on this form as it may be made public.
▶ Go to www.irs.gov/Form990 for instructions and the latest information.

A For the 2019 calendar year, or tax year beginning 07/01, 2019, and ending 06/30, 2020																																					
B Check if applicable:	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td colspan="2">C Name of organization JUNIOR ACHIEVEMENT OF GREATER FAIRFIELD COUNTY, INC.</td> <td>D Employer identification number 06-0644315</td> </tr> <tr> <td colspan="3">Doing business as</td> </tr> <tr> <td>Number and street (or P.O. box if mail is not delivered to street address)</td> <td>Room/suite</td> <td>E Telephone number (203) 382-0180</td> </tr> <tr> <td colspan="2">835 MAIN ST</td> <td></td> </tr> <tr> <td colspan="3">City or town, state or province, country, and ZIP or foreign postal code</td> </tr> <tr> <td colspan="3">BRIDGEPORT, CT 06604</td> </tr> <tr> <td colspan="2">F Name and address of principal officer: BERNADINE VENDITTO</td> <td>G Gross receipts \$ 1,370,388.</td> </tr> <tr> <td colspan="2">835 MAIN ST, BRIDGEPORT, CT 06604</td> <td>H(a) Is this a group return for subordinates? ☐ Yes ☒ No</td> </tr> <tr> <td colspan="2"></td> <td>H(b) Are all subordinates included? ☐ Yes ☐ No</td> </tr> <tr> <td colspan="2"></td> <td>If "No," attach a list. (see instructions)</td> </tr> <tr> <td>I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) () ◀ (insert no.) ☐ 4947(a)(1) or ☐ 527</td> <td>J Website: WWW.JAGFC.ORG</td> <td>H(c) Group exemption number ▶</td> </tr> <tr> <td>K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶</td> <td>L Year of formation: 1950</td> <td>M State of legal domicile: CT</td> </tr> </table>	C Name of organization JUNIOR ACHIEVEMENT OF GREATER FAIRFIELD COUNTY, INC.		D Employer identification number 06-0644315	Doing business as			Number and street (or P.O. box if mail is not delivered to street address)	Room/suite	E Telephone number (203) 382-0180	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		G Gross receipts \$ 1,370,388.	835 MAIN ST, BRIDGEPORT, CT 06604		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.JAGFC.ORG	H(c) Group exemption number ▶	K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶	L Year of formation: 1950	M State of legal domicile: CT
C Name of organization JUNIOR ACHIEVEMENT OF GREATER FAIRFIELD COUNTY, INC.		D Employer identification number 06-0644315																																			
Doing business as																																					
Number and street (or P.O. box if mail is not delivered to street address)	Room/suite	E Telephone number (203) 382-0180																																			
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		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.JAGFC.ORG	H(c) Group exemption number ▶																																			
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)	21.
	4	Number of independent voting members of the governing body (Part VI, line 1b)	21.
	5	Total number of individuals employed in calendar year 2019 (Part V, line 2a)	12.
	6	Total number of volunteers (estimate if necessary)	459.
	7a	Total unrelated business revenue from Part VIII, column (C), line 12	0.
	7b	Net unrelated business taxable income from Form 990-T, line 39	
Revenue	8	Contributions and grants (Part VIII, line 1h)	825,202.
	9	Program service revenue (Part VIII, line 2g)	0.
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	12,491.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	428,730.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	1,266,423.
	Expenses	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)	0.
15		Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	780,081.
16a		Professional fundraising fees (Part IX, column (A), line 11e)	0.
b		Total fundraising expenses (Part IX, column (D), line 25) ▶ 84,945.	
17		Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	382,286.
18		Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	1,173,117.
19		Revenue less expenses. Subtract line 18 from line 12	93,306.
Net Assets or Fund Balances		20	Total assets (Part X, line 16)
	21	Total liabilities (Part X, line 26)	406,497.
	22	Net assets or fund balances. Subtract line 21 from line 20	925,604.

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	11/15/2020	
	BERNADINE VENDITTO	Date	
	PRESIDENT		
	Type or print name and title		
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date
	BRIAN C WHITE		
	Firm's name ▶ NANA VATHY DAVENPORT STUDLEY WHITE	Firm's EIN ▶ 06-1402749	
	Firm's address ▶ 123 SOUTH MAIN ST., SUITE 140 NEWTOWN, CT 06470	Phone no. 203/426-8500	
May the IRS discuss this return with the preparer shown above? (see instructions) ☒ Yes ☐ No			

PERSON-TO-PERSON



Municipality: Norwalk

Form NAA-01
2021 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: _____
Person-to-Person, Inc.

Address: 76 Sotuh Main Street, Norwalk, CT 06854

Federal Employer Identification Number: 06-142248

Program title: Norwalk Food Program Capital and Capacity Investment

Name of contact person: Tracy Cramer

Telephone number: (203) 621-0698

Email address: tracycramer@p2phelps.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 73,600.00

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: _____

Person-to-Person (P2P) is a front-line social service agency providing emergency assistance for basic needs and support for low-income individuals and families as they move towards stability. We are proposing funding for the Norwalk Food Program to meet the new capacity and capital needs created by the increased number of clients who need food assistance as a result of job loss, low-wages or other economic challenges from the pandemic. We will use this funding opportunity to add and replace aging equipment, including a new box truck with a lift gate, a pallet jack, walk-in freezer, and new freezer and refrigerators in the Norwalk Food Pantry.

Need for program: _____

With dramatic increases in community need due to the COVID-19 pandemic P2P has increased its service provision by 70% since the start of the crisis in March 2020. Open every weekday without interruption, P2P has provided over 2,000,000 meals from March 2020 to March 2021 to low-income families and individuals during the pandemic. P2P served 8,525 unique individuals who are Norwalk residents. With the COVID-19 increase in need, P2P is now providing more than 65,000 grocery meals through the Norwalk Pantry each month (780,000 meals per year).

Neighborhood area to be served: _____

P2P programs help low-income and food-insecure families living in Lower Fairfield County (Norwalk, Stamford, Darien, Wilton, Weston, Westport and New Canaan) to meet basic needs-including enough food to eat- and to support them on the path towards stability. P2Ps programs are designed to provide food to all in need of it and to support economic resilience. In the face of the COVID-19 crisis, food insecurity is skyrocketing. According to Feeding America in Fairfield County food insecurity will rise from 93,000 to more than 137,000 people, including a projected rise in child food insecurity from 27,000 children to nearly 44,500 children, a jump of 65%.

Plan to implement the program: _____

Once the project is funded, P2P will purchase the box truck, pallet jack, walk in freezer and stand alone freezer and refrigerator.

Timetable:Program start date: July 1, 2021Program completion date: June 30, 2022

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>\$73,600.00</u>
Other funding sources - itemized sources:	
a) <u>CT Food Bank COVID relief fund- pd for portion of walk in</u>	<u>\$4,000.00</u>
b) _____	_____
c) _____	_____
d) _____	_____

Total Funding:	<u>_____</u>
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Proposed Program Expenditures:

Direct operating expenses - itemized description:	
a) <u>Box Truck with Lift Gate</u>	<u>\$56,000.00</u>
b) <u>Walk in Freezer</u>	<u>\$15,000.00</u>
c) <u>Stand Alone freezer and refrigerator</u>	<u>\$6,000.00</u>
d) <u>Pallet Jack</u>	<u>\$600.00</u>

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

Total Proposed Expenditures:	<u>\$77,600.00</u>
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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 Ave., Norwalk, CT 06850
Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810 Ext. 46790
Fax number:	_____
Email address:	koleary@norwalkct.org

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

CHANGE OF ACCOUNTING PERIOD
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

2019

Open to Public Inspection

A For the **2019** calendar year, or tax year beginning **JAN 1, 2020** and ending **JUN 30, 2020**

B Check if applicable: ☐ Address change ☐ Name change ☐ Initial return ☐ Final return/terminated ☐ Amended return ☐ Application pending	C Name of organization PERSON-TO-PERSON, INC.		D Employer identification number 06-1422248
	Doing business as		E Telephone number (203) 655-0048
	Number and street (or P.O. box if mail is not delivered to street address)	Room/suite	
	1864 POST ROAD		
	City or town, state or province, country, and ZIP or foreign postal code DARIEN, CT 06820		G Gross receipts \$ 7,626,861.
F Name and address of principal officer: NANCY COUGHLIN SAME AS C ABOVE		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.P2PHELPS.ORG			
K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶		L Year of formation: 1994	M State of legal domicile: CT

Part I Summary

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: PERSON-TO-PERSON PROVIDES INDIVIDUALS AND FAMILIES WITH ASSISTANCE FOR BASIC NEEDS TO OVERCOME
	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 21
	4 Number of independent voting members of the governing body (Part VI, line 1b) 4 21
	5 Total number of individuals employed in calendar year 2019 (Part V, line 2a) 5 0
	6 Total number of volunteers (estimate if necessary) 6 1300
	7a Total unrelated business revenue from Part VIII, column (C), line 12 7a 0.
7b Net unrelated business taxable income from Form 990-T, line 39 7b 0.	
Revenue	8 Contributions and grants (Part VIII, line 1h) 13,598,086. 6,686,465.
	9 Program service revenue (Part VIII, line 2g) 10,698. 2,263.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d) 154,730. 75,124.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) <88,633.> 6,315.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) 13,674,881. 6,770,167.
	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3) 11,295,618. 4,111,448.
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) 1,967,712. 1,100,384.
	16a Professional fundraising fees (Part IX, column (A), line 11e) 0. 0.
	b Total fundraising expenses (Part IX, column (D), line 25) ▶ 376,020.
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) 994,992. 596,710.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25) 14,258,322. 5,808,542.
Net Assets or Fund Balances	19 Revenue less expenses. Subtract line 18 from line 12 <583,441.> 961,625.
	20 Total assets (Part X, line 16) 6,000,334. 7,233,409.
	21 Total liabilities (Part X, line 26) 104,181. 586,555.
	22 Net assets or fund balances. Subtract line 21 from line 20 5,896,153. 6,646,854.

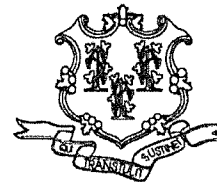
Part II Signature Block

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			
	NANCY COUGHLIN, CHIEF EXECUTIVE OFFICER Type or print name and title				
Paid Preparer Use Only	Print/Type preparer's name SCOTT M. BRENNER	Preparer's signature	Date	Check if self-employed ☐	PTIN P01247233
	Firm's name ▶ MARKS PANETH LLP	Firm's EIN ▶ 11-3518842		Phone no. (914) 524-9000	
Firm's address ▶ 4 MANHATTANVILLE ROAD PURCHASE, NY 10577					

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

RIVERBROOK REGIONAL YMCA



Municipality: Norwalk

Form NAA-01
2021 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: _____

Riverbrook Regional YMCA / Norwalk Redevelopment Agency

Address: 404 Danbury Road, Wilton CT 06897

Federal Employer Identification Number: 06-0853258

Program title: Race 4 Chase Youth Triathlon Program

Name of contact person: Robert McDowell

Telephone number: 203-762-8384 —

Email address: bmcowell@riverbrookymca.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 24,930.00

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: _____

Originally created through the CMAK (Chase Michael Anthony Kowalski) Foundation in memory of Chase Kowalski, the Race 4 Chase Youth Triathlon program is aimed at providing kids ages 6-12 with a safe, healthy, non-competitive environment to discover the sport of triathlon. Implementing a custom design training program, the coaches provide the youth athletes with all the equipment, knowledge, and one-on-one support they need to become tri-athletes. At the culmination of the training program, all the youth athletes may come together or locally compete in a triathlon event with other Race 4 Chase program groups.

Need for program: _____

This goal oriented summer program brings together children from all different backgrounds and educates them on how to adopt a healthy lifestyle, coaches them to develop a foundation of athletic skills and inspires them to aim high in sports and life. The program provides youth with a fun, skill building, life changing experience. In addition, Race 4 Chase is strongly supported by various other community organizations like the local Police and business owners who have helped to collect and repair used bikes for the participants.

Neighborhood area to be served: _____

The Race 4 Chase program is offered at no cost to approximately 30 children from Norwalk. Children must be eligible to receive free or reduced breakfast and/or lunch in order to qualify. Typically, families are recommended to the program in partnership with the Norwalk Housing Authority.

Plan to implement the program: _____

Designed as a six-week summer program opportunity for six hours each weekday, it provides children with expert instruction in swimming, cycling, running, strength training and flexibility, and also teaches them the fundamentals of good nutrition, under the supportive guidance of coaches, lifeguards and instructors. As a returning Race 4 Chase program site since 2016 in Norwalk, the Riverbrook Regional YMCA has the experience to successfully implement this meaningful program. Participants are provided with everything they need to be successful in their journey, including bike, helmets, etc

Timetable:Program start date: June 2022Program completion date: July 2022

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 \$24,930.00

Other funding sources - itemized sources:

a) Corporate Grant \$8,000.00b) YUSA Grant \$6,000.00

c) _____

d) _____

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

Direct operating expenses - itemized description:

a) Bus Transportation \$8,000.00b) Counselor Salaries \$21,530.00c) Licenses/Registration \$700.00d) Food/Other \$3,000.00

Administrative expenses - itemized description:

a) Director Administration Allocation \$5,700.00

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$38,930.00

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 Ave, Norwalk CT 06850

Name of municipal liaison: _____ Katie O'Leary

Telephone number: _____ (203) 854-7810 x46790

Fax number: _____

Email address: _____ koleary@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 16, 2020

Form **990**
(Rev. January 2020)
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

2019
Open to Public
Inspection

A For the 2019 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
THE RIVERBROOK REGIONAL YOUNG MEN'S CHRISTIAN ASSOCIATION INC.
 Doing business as
 Number and street (or P.O. box if mail is not delivered to street address) Room/suite
404 DANBURY ROAD
 City or town, state or province, country, and ZIP or foreign postal code
WILTON, CT 06897
F Name and address of principal officer: **ROBERT MCDOWELL**
404 DANBURY ROAD, WILTON, CT 06897

D Employer identification number
06-0853258

E Telephone number
(203) 762-8384

G Gross receipts \$ **8,033,393.**

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.RIVERBROOKYMCA.ORG**

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

L Year of formation: **1972** **M** State of legal domicile: **CT**

Part I Summary

1 Briefly describe the organization's mission or most significant activities: **THE RIVERBROOK REGIONAL YMCA IS A CHARITABLE ORGANIZATION DEDICATED TO MAXIMIZING THE PERSONAL**

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** **29**

4 Number of independent voting members of the governing body (Part VI, line 1b) **4** **29**

5 Total number of individuals employed in calendar year 2019 (Part V, line 2a) **5** **440**

6 Total number of volunteers (estimate if necessary) **6** **250**

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 39 **7b** **0.**

	Prior Year	Current Year
8 Contributions and grants (Part VIII, line 1h)	3,022,402.	3,395,095.
9 Program service revenue (Part VIII, line 2g)	3,764,612.	3,167,245.
10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	30,459.	128,728.
11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10g, and 11e)	76,268.	77,961.
12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	6,893,741.	6,769,029.
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)	4,023,358.	3,606,480.
16a Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
b Total fundraising expenses (Part IX, column (D), line 25) ▶ 84,953.		
17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	2,733,215.	2,425,053.
18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	6,756,573.	6,031,533.
19 Revenue less expenses. Subtract line 18 from line 12	137,168.	737,496.
20 Total assets (Part X, line 16)	Beginning of Current Year 10,712,317.	End of Year 22,956,582.
21 Total liabilities (Part X, line 26)	1,952,348.	13,041,147.
22 Net assets or fund balances. Subtract line 21 from line 20	8,759,969.	9,915,435.

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 **ROBERT MCDOWELL, CHIEF EXECUTIVE OFFICER** Date

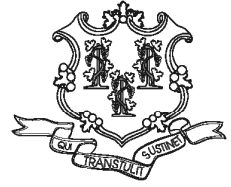
Paid Preparer Use Only Print/Type preparer's name **PATRICK J. BUTLER, CPA** Preparer's signature Date Check ☐ self-employed PTIN **P00524852**

Firm's name ▶ **REYNOLDS & ROWELLA LLP** Firm's EIN ▶ **06-1143555**

Firm's address ▶ **90 GROVE STREET** Phone no. **203-438-0161**
RIDGEFIELD, CT 06877

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

STAR, INC., LIGHT THE WAY



Municipality: Norwalk, CT

Form NAA-01
2021 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: 182Wolfpit Avenue, Norwalk, CT 06851

Federal Employer Identification Number: 06-0726489

Program title: Upgrade Boiler System and Install Smart Home Assistive Technology for People with Disabilities

Name of contact person: Peter C. Saverine

Telephone number: (203) 912-8818

Email address: psaverine@yahoo.com

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: _____

1. Replace single combustion breaching flues with three individual breachings to increase efficiency while decreasing gas emissions and condensation build up in STAR Center boiler system. at 182 Wolfpit Avenue. \$15,000
2. 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 energy savings, independence, accessibility, safety, communication and inclusion. \$ 25,000

Need for program: _____

1. Industry professionals recommend STAR replace the single combustion breaching with three individual breachings/flues. Current sequence of operation is causing flue gas to collect and condensate in the breaching that create inefficiencies and health risks in building serving people with disabilities. 2. STAR is converting residences for people with disabilities into "smart" homes with assistive technology, artificial intelligence, and adaptive equipment for energy savings, safety, accessibility, and inclusion.

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 in greater Norwalk. The group home designated as a "showcase" for assistive technology and "Smart Home" features is on the same property. The improvements to the group home 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 inclusion. The correction of the improper and inefficient venting/flues for STAR Center's heating/boiler system will

Plan to implement the program: _____

STAR works 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 would comply with the town building regulations and

Timetable:Program start date: 7-1-2021Program completion date: 6-30-2022

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 \$8,000.00b) STAR Operating Account \$4,000.00c) In-kind services and discounts \$3,500.00

d) _____

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

Direct operating expenses - itemized description:

a) Professional svc. and equipment for Boiler Flues Install \$9,800.00b) roofing, electrical, construction services for boiler project \$5,200.00c) Smart Home Equipment, Installation \$20,000.00d) Subcontract labor, permits, staff training \$5,000.00

Administrative expenses - itemized description:

a) n/a _____

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 Ave., Norwalk CT 06850
Name of municipal liaison:	Katie O'Leary
Telephone number:	203-224-9663
Fax number:	_____
Email address:	koleary@norwalkct.org

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

STAR, Inc., Lighting the Way...

Addendum to application (full version of questions 2 and 3)

2. 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 in greater Norwalk. The group home designated as a "showcase" for assistive technology and "Smart Home" features is on the same property. The improvements to the group home 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 inclusion. The correction of the improper and inefficient venting/flues for STAR Center's heating/boilers will help improve heat performance, produce energy savings, and eliminate health risks for hundreds of people with IDD, staff and visitors who use the building from Norwalk and surrounding area.

3. STAR works 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 would comply with the town building regulations and ordinances. For STAR Center boiler venting system repair, licensed heating / air control professionals will work with STAR maintenance crew and appropriate licensed tradesmen to complete the upgrades.

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 STAR, INC. - LIGHTING THE WAY		D Employer identification number 06-0726489
	Doing business as		E Telephone number 203-846-9581
	Number and street (or P.O. box if mail is not delivered to street address)	Room/suite	G Gross receipts \$ 14,109,032.
	182 WOLFPIT AVENUE		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: KATIE BANZHAF SAME AS C ABOVE			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 2018 (Part V, line 2a)	5	323
	6 Total number of volunteers (estimate if necessary)	6	700
	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 1,456,666.	Current Year 1,210,218.
	9 Program service revenue (Part VIII, line 2g)	11,476,098.	12,618,589.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	19,555.	38,444.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	451,104.	83,818.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	13,403,423.	13,951,069.
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)	9,417,869.	10,280,005.
	16a Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
	b Total fundraising expenses (Part IX, column (D), line 25) ▶ 210,897.		
Net Assets or Fund Balances	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	2,998,862.	3,537,958.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	12,416,731.	13,817,963.
	19 Revenue less expenses. Subtract line 18 from line 12	986,692.	133,106.
Net Assets or Fund Balances	20 Total assets (Part X, line 16)	Beginning of Current Year 6,580,245.	End of Year 6,591,450.
	21 Total liabilities (Part X, line 26)	1,636,452.	1,514,551.
	22 Net assets or fund balances. Subtract line 21 from line 20	4,943,793.	5,076,899.

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				
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
	PAUL BALLASY	PAUL BALLASY	07/13/20		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

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**

STEPPING STONES



Municipality: Norwalk

Form NAA-01
2021 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 Norwalk, CT 06850

Federal Employer Identification Number: 22-3199269

Program title: Norwalk Opportunity Zone Fund

Name of contact person: William Jeffries

Telephone number: (203) 899-0606

Email address: william.jeffries@steppingstonesmuseum.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 150000

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): exhibit and amenity are upgrades to the museum

Description of program: _____

In partnership with Acadia Capital Management, Stepping Stones Museum for Children created a Norwalk Opportunity Zone Fund that includes \$15 million that will be raised over a multi-year period to cover expenses associated with COVID recovery facility and amenity improvements to the museum as it launches a gradual re-opening plan, expands its Early Language and Literacy and Open Arms Accessibility Initiatives, creates a new e-learning platform and digital resources and hosts the second annual Kids Convention that allows our youngest citizens to investigate and voice what matters to them most in the world.

Need for program: _____

As museum plans to gradually re-open to the general public, there is a window of opportunity to undertake a series of facility and exhibit upgrades, as well as programmatic enhancements, to better serve area audiences. Some upgrades include specific COVID HVAC and other adjustments to ensure optimum health and safety. The museum's Open Arms Accessibility Initiative ensures that our most vulnerable families have equal access to the museum regardless of ability to pay or special needs concerns. This request covers a portion of that overall amount to serve as an incentive for increased corporate giving for an end-of-year campaign push.

Neighborhood area to be served: _____

All of Norwalk, CT

Plan to implement the program: _____

Starting in June 2021, the museum will initiate a gradual re-opening process that will culminate with a full grand re-opening in November. In November we plan to have initial upgrades to the museum's Welcome Hub, East Entrance and Healthyville Cafe areas completed, as well as a new Puppet Theater in the former Performance Gallery. Additional HVAC and COVID 19 equipment updates will also be completed. This process will continue after the re-opening and the museum will offer a hybrid (virtual and in-person) experiences. A new e-learning platform is expected to be launched later this year to support our evolving digital content development work.

Timetable:Program start date: June 1, 2021Program completion date: June 1, 2023

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) _____

b) _____

c) _____

d) _____

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

Direct operating expenses - itemized description:

a) Facility Upgrades to Museum \$100,000.00b) Open Arms Accessibility Funding \$50,000.00

c) _____

d) _____

Administrative expenses - itemized description:

a) _____

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$150,000.00

Part IV — Municipal Information

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

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

Post-Project Review Is a post-project review required for this proposal? ☒ Yes ☐ No If Yes, date post-project review due: August 31, 2023 _____ Date

990Form
(Rev. January 2020)
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

2019Open to Public
Inspection**A** For the 2019 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**STEPPING STONES MUSEUM FOR CHILDREN, INC.**

Doing business as

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

303 WEST AVENUE

Room/suite

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

NORWALK, CT 06852-0184**F** Name and address of principal officer: **BARBARA S. KOTEEN****SAME AS C ABOVE****D** Employer identification number**22-3199269****E** Telephone number**203-899-0606****G** Gross receipts \$**8,396,728.****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.STEPPINGSTONESMUSEUM.ORG****K** Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶**L** Year of formation: **1992** **M** State of legal domicile: **CT****Part I Summary**

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: THE MISSION OF STEPPING STONES MUSEUM FOR CHILDREN IS TO BROADEN AND ENRICH THE EDUCATIONAL		
	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 2019 (Part V, line 2a)	5	201
	6 Total number of volunteers (estimate if necessary)	6	149
	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 39	7b	0.	
Revenue	8 Contributions and grants (Part VIII, line 1h)	Prior Year 4,185,104.	Current Year 4,151,123.
	9 Program service revenue (Part VIII, line 2g)	4,057,286.	4,106,184.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	24,443.	60,222.
	11 Other revenue (Part VIII, column (A) lines 5, 6d, 8c, 9c, 10c, and 11e)	-112,497.	-101,272.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	8,154,336.	8,216,257.
	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)	33,207.	0.
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)	5,243,204.	5,578,894.
	16a Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
	b Total fundraising expenses (Part IX, column (D), line 25) ▶ 400,805.		
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	2,758,277.	2,894,911.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	8,034,688.	8,473,805.
Net Assets or Fund Balances	19 Revenue less expenses. Subtract line 18 from line 12	119,648.	-257,548.
	20 Total assets (Part X, line 16)	Beginning of Current Year 14,230,439.	End of Year 14,038,752.
	21 Total liabilities (Part X, line 26)	395,340.	330,335.
	22 Net assets or fund balances. Subtract line 21 from line 20	13,835,099.	13,708,417.

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

BARBARA S. KOTEEN, CHAIR

Type or print name and title

Paid

Print/Type preparer's name

DENISE C. DORIA

Preparer's signature

Date

Check ☒ if self-employed

PTIN

P01283182**Preparer**

Firm's name

WALTER J. MCKEEVER & COMPANY, LLC

Firm's EIN

06-1253566**Use Only**

Firm's address

**P.O. BOX 5147 15 VALLEY DRIVE
GREENWICH, CT 06831**Phone no. **(203) 6228625**

May the IRS discuss this return with the preparer shown above? (see instructions)

☒ Yes ☐ No

THE MARITIME AQUARIUM



Municipality: Norwalk

Form NAA-01

2021 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 II)

Name of contact person: Danielle Tranzillo

Telephone number: (203) 852-0700

Email address: dtranzillo@maritimeaquarium.org

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

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



Yes



No

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

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

Part II — Program Information

Check the appropriate description of your program:

100% credit percentage

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

60% credit percentage

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

Description of program: _____

The Maritime Aquarium's (TMA) 2021 NAA project supports the current, multi-year initiative to make efficiency modifications to our air handler units (AHUs) throughout the facility. The first phase of the project, funded by the 2020 NAA initiative, allowed TMA to replace the leaking heating and cooling coils for one of our four AHUs, providing increased energy efficacy to the heating and cooling unit.

Additional details attached.

Need for program: _____

TMA's current AHUs are nearly 33 years old and as a result, there are inefficiencies throughout the systems. The project description above details where efficiencies will be gained as well as improvements in the units' ability to protect from pathogenic biological agents that are potentially harmful when inhaled.

Neighborhood area to be served: _____

TMA holds a unique space in the community as a family-friendly destination, reaching 500,000 guests annually; a learning center, with innovative in-person and virtual STEM programming; and a conservation leader for Long Island Sound. Our K-12 education programs, based upon marine science and conservation, reach 80,000 students annually. Located in Norwalk, CT, the majority of the Aquarium's visitors come from Fairfield County, CT and Westchester County, NY, with smaller percentages coming from other areas of CT, NY, and NJ.

Plan to implement the program: _____

These modifications to TMA's air handling units and water heaters will take place throughout the calendar year 2022.

Timetable:Program start date: January 1, 2022Program completion date: December 31, 2022

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

Other funding sources - itemized sources:

a) _____

b) _____

c) _____

d) _____

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

Direct operating expenses - itemized description:

a) Recoating AHUs 91,000b) Replacing AHU dampers 31,000c) Replacing 2 gas-fired water heaters 28,000

d) _____

Administrative expenses - itemized description:

a) _____

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$150,000.00

Part IV — Municipal Information

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

Name of municipal agency overseeing implementation of the program:	_____
	<u>Norwalk Redevelopment Agency</u>
Mailing address:	_____
	<u>3 Belden Ave., Norwalk, CT 06850</u>
Name of municipal liaison:	<u>Katie O'Leary</u>
Telephone number:	<u>203-854-7810 Ext 46790</u>
Fax number:	_____
Email address:	<u>koleary@norwalkct.org</u>

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

Connecticut Neighborhood Assistance Act (NAA)
The Maritime Aquarium at Norwalk Program Proposal (2021)

Description

The Maritime Aquarium's (TMA) 2021 NAA project supports the current, multi-year initiative to make efficiency modifications to our air handler units (AHUs) throughout the facility. The first phase of the project, funded by the 2020 NAA initiative, allowed TMA to replace the leaking heating and cooling coils for one of our four AHUs, providing increased energy efficacy to the heating and cooling unit.

In Phase 2, TMA seeks to continue this effort by recoating all four AHUs with a unique engineered coating system. This will extend the life of the units, provide greater energy efficiency, and incorporate an antimicrobial surface that abates the growth of pathogenic biological agents such as mold, Legionella, and Aspergillus.

This second phase also incorporates coil and tube restoration for three of our four AHU's, which will improve water flow, performance and generate significant energy savings. We will replace all AHU dampers, which will restore efficient control of outside air to the AHU, providing optimum additional energy and cost savings.

In addition, we propose replacing two gas-fired water heaters with an "on-demand" system, also known as a tank less water heater, to eliminate the need to repeatedly heat tanks of hot water. This will reduce our gas consumption and ultimately, improve efficiency and provide cost savings.

Need

TMA's current AHUs are nearly 33 years old and as result, there are inefficiencies throughout the systems. The project description above details where efficiencies will be gained as well as improvements in the units ability to protect from pathogenic biological agents that are potentially harmful when inhaled.

Neighborhood Area to be Served

TMA holds a unique space in the community as a family-friendly destination, reaching 500,000 guests annually; a learning center, with innovative in-person and virtual STEM programming; and a conservation leader for Long Island Sound. Our K-12 education programs, based upon marine science and conservation, reach 80,000 students annually. Located in Norwalk, CT, the majority of the Aquarium's visitors come from Fairfield County CT and Westchester County NY, with smaller percentages coming from other areas of CT, NY, and NJ.

Plan to Implement

These modifications to TMA's air handling units and water heaters will take place throughout the calendar year 2022.

EXTENDED TO MAY 17, 2021

Form **990**
(Rev. January 2020)
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

2019

Open 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 2019 calendar year, or tax year beginning JUL 1, 2019 and ending JUN 30, 2020

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		D Employer identification number 06-1062912
	Doing business as		E Telephone number 203-852-0700
	Number and street (or P.O. box if mail is not delivered to street address)	Room/suite	
	10 NORTH WATER STREET		G Gross receipts \$ 8,108,510.
	City or town, state or province, country, and ZIP or foreign postal code SOUTH NORWALK, CT 06854		
F Name and address of principal officer: JASON PATLIS 10 NORTH WATER 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) 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: SEE SCHEDULE O.		
	2 Check this box ☐ if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	3 Number of voting members of the governing body (Part VI, line 1a)	3	24
	4 Number of independent voting members of the governing body (Part VI, line 1b)	4	24
	5 Total number of individuals employed in calendar year 2019 (Part V, line 2a)	5	153
	6 Total number of volunteers (estimate if necessary)	6	210
	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 39	7b	0.	
Revenue	8 Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
	9 Program service revenue (Part VIII, line 2g)	2,069,788.	1,410,921.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	7,856,170.	5,174,386.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	66,306.	26,199.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	6,227,975.	1,386,814.
	12	16,220,239.	7,998,320.
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)	5,762,334.	5,003,409.
	16a Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
	b Total fundraising expenses (Part IX, column (D), line 25) 400,183.		
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	6,786,839.	5,534,081.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	12,549,173.	10,537,490.
19 Revenue less expenses. Subtract line 18 from line 12	3,671,066.	-2,539,170.	
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)	22,770,312.	20,986,448.
	22 Net assets or fund balances. Subtract line 21 from line 20	2,413,744.	3,121,443.
		20,356,568.	17,865,005.

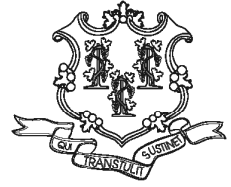
Part II Signature Block

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
	JASON PATLIS, CHIEF EXECUTIVE OFFICER		
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date
	LISA M. WILLS		
	Firm's name WHITTLESEY PC	Firm's EIN 06-0903326	Check if self-employed ☐
	Firm's address 280 TRUMBULL ST 24TH FL	Phone no. 860.522.3111	PTIN P01828548
	HARTFORD, CT 06103		

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

THE OPEN DOOR SHELTER #1



Municipality: Norwalk

Form NAA-01

2021 Connecticut Neighborhood Assistance Act (NAA) Program Proposal

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

Part I — General Information

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

Address: 4 Merritt Street, Norwalk, CT 06854

Federal Employer Identification Number: 22-2536909

Program title: Employment First

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): \$ 70,000.00

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: _____

Our Employment First Job Placement Program increases community-based, integrated employment opportunities for individuals with significant disabilities, including those that are homeless.

Need for program: _____

COVID-19 had a profound effect on the Norwalk community, especially low-income and homeless individuals and families. Those who experienced job loss or reduction in hours remain 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 start date: 9/1/2021Program completion date: 8/31/2022

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 \$70,000.00

Other funding sources - itemized sources:

a) CDBG \$35,000.00

b) _____

c) _____

d) _____

Total Funding: \$105,000.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Personnel \$45,000.00b) Subcontracts \$60,000.00

c) _____

d) _____

Administrative expenses - itemized description:

a) _____

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$105,000.00

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 Ave., Norwalk CT 06850
Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810 Ext. 46790
Fax number:	_____
Email address:	koleary@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**

(Rev. January 2020)

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

2019**Open to Public
Inspection****A** For the 2019 calendar year, or tax year beginning

07/01, 2019, and ending

06/30, 20 20

B Check if applicable:

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

C Name of organization

THE OPEN DOOR SHELTER, INC.

Doing business as

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

4 MERRITT STREET

Room/suite

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

NORWALK, CT 06854

F Name and address of principal officer:

MICHELE CONDERINO

4 MERRITT STREET, NORWALK, CT 06854

D Employer identification number

22-2536909

E Telephone number

(203) 866-1057

G Gross receipts \$ 4,589,133.**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.OPENDOORSHELTER.ORG**K** Form of organization:☒

Corporation

☐

Trust

☐

Association

☐

Other ▶

L Year of formation: 1984**M** State of legal domicile: CT**Part I Summary**

Activities & Governance	1	Briefly describe the organization's mission or most significant activities: 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	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 2019 (Part V, line 2a)	5	69.
	6	Total number of volunteers (estimate if necessary)	6	1,100.
	7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
7b	Net unrelated business taxable income from Form 990-T, line 39	7b		
Revenue	8	Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
	9	Program service revenue (Part VIII, line 2g)	4,137,228.	3,741,789.
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	688,539.	812,146.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	41,878.	32,315.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	-7,482.	2,883.
Expenses	13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	4,860,163.	4,589,133.
	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)	2,235,585.	2,397,838.
	16b	Total fundraising expenses (Part IX, column (D), line 25) ▶ 375,361.	0.	0.
	17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	1,793,581.	1,830,487.
	18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	4,029,166.	4,228,325.
	19	Revenue less expenses. Subtract line 18 from line 12	830,997.	360,808.
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)	14,746,004.	15,399,877.
	22	Net assets or fund balances. Subtract line 21 from line 20.	1,922,104.	2,215,169.

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

02/15/2021

Date



MICHELE CONDERINO

EXECUTIVE DIRECTOR

Type or print name and title

Paid**Preparer****Use Only**

Print/Type preparer's name

Preparer's signature

Date

02/15/2021

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** (2019)

JSA

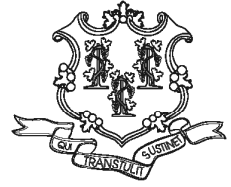
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PAGE 2

THE OPEN DOOR SHELTER #2



Municipality: Norwalk

Form NAA-01

2021 Connecticut Neighborhood Assistance Act (NAA) Program Proposal

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

Part I — General Information

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

Address: 4 Merritt Street, Norwalk, CT 06854

Federal Employer Identification Number: 22-2536909

Program title: Energy Efficient Doors

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): \$ 40,000.00

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



Yes



No

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

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

Part II — Program Information

Check the appropriate description of your program:

100% credit percentage

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

60% credit percentage

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

Description of program: _____

Open Doors seeks to increase energy efficiency in five of its supportive housing properties by replacing worn and damaged front doors.

Need for program: _____

The front doors of Open Doors' supportive housing properties at 4 Couch Street, 125.5 South Main Street, 127 South Main Street, 129 South Main Street and 139 South Main Street are damaged and worn, allowing air and water leaks. The replacement of the front doors in these units will not only dramatically improve energy efficiency but will also improve the security and safety of the individuals and families that reside at these properties.

Neighborhood area to be served: _____

Greater Norwalk, CT

Plan to implement the program: _____

All replacements will be completed between 9/1/2021 and 6/30/2022.

Timetable:Program start date: 9/1/2021Program completion date: 6/30/2022

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 \$40,000.00

Other funding sources - itemized sources:

a) CDBG \$36,280.00

b) _____

c) _____

d) _____

Total Funding: \$76,280.00**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Personnel Expenses \$40,000.00b) Contractors, supplies \$36,280.00

c) _____

d) _____

Administrative expenses - itemized description:

a) _____

b) _____

c) _____

d) _____

Total Proposed Expenditures: \$76,280.00

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 Ave., Norwalk, CT 06850
Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810 Ext 46790
Fax number:	_____
Email address:	koleary@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**

(Rev. January 2020)

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

2019**Open to Public
Inspection****A** For the 2019 calendar year, or tax year beginning

07/01, 2019, and ending

06/30, 20 20

B Check if applicable:

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

C Name of organization

THE OPEN DOOR SHELTER, INC.

Doing business as

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

4 MERRITT STREET

Room/suite

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

NORWALK, CT 06854

F Name and address of principal officer:

MICHELE CONDERINO

4 MERRITT STREET, NORWALK, CT 06854

D Employer identification number

22-2536909

E Telephone number

(203) 866-1057

G Gross receipts \$ 4,589,133.**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.OPENDOORSHELTER.ORG**K** Form of organization:☒

Corporation

☐

Trust

☐

Association

☐

Other ▶

L Year of formation: 1984**M** State of legal domicile: CT**Part I Summary**

Activities & Governance	1	Briefly describe the organization's mission or most significant activities: 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	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 2019 (Part V, line 2a)	5	69.
	6	Total number of volunteers (estimate if necessary)	6	1,100.
	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 39	7b	
Revenue	8	Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
	9	Program service revenue (Part VIII, line 2g)	4,137,228.	3,741,789.
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	688,539.	812,146.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	41,878.	32,315.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	-7,482.	2,883.
Expenses	13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	4,860,163.	4,589,133.
	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)	2,235,585.	2,397,838.
	b	Total fundraising expenses (Part IX, column (D), line 25) ▶ 375,361.	0.	0.
	17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	1,793,581.	1,830,487.
	18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	4,029,166.	4,228,325.
	19	Revenue less expenses. Subtract line 18 from line 12	830,997.	360,808.
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)	14,746,004.	15,399,877.
	22	Net assets or fund balances. Subtract line 21 from line 20.	1,922,104.	2,215,169.

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

02/15/2021

Date



MICHELE CONDERINO

EXECUTIVE DIRECTOR

Type or print name and title

Paid**Preparer****Use Only**

Print/Type preparer's name

Preparer's signature

Date

02/15/2021

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** (2019)

JSA

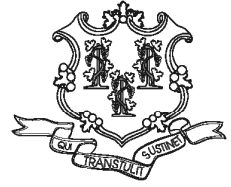
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PAGE 2

UNDER ONE ROOF, INC.



Municipality: Norwalk

Form NAA-01
2021 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

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

Part I — General Information

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

Address: 60 Gregory Boulevard, Norwalk, CT 06855

Federal Employer Identification Number: 06-1377860

Program title: The Marvin Children's Center

Name of contact person: Mary R. Windt, Executive Director

Telephone number: (203) 854-4660

Email address: edatthemarvin@underoneroofinc.org

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

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

☒ Yes ☐ No

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

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

Part II — Program Information

Check the appropriate description of your program:

100% credit percentage

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

60% credit percentage

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

Description of program: _____

Under One Roof, Inc. is an independent non-for-profit organization dedicated to sponsoring, developing, and operating quality affordable housing for elderly persons in need of supportive services, as well as a quality, affordable preschool program for children. These two service models are uniquely housed in the same building - Under One Roof - and bring the young and elderly together to promote a strong intergenerational philosophy. The Marvin Children's Center is owned by Under One Roof and managed by Bright Horizons Family Solutions, a nationally accredited provider of quality early childhood education. The school readiness program operates year-round and has extended hours to accommodate the schedules of

Need for program: _____

The Marvin offers a wide range of long-term benefits. The provision of affordable congregate housing and affordable preschool and childcare addresses critical service shortages in Norwalk. The unique intergenerational component offers both the elderly residents and young children long-lasting benefits from sharing time together, providing enriching experiences not found in traditional housing or childcare facilities. The Marvin Children's Center is a full-day, full-year school readiness program serving forty 3- and 4-year old children. The program offers a preschool program and affordable childcare that prepares children for entrance into kindergarten. Bright Horizons recognizes the unique strengths of each child and uses those strengths to

Neighborhood area to be served: _____

Families in the program must reside in Norwalk. The Marvin Children's Center serves diverse ethnic, racial and income levels.

Plan to implement the program: _____

The Marvin Children's Center has been open since 1998. The program is a full year, full day school readiness preschool program. There are two classrooms of three and four year olds, with a normal capacity of 40 children. Until COVID-19, the program has always had 100% enrollment. Due to new health and safety guidance to comply with COVID-19, not only was the program closed for four months (March – June 2020), but class size has been limited. As noted above, the implementation and maintenance of new requirements combined with the loss of income from a decrease in enrollment will result in a deficit of approximately \$70,000. Although the requirements related to COVID-19 are easing, families continue to be cautious about

Timetable:Program start date: January 1, 2022Program completion date: December 31, 2022

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>\$50,000.00</u>
Other funding sources - itemized sources:	
a) <u>Children's Center Parent Income</u>	<u>\$216,000.00</u>
b) <u>Children's Center - School Readiness Grant Income</u>	<u>\$357,000.00</u>
c) <u>Other Contributions - TBD</u>	<u>\$10,000.00</u>
d) _____	_____
Total Funding:	<u>\$633,000.00</u>

Proposed Program Expenditures:

Direct operating expenses - itemized description:	
a) <u>Staff compensation, benefits and taxes</u>	<u>\$381,800.00</u>
b) <u>Program supplies and materials</u>	<u>\$15,100.00</u>
c) <u>Other program cost, postage, copier, marketing, etc</u>	<u>\$28,100.00</u>
d) <u>Rent and Occupancy, incld utilities, telephone & contracted</u>	<u>\$104,300.00</u>
Administrative expenses - itemized description:	
a) <u>Management Fees</u>	<u>\$68,500.00</u>
b) <u>Administrative office, accounting, audit, etc</u>	<u>\$23,800.00</u>
c) <u>Insurance</u>	<u>\$14,700.00</u>
d) _____	_____
Total Proposed Expenditures:	<u>\$636,300.00</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 Ave., Norwalk, CT 06850
Name of municipal liaison:	Katie O'Leary
Telephone number:	203-854-7810 Ext 46790
Fax number:	_____
Email address:	koleary@norwalkct.org

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

UNDER ONE ROOF, INC.

DESCRIPTION OF THE PROGRAM

Under One Roof, Inc. is an independent non-for-profit organization dedicated to sponsoring, developing, and operating quality affordable housing for elderly persons in need of supportive services, as well as a quality, affordable preschool program for children. These two service models are uniquely housed in the same building - "Under One Roof" - and bring the young and elderly together to promote a strong intergenerational philosophy. The Marvin Children's Center is owned by Under One Roof and managed by Bright Horizons Family Solutions, a nationally accredited provider of quality early childhood education. The school readiness program operates year-round and has extended hours to accommodate the schedules of working families. In addition, financial aid (e.g., state) supports families with low incomes to be able to access/afford this high quality childcare. The Marvin Children's Center is truly an asset to the Norwalk community providing a safe and nurturing environment for preschoolers to grow and thrive and exceptional programming that prepares them for kindergarten.

NEED FOR THE PROGRAM

The Marvin offers a wide range of long-term benefits. The provision of affordable congregate housing and affordable preschool and childcare addresses critical service shortages in Norwalk. The unique intergenerational component offers both the elderly residents and young children long-lasting benefits from sharing time together, providing enriching experiences not found in traditional housing or childcare facilities. The Marvin Children's Center is a full-day, full-year school readiness program serving forty 3- and 4-year old children. The program offers a preschool program and affordable childcare that prepares children for entrance into kindergarten. Bright Horizons recognizes the unique strengths of each child and uses those strengths to help the child meet high expectations. The curriculum, based on The World at Their Fingertips Program for Learning creates developmental, cultural, and individually appropriate learning environments in which each child discovers what the world is like, how it works, what he/she is capable of, and his/her place in it. The program is committed to helping children develop the information-gathering and problem-solving tools to succeed in school. The curriculum is tailored to the individual needs of each child and incorporates an appreciation of the resource available and the synergies that can result from involving the senior residents in the provision of day care. Due to the Covid-19 pandemic, in order to keep our children, families, and staff safe, we made the difficult decision to close The Marvin's Children's Center on March 24, 2020. While the program was temporarily closed, the importance of maintaining connections and providing educational opportunities for our children/families was immediately recognized. Therefore, the decision was made to keep the entire Bright Horizons staff on payroll, with the expectation that during this time they would virtually connect with the children/families, participate in staff training, and develop plans for when the center was ready to re-open. After three months (July 2020) we re-entered the facility with new safety procedures/guidelines in place including limiting class sizes, maintaining strict cohort groups, daily health screenings, adequate PPE, supplies, etc. The implementation and maintenance of these new requirements combined with the loss of income from a decrease in enrollment has had a profound impact on our organization (approx. \$70,000). The funding we are requesting will help offset these losses and help to stabilize our operations so we can continue providing exceptional programming to those children/families in our community most in need. There are many preschools in the Norwalk area, but none of the caliber of The Marvin's Children's Center. Affordable quality child care is often a luxury to families in the area. Families find the care and love that The Marvin's Children's Center offers an invaluable resource for their children. It provides many parents/caregivers the ability to work more effectively in their jobs, knowing their children are being nurtured and educated in a safe and caring environment.

UNDER ONE ROOF, INC.

NEIGHBORHOOD AREA TO BE SERVED

Families in the program must reside in Norwalk. The Marvin Children's Center serves diverse ethnic, racial and income levels.

PLAN TO IMPLEMENT THE PROGRAM

The Marvin Children's Center has been open since 1998. The program is a full year, full day school readiness preschool program. There are two classrooms of three and four year olds, with a normal capacity of 40 children. Until COVID-19, the program has always had 100% enrollment. Due to new health and safety guidance to comply with COVID-19, not only was the program closed for four months (March – June 2020), but class size has been limited. As noted above, the implementation and maintenance of new requirements combined with the loss of income from a decrease in enrollment will result in a deficit of approximately \$70,000. Although the requirements related to COVID-19 are easing, families continue to be cautious about having their children in a structured program. We are working on and anticipate some increased enrollment in the fall, however we do expect to see a continued loss of income. We are therefore working to find other sources to support the cost of operating the program.

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.

A For the 2020 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 UNDER ONE ROOF, INC. Doing business as Number and street (or P.O. box if mail is not delivered to street address) Room/suite 60 GREGORY BOULEVARD City or town, state or province, country, and ZIP or foreign postal code NORWALK, CT 06855 F Name and address of principal officer: MARY WINDT SAME AS C ABOVE	D Employer identification number 06-1377860 E Telephone number (203) 854-4660 G Gross receipts \$ 903,441. 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
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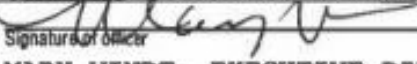
I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c)() (insert no.) ☐ 4947(a)(1) or ☐ 527
J Website: **UNDERONEROOFINC.ORG**
K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other **L** Year of formation: **1993** **M** State of legal domicile: **CT**

Part I Summary

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: UNDER ONE ROOF, INC., A NOT-FOR-PROFIT ORGANIZATION, IS DEDICATED TO SPONSORING, DEVELOPING
	2 Check this box ☐ If the organization discontinued its operations or disposed of more than 25% of its net assets.
	3 Number of voting members of the governing body (Part VI, line 1a) 3 9
	4 Number of independent voting members of the governing body (Part VI, line 1b) 4 9
	5 Total number of individuals employed in calendar year 2020 (Part V, line 2a) 5 4
	6 Total number of volunteers (estimate if necessary) 6 0
	7 a Total unrelated business revenue from Part VIII, column (C), line 12 7a 0. b Net unrelated business taxable income from Form 990-T, Part I, line 11 7b 0.
Revenue	8 Contributions and grants (Part VIII, line 1h) 466,532. 528,460.
	9 Program service revenue (Part VIII, line 2g) 279,220. 199,301.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d) 32,027. 22,108.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) 0. 0.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) 777,779. 749,869.
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) 482,466. 406,680.
	16a Professional fundraising fees (Part IX, column (A), line 11e) 0. 0. b Total fundraising expenses (Part IX, column (D), line 25) 0.
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) 260,587. 227,506.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25) 743,053. 634,186.
	19 Revenue less expenses. Subtract line 18 from line 12 34,726. 115,683.
Net Assets or Fund Balances	20 Total assets (Part X, line 16) Beginning of Current Year 1,435,558. End of Year 1,492,314.
	21 Total liabilities (Part X, line 26) 892,153. 840,388.
	22 Net assets or fund balances. Subtract line 21 from line 20 543,405. 651,926.

Part II Signature Block

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

Sign Here	Signature of officer  MARY WINDT, EXECUTIVE DIRECTOR Type or print name and title	Date 5/4/21
Paid Preparer Use Only	Print/Type preparer's name MARY KAY CURTISS Preparer's signature MARY KAY CURTISS Date 04/29/21 Check ☐ self-employed PTIN P01551484 Firm's name CLIFTONLARSONALLEN LLP Firm's EIN 41-0746749 Firm's address 29 SOUTH MAIN STREET, 4TH FLOOR WEST HARTFORD, CT 06107 Phone no. (860) 561-4000	

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

☒ Yes ☐ No

CT Department of Revenue Services Neighborhood Assistant Act (NAA) 2021			
Organization	Program Title	Amount Requested	Credit % Requested
Domestic Violence Crisis Center	Housing & Financial Advocacy	\$20,000.00	00%
ElderHouse	Meals for Seniors	\$22,500.00	00%
Friends of Norwalk River Valley Trail, Inc	NRVT Norwalk Trail South from Grist Mill Rd	\$150,000.00	00%
Human Services Council, Inc.	Energy Efficient Improvement Interior Lighting for 1 Park St	\$56,700.00	100%
Jr Achievement of Greater Ffld County	Jr. Achievement's Virtual Financial Literacy & Work Readiness Programs	\$28,000.00	00%
Person-to-Person	Norwalk Food Program Capital and Capital Investment	\$73,000.00	00%
Riverbrook Regional YMCA	Race 4 Chase Youth Triathlon Program	\$24,930.00	60%
STAR, Inc., Lighting the Way	Upgrade Boiler System & Install Smart Home Assistive Technology for People with Disabilities	\$24,500.00	100%
Stepping Stones	Norwalk Opportunity Zone Fund	\$15,000.00	00%
The Maritime Aquarium	Replacement of Air Handling Units (Phase II)	\$150,000.00	100%
The Open Door Shelter #1	Employment First	\$70,000.00	00%
The Open Door Shelter #2	Energy Efficient Doors	\$40,000.00	100%
Under One Roof, Inc.	The Marvin Children's Center	\$50,000.00	00%



Phone 860.807.4300
Fax 860.372.4570
www.vhb.com
Engineers | Scientists | Planners | Designers

100 Great Meadow Road
Suite 200
Wethersfield, CT 06109-2377

Client Authorization

☒ New Contract:

Date: April 29, 2021

☐ Amendment No.:

Project No.: 82463.21

Project Name: Gregory Blvd Mini-Roundabouts Design – Phases 1/2

		Cost Estimate – Phase 1/2	
		Amendment	Contract Total
To:	Michael M. Yeosock, PE, DWre, GISP, EnvSP, STP, CVP Assistant Director of Transportation Norwalk, CT Department of Transportation, Mobility and Parking 125 East Avenue Norwalk, CT 06851	Labor:	\$10,200
		Expenses:	\$400
		TOTAL:	\$10,600

E-mail: myeosock@norwalkct.org

- ☐ Lump Sum ☐ Time & Expenses
☒ Lump Sum + Expenses
☐ Cost + Fixed Fee ☐ Labor Multiplier

Phone No: 203-854-7844

Estimated Date of Completion: TBD

Scope of Services:

Please refer to Attachment 'A'

Prepared By: Joseph Balskus

Department Approval:

Please execute this Client Authorization for VHB to proceed with the above scope of services at the stated estimated costs. No services will be provided until it is signed and returned to VHB.

☒ Subject to attached terms & conditions.

☐ Subject to terms & conditions in our original agreement dated

Vanasse Hangen Brustlin, Inc. Authorization

By: _____

Print: _____

Title: _____

Date: _____

Client Authorization (Please sign original and return)

By: _____

Print: _____

Title: _____

Date: _____



ATTACHMENT 'A'

SCOPE OF SERVICES

The scope of services outlined in this contract consists of engineering design and preparation of Construction Plans, Specifications, and Estimate (PS&E) for the Gregory Boulevard/Calf Pasture Beach Road Mini-Roundabouts Design at the intersections of Gregory Boulevard at Fifth Street/Marvin Street and Calf Pasture Beach Road at Marvin Street adjacent to Ludlow Park. The design approach is to provide a cost-effective design process for the construction budget available while achieving the objective of the City for the roundabout operation and providing a new vision for the intersections at Ludlow Park.

The final engineering design of these improvements will be generally in accordance with the attached conceptual improvement plan, Attachment B, which is in general conformance with the City's desire for improving operations at the two existing intersections.

In general, the scope of work entails the existing reconfiguration of the two existing stop-controlled intersections into mini-roundabouts with very limited physical curbing and pavement changes utilizing changes to existing islands, new pavement markings, signing and very limited pavement reconstruction. Minor pavement reconstruction may be needed with new and revised curbing installation.

This scope of work also includes the following:

- Very limited intersection regrading at either intersection
- Mill and overlay within the limits of work (exact limits to be determined during design)
- Resetting and relocation of existing curbing and limited installation of new curbing for roundabout perimeter
- New signing and pavement markings within the limits of work in accordance with MUTCD requirements
- Limited drainage improvements to reuse existing catch basins within the limits of work

This scope of work is based on the following assumptions:

- The City will provide available GIS data needed to supplement the above scope of work
- The City will provide any required relocations/removals of facilities impacted by the construction of the project including removal of the signal equipment and electric service
- Existing lighting will be maintained in the intersection
- Utility relocations other than the drainage improvements noted above will not be required
- VHB assumes that the existing drainage pipes are adequately sized. Therefore, drainage analysis is not required, as there is a reduction in impervious area under this project.
- City to verify Rights Of Way along intersection perimeter
- City details and specifications will be provided and utilized for pavement structure, curbing and drainage
- Overhead and underground utilities will not be impacted by the proposed design
- Cross sections will not be provided with a full intersection grading plan showing spot elevation for critical locations and pedestrian ramps



VHB will provide the following engineering services under this scope of work.

Phase 1 (Tasks 1-2)

1.0 FIELD SURVEY/EXISTING CONDITIONS

VHB will subcontract the land surveying services to Ahneman Kirby, LLC, (AK) a City of Norwalk on-call land surveyor, in order to generate a Right of Way and Topographic Survey of the project area. Professional land surveying will be performed in accordance with "A-2", "T-2", and "D" standards as adopted by the Connecticut Association of Land Surveyors in 2018.

- 1.1 Project Control and Datum:** VHB will establish new project control points within the project area for use during the Right of Way Survey and Topographic Survey. New control points will be horizontally and vertically referenced to the Connecticut NAD83 and NAVD88 coordinate datums.
- 1.2 Right of Way Survey:** AK will conduct research, ground field survey, office calculations, and map preparation in order to retrace, measure and plot the existing right of way locations within the project area (depicted on attached exhibit). During this task, at the Municipal Clerk's office and the Engineering offices, AK will obtain highway maps, record street maps and deeds that provide evidence of the right of way location. After which, evidence of the highway lines (monuments, pipes, fences, walls, etc.) will be field measured, analyzed, and compiled with record data and depicted on the Right of Way Survey. Measurements will be performed in accordance with an "A-2" standard as adopted by the Connecticut Association of Land Surveyors in 2018.
Remaining right of way lines, abutting property lines and street lines will be plotted and depicted based on analysis of record research and compilation of data supplemented by limited field measurements. In these areas, right of way and property line information will conform to a class "D" accuracy standard as adopted by the Connecticut Association of Land Surveyors in 2018 and will be horizontally referenced to the Topographic Survey.
- 1.3 Topographic Survey:** AK will measure, locate and plot the permanent features within the project area. For this task, measurements will conform to a class "T-2" horizontal and vertical standard. The features to be located will include but not limited to; entrances to building elevations, curb lines, pavement, fence lines, utility poles, traffic signal equipment and above ground utility structures. Furthermore, the topographic survey will extend onto adjacent properties approximately 5 feet or to the face of adjacent buildings.

Utility lines not observed during the field survey will be depicted on the survey plans from available record plans from the appropriate utility agency. Inadequate record data requiring the surveyor to employ techniques of sub-surface investigations to locate utilities shall be additional costs, subject to approval by the owner. Utility information to be depicted on the topographic survey will include the following:

- Approximate location and size of water and gas mains, and other utilities including, but not limited to, buried tanks, vaults, etc. based on available maps and above ground evidence.
- Location of fire hydrants and fire department connections to buildings within the project area.
- Approximate location of power, telephone, cable utilities, traffic signal systems, street lighting, parking lighting, above and below the ground when maps are available.



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- Location of sanitary sewers based on available maps and above ground evidence. Due to Covid19 conditions, sanitary inverts and pipe sizes will be measured under separate agreement and are not included in this proposal.
- Location of storm drainage manholes, rim elevations, catch basins, and inverts of each connecting pipe.

Elevations will be based on the NAVD 88 vertical datum (Geoid12A) and a minimum of two benchmarks will be set near or within the project limits. Contours will be generated at an interval of 1' throughout the project area.

2.0 CONCEPT DESIGN FEASIBILITY

2.1 Utilizing the Existing Conditions Plan developed in Task 1 above, VHB will update the concept plan to verify the feasibility of the roundabout layout and operations with the following tasks:

- Review large vehicle maneuvers through the intersections including:
 - Single Unit Box Trucks
 - Semi-trailer trucks
 - Trucks with trailers for large boats
 - Buses
 - Fire apparatus
- Revise the concept layouts to demonstrate what is required to accommodate the large vehicles with a maximum of two revisions to the concept plans

2.2 Prepare a limited traffic study to verify intersection capacity with 1-hour traffic counts during the peak summertime hours, weekday and weekend midday and afternoon. Verify capacity with industry standard capacity analysis methods to verify LOS and queuing for all approaches. Summarize the efforts in a technical memorandum.

2.3 Included in the traffic memorandum will be recommendations for the large vehicle accommodation concept updates and pedestrian crossings such as use of Rectangular Rapid Flashing Beacons (RRFB) or other means to address potential crossing concerns. It should be noted that single lane roundabouts across the USA rarely include RRFB for these crossings.

2.4 Submit the memorandum and updated concepts for review by the City

2.5 Hold a meeting with the City to review the recommendations and comments



Phase 2 (Not in Contract)

VHB will commence Phase 2 based on written approval from the client. It is understood that Phase 2 is contingent on the success of Phase 1 and Phase 2 may not be authorized.

3.0 PRELIMINARY DESIGN (50%) ENGINEERING DESIGN

Upon acceptance of the concept design feasibility efforts, VHB will initiate the preliminary design.

- 3.1** Utilizing the Concept Plan shown in Attachment B and the Existing Conditions Plan developed in Task 1 above, VHB will develop preliminary (50%) design plans for the proposed improvements. The following plan sheets will be developed at the 50% design stage:
- Title Sheet
 - General Notes and Typical Sections
 - Existing Conditions Plan (survey plan 2 sheets)
 - Construction Plan (2 Sheets)
 - Pavement marking and signing plan (2 Sheets)
- 3.2** Prepare an opinion of probable construction cost. The construction cost estimate will be based on unit pricing information available from CTDOT and other recently bid projects.
- 3.3** Submit 50% design documents (report, plans, special provisions, estimate) to the City of Norwalk for review.
- 3.4** Transmit 50% Design plans to the utility companies having facilities located within the project limits. If necessary, arrange for and conduct a design utility meeting to be held with the utility companies to discuss potential conflicts (none are expected based upon the limited construction anticipated).
- 3.5** Meet with the City of Norwalk to review and resolve 50% Design comments.

4.0 90% DESIGN SUBMISSION

Incorporate comments from the 50% Design review and prepare 90% Design Plans. Additional plans in this submission include a detailed intersection grading plan with the mill and overlay for both intersections as well as detailing the pedestrian ramps for ADA compliance. Drainage changes such as catch basin resetting and conversions as well as landscape design will be developed. The following plans are expected to be include:

- 4.1** Incorporate comments from the 50% Design review and prepare 90% Design Plans including:
- Title Sheet
 - General Notes and Typical Sections
 - Existing Conditions Plan (survey plan)
 - Construction Plan/Drainage/Landscape (2)
 - Intersection grading plan (2)
 - Pavement marking and signing plan (2)



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- Miscellaneous details (curbing/islands/drainage) (6)

4.2 Revise quantity estimate and update earlier opinion of probable cost.

4.3 Update special provisions and notices to contractor.

4.4 Submit the 90% plans, special provisions and opinion of probable cost to the City for review.

4.5 Meet with the City to review and resolve 90% Design comments.

5.0 FINAL PLANS, SPECIFICATIONS AND ESTIMATE (100%)

5.1 Prepare written responses to 90% Design review comments.

5.2 5.2 Incorporate comments from the 90% Design review and finalize the 90% design plans.

5.3 5.3 Revise quantity estimate and update earlier opinion of probable cost.

5.4 5.4 Revise, update, and supplement special provisions. VHB shall combine the City's front-end specifications with the special provisions developed. The front-end specifications include invitation to bid, standard instructions to bidders, bid forms, contract and prevailing wage rates. The City is responsible for providing all front-end documents.

5.5 5.5 Submit final construction documents to the City including complete set of final plans, specifications and contract documents, and final opinion of probable cost in PDF format.

CITY FURNISHED INFORMATION

It is understood that VHB will perform services under the sole direction of the client. In the performance of these services, VHB will coordinate its efforts with those of other project team members, and other consultants, as required. The City will provide VHB the survey for this project. VHB will rely upon the accuracy and completeness of client-furnished information in connection with the performance of services.

- Permissions to access the site.
- Copies of available maps, deeds, and surveys of the project area.

SERVICES NOT INCLUDED

This scope of services is inclusive only to those tasks herein specified. Specific tasks and services not included in this scope of services at this time are (but not limited to):

- ROW Services - Title search, appraisals, conveyance documents, and attorneys (by City)



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- Design Support During Construction
- Construction Administration and Inspection
- Environmental Services - Hazardous Materials (Tasks 110, 210 and 310)
- Wetlands delineation or location
- Drainage analysis/studies
- Archeological investigation, identification, observation, or reports
- Utility relocation/installation design
- Pavement design
- Public meeting/hearings
- Wetlands delineation.
- Subsurface exploration surveys.
- Placement of missing property corner monuments.
- A-2 Property Surveys of abutting properties.

Should services be required in these areas, or areas not previously described, VHB will prepare a proposal or amendment, at the City's request, that contains the Scope of Services, Compensation, and Schedule to complete the additional services.



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Page 8

FEE SUMMARY

VHB will perform the Scope of Services outlined above on a lump sum plus expenses basis. The lump sum fee for Labor for Tasks 1 – 5 and expenses have been allocated as follows:

Phase 1		Fees
1.0	Existing Conditions/Survey	\$5,000
2.0	Concept Design Feasibility	\$5,200
Reimbursable Expense		\$400
Phase 1 LUMP SUM FEE		\$10,600
Phase 2 (Not in Contract) *		
3.0	50% Design	\$8,400
4.0	90% Design	\$12,000
5.0	Final Plans, Specifications and Estimate (100%)	\$5,000
Reimbursable Expense		\$400
Phase 2 LUMP SUM FEE:		\$25,800

**Upon the completion of Phase 1, VHB will prepare a contract amendment for the inclusion of Phase 2 for client review and approval.*

ATTACHMENT 'B'



PART II STANDARD TERMS AND CONDITIONS. The engagement of VHB by Client is under the following terms and conditions. These terms and conditions are an integral part of the collective Agreement between Client and VHB.

SCOPE OF SERVICES. VHB shall perform the services set forth in the attached Scope of Services. Requests for additional services and any associated fee adjustment must be authorized in writing before additional services can begin.

PERFORMANCE STANDARDS. VHB's services require decisions that are not based upon science, but rather upon judgmental considerations. In the performance or furnishing of professional services hereunder, VHB, and those it is responsible for, shall exercise the degree of skill and care ordinarily exercised by similarly practicing professionals performing similar services under similar conditions in the same locality ("Standard of Care"). VHB shall be entitled to rely on the accuracy and completeness of data, reports, surveys, requirements, and other information provided by Client.

SCHEDULE. VHB shall perform its services as set forth in the Scope of Services as expeditiously as consistent with the Standard of Care and the orderly progress of the Work. VHB shall not be responsible for failure to perform or for delays in the services arising out of factors beyond the reasonable control or without the fault or negligence of VHB.

PAYMENT. The fee estimate for the proposed Scope of Services is valid for 60 days from the date of Proposal. All schedules set forth in the attached Scope of Services commence upon receipt of a signed Agreement and, if requested, a retainer. Retainers will be applied to the last invoice. A RETAINER OF \$[] IS REQUIRED BEFORE SERVICES WILL COMMENCE.

Invoices will be rendered monthly and are due upon receipt. Any invoice unpaid more than 30 days after date of invoice will bear interest at 1-1/2 percent per month.

If Client fails to pay any invoice within 45 days of the date of invoice, VHB may, without waiving any other claim or right against Client or incurring any liability for delay, suspend the services until VHB has been paid in full. Sealed plans, final documents, reports, and attendance at meetings/hearings will not be provided unless payment for services is current.

If VHB is performing services for Client under multiple projects, payments must be current on all projects for services hereunder to continue. Client acknowledges VHB's right to suspend services and withhold plans and documents, as provided above, if any payments are overdue. If services are suspended for 30 days or longer, upon resuming services VHB shall be entitled to expenses incurred in the interruption and resumption of its services. If

services are suspended for 90 days or longer, VHB shall be entitled to expenses incurred in the interruption and resumption of its services and fees for remaining services shall be equitably adjusted.

The parties agree to coordinate invoices to assure timely payment. At minimum, VHB's project manager and Client's representative will confer as often as necessary about any issues involving invoicing and collections. Client's representative will contact VHB's project manager forthwith upon receipt of an invoice about any questions or issues concerning invoiced amounts. If Client's representative and VHB's project manager are unable to resolve any questions or issues, Client's representative will line item any disputed or questionable amount and pay VHB. VHB, at its option, may revise and resubmit disputed amounts at a later date.

Should it become necessary to utilize legal or other resources to collect any or all monies rightfully due for services rendered under this Agreement, VHB shall be entitled to full reimbursement of all such costs, including reasonable attorneys' fees, as part of this Agreement.

OWNERSHIP OF WORK PRODUCT. All work products (whether in hard or electronic form) prepared by VHB pursuant to the Agreement are instruments of service with respect to the Project and are not authorized, intended or represented to be suitable for reuse by Client or others on extensions of the Project or on any other Project. Any reuse by Client or a third person or entity authorized by Client without written verification or adaptation by VHB for the specific application will be at Client's sole risk and without liability or legal exposure to VHB. Client shall release, defend, indemnify and hold harmless VHB from all claims, damages, losses and expenses, including attorneys' fees, arising out of or resulting therefrom. Any such verification or adaptation will entitle VHB to additional compensation at rates to be agreed upon by VHB and Client, third person, or entity seeking to reuse said documents.

Client recognizes that information recorded on or transmitted as electronic media, including CADD documents ("Electronic Documents") is subject to undetectable alteration, either intentional or unintentional, due to, among other causes, transmission, conversion, media degradation, software error, or human alteration. Accordingly, the Electronic Documents are provided to Client for informational purposes only and are not represented as suitable for any use or purpose.

VHB retains the copyright in all work products produced in connection with this Agreement, unless otherwise agreed to in writing by an authorized VHB representative. VHB licenses to Client on a non-exclusive basis the use of work products produced solely in connection with this Agreement. The license

may be revoked for any failure of Client to perform under this Agreement.

CERTIFICATIONS. VHB shall not be required to sign any documents, no matter by whom requested, that would result in VHB having to certify, guarantee or warrant the existence of conditions whose existence VHB cannot wholly ascertain. Any certification provided by VHB shall be so provided based on VHB's knowledge, information, and belief subject to the preceding sentence, and shall reflect no greater certainty than VHB's professional opinion developed through and consistent with the Standard of Care. VHB shall be compensated for any work necessary to assess project compliance with regulatory standards for purposes of such certification.

INSURANCE. VHB agrees to carry the following insurance during the term of this Agreement:

- Workmen's Compensation and Employer's Liability Insurance in compliance with statutory limits
- Comprehensive General Liability Insurance including Products Completed, Contractual, Property, and Personal Injury coverage with combined single limits of \$1,000,000 per occurrence and \$2,000,000 in the aggregate
- Professional Liability Insurance with a limit of \$1,000,000 per claim and in the aggregate
- Automobile Liability Insurance including non-owned and hired automobiles with a combined single limit of \$1,000,000 per occurrence

Certificates of insurance will be furnished upon request. If Client requires additional insurance coverage, and it is available, Client agrees to reimburse VHB for such additional expense.

INDEMNITY. Client and VHB shall at all times indemnify and save harmless each other, their officers, and employees on account of damages, losses, expenses, reasonable counsel fees, and compensation arising out of any claims for damages, personal injuries and/or property losses sustained by any person or entity, to the extent caused by the negligent acts, errors or omissions of the indemnifying party, its employees, or subcontractors in connection with the Project, and/or under this Agreement.

Client agrees to the fullest extent permitted by law, to indemnify and hold harmless VHB, its officers, employees and subconsultants from and against any and all claims, suits, demands, liabilities costs including reasonable attorneys' fees, and defense costs caused by, arising out of, or in any way connected with the detection, presence, handling, removal, abatement, or disposal of any asbestos or hazardous or toxic substances, products, or material that exist on, about, or adjacent to the job site.

LIMITATION ON VHB'S RESPONSIBILITY AND JOBSITE

SAFETY. VHB will not be responsible for the acts or omissions of

contractors or others at the Site, except for its own subcontractors and employees. Neither the professional activities of VHB nor the presence of VHB or its employees or subconsultants at a project site shall relieve the other parties on this project of their obligations, duties, and, including, but not limited to, construction means, methods, sequence, techniques, or procedures necessary for performing, superintending, and coordinating the Work in accordance with the contract documents and any health or safety precautions required by any regulatory agencies. VHB and its personnel have no authority to exercise any control over any construction contractor or its employees in connection with their work or any health or safety programs or procedures. Client agrees that Contractor shall be solely responsible for job site safety and warrants that this intent shall be carried out in Client's contract with Contractor.

ALLOCATION OF RISK. In recognition of the relative risks and benefits of the Project to both Client and VHB, the risks have been allocated such that Client agrees that to the fullest extent permitted by law, VHB's total liability in the aggregate to Client and any persons or entities claiming by, through or under Client, for any and all injuries, claims, losses, expenses, or damages whatsoever arising out of or in any way related to the Project and/or this Agreement from any cause or causes, including, but not limited to, VHB's negligence, errors, omissions, strict liability, statutory liability, indemnity obligation, breach of contract or breach of warranty shall not exceed the higher of \$50,000 (fifty thousand dollars), or ten (10) percent of the compensation actually paid to VHB. Client and VHB may agree to a higher limitation of liability for an increased fee.

DISPUTE RESOLUTION. All questions in dispute under this Agreement shall be submitted to non-binding mediation as a condition precedent to the institution of legal proceedings. On the written notice of either party to the other of the election to submit any dispute under this Agreement to mediation, each party shall designate their representative and shall meet within ten (10) days after the service of the notice. The parties shall then attempt to resolve the dispute within ten (10) days of meeting. Should the parties be unable to agree on a resolution of the dispute, then the parties shall proceed with mediation in accordance with the mediation rules of the American Arbitration Association. The cost of mediation shall be borne equally by both parties. This Agreement shall be governed and construed in accordance with the laws of the Commonwealth of Massachusetts.

LEGAL SUPPORT. To the extent VHB is required to respond to any dispute resolution process, including, but not limited to, requests for document production, discovery or a request to appear in any deposition or legal proceeding, which is related to the Scope of Services but does not arise out of VHB's negligent

acts, errors or omissions, Client shall compensate VHB for all costs incurred by VHB, including reasonable attorneys' fees.

DESCRIPTIVE HEADINGS AND COUNTERPARTS. The headings contained in this Agreement are for convenience of reference only and shall not constitute a part hereof, or define, limit or in any way affect the meaning of any of the terms or provisions hereof. This Agreement may be executed in two or more counterparts, and any party hereto may execute any such counterpart, which, when executed and delivered, shall be deemed to be an original and all of such counterparts taken together shall be deemed to be one and the same instrument.

EXCLUSIVE REMEDIES. In the event that any dispute is not remedied through the alternative dispute resolution procedures set forth herein, all claims, actions, and rights of action arising from or relating in any way to this Agreement or the services performed thereunder, whether in contract, tort, indemnity and all other rights of action whatsoever, shall be filed in a court of competent jurisdiction within three years of the completion of such services, or all such claims, actions and rights of action shall be waived. Recovery under this Agreement shall be limited by the parties' agreement on Allocation of Risk and the remainder of this section.

Notwithstanding any other provision of this Agreement, neither party shall be liable to the other for any liquidated, incidental, special, indirect or other consequential damages incurred, regardless of the nature of the cause or whether caused by Client or VHB, or their employees, subconsultants, or subcontractors. Consequential damages include, without limitation, loss of use, loss of profits, loss of production, or business interruption; however, the same may be caused.

VHB and Client waive all claims against each other arising out of or related to this Agreement or the services to the extent that losses, damages, and liabilities associated with such claims have been compensated by the proceeds of property insurance or any other insurance policy.

VHB makes no warranties or guarantees, express or implied, under this Agreement or any other contract document with respect to its provision of professional services. In entering into this Agreement, Client has relied only upon the representations set forth in this Agreement. No verbal warranties, representations, or statements shall be considered a part of this Agreement or a basis upon which Client relied in entering into this Agreement.

NO THIRD PARTY BENEFICIARIES. Nothing contained in this Agreement shall create a contractual relationship with, or a cause of action in favor of, a third party against either Client or VHB. In addition, nothing herein shall be construed as creating a contractual relationship between Client and any VHB employee,

representative, or consultant. Client agrees that in the event of a dispute regarding this Agreement or the services rendered by VHB hereunder, Client shall only seek recourse against VHB and waives any right to pursue a claim against VHB's individual directors, officers or employees.

VHB's commitments as set forth in this Agreement are based on the expectation that all of the services described in this Agreement will be provided. In the event Client later elects to reduce VHB's Scope of Services, Client hereby agrees to release, hold harmless, defend, and indemnify VHB from any and all claims, damages, losses or costs associated with or arising out of such reduction in services.

SEVERABILITY. The invalidity or unenforceability of any provisions of this Agreement shall not affect the validity or enforceability of any other provision of this Agreement, which shall remain in full force and effect.

TAXES. Any taxes or fees, enacted by local, state, or federal government and based on gross receipts or revenues, will be invoiced to and payable by Client as an additional amount due under this Agreement.

PROJECT SPECIFIC PROVISIONS. To the extent the Scope of Services involves any of the following services/geographies, the following general provisions apply accordingly:

AMERICANS WITH DISABILITIES ACT (ADA). Client understands and agrees that ADA standards are evolving and subject to varying, potentially contradictory interpretations and applications. VHB will use its reasonable professional efforts and judgment to interpret applicable ADA requirements and other federal, state and local laws, rules, codes, ordinances, and regulations as they apply to the project. VHB cannot and does not warrant or guarantee that Client's Project will comply with all ADA requirements or ADA interpretations or other applicable regulatory interpretations.

CLIMATE CHANGE/FLOOD ANALYSIS. Consultant shall not be responsible or liable for any damages, losses, litigation, expenses, counsel fees and compensation arising out of any claims, damages, personal injuries and/or property losses related to flooding conditions whether directly or indirectly due to flood water damage, and Client shall at all times indemnify and hold harmless VHB, its respective officers, agents and employees on account of any related claims, damages, losses, expenses and counsel fees related thereto.

CONSTRUCTION PHASE SERVICES

SITE VISITS. VHB shall make periodic site visits upon the request of Client or as otherwise agreed in writing by Client and VHB for

the limited purpose of determining whether work is in general conformance with VHB's plans and specifications. Such visits are not intended to be an exhaustive check or a detailed inspection of Contractor's work. VHB shall not supervise or have control over Contractor's work nor have any responsibility for construction ways, means, methods, techniques, sequences, or procedures selected by Contractor nor for Contractor's safety precautions or programs in connection with the Work.

SHOP DRAWINGS. VHB's review and approval of submittals such as shop drawings, product data, samples, and other data, shall be for the limited purpose of checking for conformance with the design concept and the information in VHB's documents. This review shall not include review of the accuracy or completeness of details, such as quantities, dimensions, weights or gauges, fabrication processes, construction means or methods, coordination of the work with other trades, or construction safety precautions, all of which are the sole responsibility of Contractor and other unrelated parties. Review of a specific item shall not indicate that VHB has reviewed the entire assembly of which the item is a component. VHB shall not be responsible for any deviations from VHB's documents or other documents that are not brought to the attention of VHB in writing by Contractor. VHB shall not be required to review partial submissions or those for which submission of correlated items have not been received.

GEOTECHNICAL SERVICES. Client understands that VHB does not perform geotechnical services directly and, if requested, will retain a geotechnical subconsultant on behalf of Client, and VHB shall rely on the accuracy and completeness of data furnished as if the geotechnical services were contracted directly through Client.

TANK INSPECTION. Client will provide VHB with available underground storage tank (UST) documentation as necessary. VHB assumes that the documentation and site plans will be in order, be complete and meet regulatory compliance standards. VHB's inspection services are to fulfill regulatory requirements and do not include invasive testing or equipment calibration and testing. Accordingly, Client expressly agrees that VHB shall have no liability for equipment functioning or malfunctioning, product releases or spills.

LSP SERVICES – PROJECTS LOCATED IN MASSACHUSETTS. In accordance with the Massachusetts General Laws Chapter 21E, the performance of the services contained in this Agreement may require the engagement of a Licensed Site Professional (LSP) registered with the Commonwealth of Massachusetts under Massachusetts General Law Chapter 21A and the regulations promulgated by the Massachusetts Department of Environmental Protection (MADEP) thereunder (collectively the LSP Program). These laws and regulations place upon the LSP certain professional obligations owed to the public, including in some

instances a duty to disclose the existence of certain environmental contaminants to the MADEP. In the event that any site for which VHB has provided LSP services is audited by MADEP pursuant to the provisions of the Massachusetts Contingency Plan, VHB shall be entitled to additional compensation to provide such services as may be necessary to assist Client in its response to MADEP.

Client understands and acknowledges that in the event the LSP's obligations under the LSP Program conflict in any way with the terms and conditions of this Agreement or the wishes or intentions of Client, the LSP is bound by law to comply with the requirements of the LSP Program. Accordingly, Client recognizes that the LSP shall be immune for all civil liability resulting from any alleged and/or actual conflict with the LSP Program. Client also agrees to hold VHB and its LSP harmless for any claims, losses, damages, fines, or administrative, civil, or criminal penalties resulting from the LSP's fulfillment of its obligations under the LSP Program.

PROJECTS LOCATED IN FLORIDA. FLORIDA STATUTES SECTION 558.0035 (2013), AN INDIVIDUAL EMPLOYEE OR AGENT MAY NOT BE HELD INDIVIDUALLY LIABLE FOR ECONOMIC DAMAGES RESULTING FROM NEGLIGENCE OCCURRING WITHIN THE COURSE AND SCOPE OF THIS AGREEMENT.

MEMORANDUM

To: Members of the Planning Committee
Members of the Common Council
From: Jessica Vonashek – Chief – Economic and Community Development
James Travers – Director – Transportation, Mobility and Parking
Date: 5/25/2021
Re: NRVF – Wilwalk Construction Funding

There has been a long term need and desire for a multi-purpose trail in Norwalk that has become more self-evident during the recent pandemic. A multi-purpose waterfront trail that would surround Norwalk Harbor was first identified in a 1979 planning study commissioned by the City. To implement this vision, the Planning & Zoning Department began to require all new waterfront developments construct publicly accessible trail on their property. The first section of trail opened in 1981.

This vision for a waterfront trail around the Harbor would eventually grow into one of a trail that would run from Norwalk to Wilton. By 2001, the section of trail through Oyster Shell Park was completed and was followed by the construction of a section of trail from Mathews Park to Union Park in 2007.

By 2010, this vision evolved into one of a regional nature as the 5 towns of Norwalk, Wilton, Ridgefield, Redding, and Danbury together secured a federal National Recreational Trails Program grant from the Federal Highway Administration to fund a routing study to examine constructing a 28 mile mainly off-road trail from Calf Pasture Beach in Norwalk to Rogers Park in Danbury.

In 2011, NRVF, Inc., a 501(c)3 nonprofit organization was formed with a Board of Directors comprised of representatives from each of the towns. The routing study was completed in 2012 and a move to find construction funding began.

In 2016, the Town of Wilton was able to secure a 20% matching grant from the Department of Energy and Environmental Protection for \$1,100,500.00. The grant was intended to be used to fund the design of trail from Broad Street in Norwalk to Wolfpit Road in Wilton and the construction of trail from Grist Mill Road in Norwalk to Wolfpit Road in Wilton. The City of Norwalk agreed to partner with the Town of Wilton on this grant opportunity since some of the trail would be in Norwalk. Since neither the City nor Wilton had the matching funds

needed to accept the grant, the entities entered into an agreement with the NRV, Inc. in which NRV, Inc. pledged the matching funds needed.

Earlier this year, the construction documents for this section of trail were finalized and the project advertised for construction. Only one bid was received which was higher than originally budgeted. As a result, NRV, Inc. met with the Town of Wilton and they agreed to accept the bid but also reduced the project scope in order to meet the project's budget with the hopes that some additional monies could be raised to complete the rest. For this reason, NRV, Inc. is asking that \$50,000 in approved 2021 capital funds identified for construction of the Norwalk River Valley Trail be allocated to the WilWalk section of the Norwalk River Valley Trail to help offset the increased cost of construction.

VII. COMMON COUNCIL COMMITTEES

A. HEALTH, PUBLIC WELFARE AND SAFETY

1. Approve the assignment of the Agreement by and between CWH Research Inc. dated October 23, 2015 to Industrial /Organizational Solutions Inc., pursuant to a Purchase Agreement.
2. Authorize the Mayor, Harry W. Rilling, to execute Consent to Assignment document evidencing the City's Consent to the Assignment and Assumption of the Written Agreement.

B. PLANNING COMMITTEE

1. Approve OPM Responsible Growth and Transit-Oriented Development (TOD) Grant Program Certified Resolution.

C. PUBLIC WORKS COMMITTEE

1. Authorize the Mayor, Harry W. Rilling, to execute the Second Amendment to September 2, 2011 agreement for On-call Traffic Engineering Services with RBA Group of Connecticut, LLC to prepare a traffic signal timing and optimization study for intersections at (1) Fairfield Avenue, Flax Hill Road, Washington Street and Dr. Martin Luther King Jr. Drive and (2) Connecticut Avenue and West Avenue for an amount not to exceed \$9,000. (scope of services date December 3, 2015 attached).

Account No. 09 03 4120 5777 C0232

2. Authorize the Mayor, Harry W. Rilling, to execute an agreement with the Town of Wilton pledging Norwalk's support for its share of the 20% matching contribution due under the grant from the Department of Energy and Environmental Protection to Wilton for the construction of a portion of the Norwalk River Valley Trail that transverses the Town of Wilton and City of Norwalk. (copies of the grant documents between Wilton and DEEP and the agreement included in packet)
3. Authorize the Mayor, Harry W. Rilling, to execute an agreement with the Town of Wilton and the Friends of the Norwalk River Valley Trail, Inc. (NRVT) whereby NRVT pledges to provide the 20% matching contribution under the grant from the Department of Energy and Environmental Protection to Wilton for the construction of a portion of the Norwalk River Valley Trail to be made on behalf of both Wilton and Norwalk. (copy of the agreement included in packet)
4. Authorize the Purchasing Agent to issue a purchase order to Crowley Ford, LLC, for the purchase of one 2016 Ford Explorer for a sum not to exceed \$26,053.60 (State contract #10PSX0239)

Account No. 09 16 4031 5777 C0313

☒ GRANT
☐ PERSONAL SERVICE AGREEMENT

1. THE STATE BUSINESS UNIT AND THE CONTRACTOR AS LISTED BELOW HEREBY ENTER INTO AN AGREEMENT SUBJECT TO THE TERMS AND CONDITIONS STATED HEREIN AND/OR ATTACHED HERETO AND SUBJECT TO THE PROVISIONS OF SECTION 4-98 OF THE CONNECTICUT GENERAL STATUTES AS APPLICABLE
2. ACCEPTANCE OF THIS CONTRACT IMPLIES CONFORMANCE WITH TERMS AND CONDITIONS SET FORTH BY THE OFFICE OF POLICY AND MANAGEMENT PERSONAL SERVICE AGREEMENT STANDARDS AND PROCEDURES.

(1) ☒ ORIGINAL ☐ AMENDMENT	(2) IDENTIFICATION #s P.S. P.O.
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CONTRACTOR	(3) CONTRACTOR NAME Town of Wilton		(4) ARE YOU PRESENTLY A STATE EMPLOYEE? ☐ YES ☒ NO
	CONTRACTOR ADDRESS 238 Danbury Road, Wilton, CT 06897		
STATE AGENCY	(5) AGENCY NAME AND ADDRESS DEEP - Bureau of Outdoor Recreation, State Parks Division, 79 Elm Street, Hartford, CT 06106-5127		CONTRACTOR FEIN/SSN 06-8002133
CONTRACT PERIOD	(7) DATE (FROM) Execution	THROUGH (TO) 3 years from Execution	(6) Dept No. 0EP44321
	(8) INDICATE ☐ MASTER AGREEMENT ☐ CONTRACT AWARD NO. ☒ NEITHER		

(9) CONTRACTOR AGREES TO: (Include special provisions - Attach additional blank sheets if necessary.)

1. Performance: Do, conduct, perform or cause to be performed in a satisfactory and proper manner as determined by the Commissioner of Energy and Environmental Protection, all work described in Appendix A, which is attached hereto and made a part hereof.
Appendix A consists of 5 pages numbered A-1 through A-5 inclusive.

Page 1 of 6

Standard Terms and Conditions are contained in Pages 2 through 6 and are attached hereto and made a part hereof.

Appendices B-F attached hereto and made a part hereof.

(10) PAYMENT TO BE MADE UNDER THE FOLLOWING SCHEDULE UPON RECEIPT OF PROPERLY EXECUTED AND APPROVED INVOICES.

Grant funds shall be released on a reimbursement basis not to exceed \$1,100,500.00, and shall be provided at a rate not to exceed eighty percent (80%) of the valid and documented project expenses (see Appendix B for schedule of payments and Appendix C for a sample financial report).

Total Payments Not to Exceed the Maximum Amount of \$1,100,500.00.

(11) OBLIGATED AMOUNT \$1,100,500.00											
(12) Amount	(13) Dept	(14) Fund	(15) SID	(16) Program	(17) Project	(18) Activity	(19) Bud Ref	(20) Agency CF 1	(21) Agency CF 2	(22) Account	
\$1,100,500.00	DEP44321	12060	20296	64002	DEPA00002024305	155203	2016				55050

An individual entering into a Personal Service Agreement with the State of Connecticut is contracting under a "work-for-hire" arrangement. As such, the individual is an independent contractor, and does not satisfy the characteristics of an employee under the common law rules for determining the employer/employee relationship of Internal Revenue Code Section 3121 (d) (2). Individuals performing services as independent contractors are not employees of the State of Connecticut and are responsible themselves (or payment) of all State and local income taxes, federal income taxes and Federal Insurance Contribution Act (FICA) taxes.

ACCEPTANCES AND APPROVALS	(23) STATUTORY AUTHORITY C-35 Sec. 12a-40a(2) as amended C-36 Secs. 22b-21 and 22b-21a USC Title 23 Section 104 & 204
(24) CONTRACTOR (OWNER OR AUTHORIZED SIGNATURE)	DATE
(25) AGENCY (AUTHORIZED OFFICIAL)	TITLE DATE
(26) ATTORNEY GENERAL (APPROVED AS TO FORM)	DATE

- i. **Records.** For the purposes of this Contract, records are defined as all working papers and such other information and materials as may have been accumulated by the Contractor in performing the Contract, including but not limited to, documents, data, plans, books, computations, drawings, specifications, notes, reports, records, estimates, summaries and correspondence, kept or stored in any form.
- j. **Confidential Information.** shall mean any name, number or other information that may be used, alone or in conjunction with any other information, to identify a specific individual including, but not limited to, such individual's name, date of birth, mother's maiden name, motor vehicle operator's license number, Social Security number, employee identification number, employer or taxpayer identification number, alien registration number, government passport number, health insurance identification number, demand deposit account number, savings account number, credit card number, debit card number or unique biometric data such as fingerprint, voice print, retina or iris image, or other unique physical representation. Without limiting the foregoing, Confidential Information shall also include any information that the Department classifies as "confidential" or "restricted." Confidential Information shall not include information that may be lawfully obtained from publicly available sources or from federal, state, or local government records which are lawfully made available to the general public.
- k. **Confidential Information Breach.** shall mean, generally, an instance where an unauthorized person or entity accesses Confidential Information in any manner, including but not limited to the following occurrences: (1) any Confidential Information that is not encrypted or protected is misplaced, lost, stolen or in any way compromised; (2) one or more third parties have had access to or taken control or possession of any Confidential Information that is not encrypted or protected without prior written authorization from the State; (3) the unauthorized acquisition of encrypted or protected Confidential Information together with the confidential process or key that is capable of compromising the integrity of the Confidential Information; or (4) if there is a substantial risk of identity theft or fraud to the client, the Contractor, the Department or State.
5. **Distribution of Materials.** The Contractor shall obtain written approval from the Commissioner prior to the distribution or publication of any materials prepared under the terms of this Contract. Such approval shall not be unreasonably withheld.
6. **Change in Principal Project Staff.** Any changes in the principal project staff must be requested in writing and approved in writing by the Commissioner at the Commissioner's sole discretion. In the event of any unapproved change in principal project staff, the Commissioner may, in the Commissioner's sole discretion, terminate this Contract.
7. **Further Assurances.** The Parties shall provide such information, execute and deliver any instruments and documents and take such other actions as may be necessary or reasonably requested by the other Party which are not inconsistent with the provisions of this Contract and which do not involve the vesting of rights or assumption of obligations other than those provided for in the Contract, in order to give full effect to the Contract and to carry out the intent of the Contract.
8. **Recording and Documentation of Receipts and Expenditures.** Accounting procedures must provide for accurate and timely recording of receipt of funds by source, expenditures made from such funds, and of unexpended balances. Controls must be established which are adequate to ensure that expenditures under this Contract are for allowable purposes and that documentation is readily available to verify that such charges are accurate.
9. **Assignability.** The Contractor shall not assign any interest in this Contract, and shall not transfer any interest in the same (whether by assignment or novation), without the prior written consent of the Commissioner thereto; provided, however, that claims for money due or to become due the Contractor from the Commissioner under this Contract may be assigned to a bank, trust company, or other financial institution without such approval. Notice of any such assignment or transfer shall be furnished promptly to the Commissioner.
10. **Third Party Participation.** The Contractor may make sub-awards, using either its own competitive selection process or the values established in the state's competitive selection process as outline in DAS General Letter 71, whichever is more restrictive, to conduct any of the tasks in the Scope of Work contained in Appendix A. The Contractor shall advise the Commissioner of the proposed sub-awardee and the amount allocated, at least two (2) weeks prior to the making of such awards. The Commissioner reserves the right to disapprove such awards if they appear to be inconsistent with the program activities to be conducted under this grant. As required by Sec. 46a-68j-23 of the Connecticut Regulations of State Agencies the Contractor must make a good faith effort, based upon the availability of minority business enterprises in the labor market area, to award a reasonable proportion of all subcontracts to such enterprises. When minority business enterprises are selected, the Contractor shall provide DEEP with a copy of the Affidavit for Certification of Subcontractors as Minority Business Enterprises (MBE) along with a copy of the purchase order or contract engaging the Subcontractor. The Contractor shall be the sole point of contact concerning the management of the Contract, including performance and payment issues. The Contractor is solely and completely responsible for adherence by any subcontractor to all the applicable provisions of the Contract.
11. **Small & Disadvantaged Business Enterprises.** The Recreational Trails Program (RTP) is subject to Title I of Transportation Efficiency Act for the 21 Century (TEA-21). Disadvantaged Business Enterprises (DBE) requirements implementing regulations are defined in 49 CFR Part 26. DBEs include small business concerns owned and controlled by socially and economically disadvantaged individuals. The contractor agrees to make a concerted and good faith effort to include DBEs with a goal of expending 10% of funds available for purchasing materials and/or awarding service contracts related to the agreed project scope. The awarding of any contract to a DBE will be based solely on the ability of the DBE to provide comparable product and/or services within acceptable standards. Information on DBE's, a listing of, a status, location and contact is obtainable from the State of Connecticut Department of Transportation (ConnDOT); Division of Contract Compliance; 2800 Berlin Turnpike; Newington, CT 06131 or ConnDOT's web site. A hard copy is available from DEEP upon request of the Contractor.
2. **Procurement of Materials and Supplies.** For procurement purposes, contractors receiving federally funded recreational trails agreements must comply with federal requirements as stipulated per Code of Federal Regulations 49CFR18 Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments. Contractors receiving only State Funds may use their own procurement procedures which reflect applicable State and local law, rules and regulations provided that procurement of tangible personal

9. Breach. If either Party breaches the Contract in any respect, the non-breaching Party shall provide written notice of the breach to the breaching Party and afford the breaching Party an opportunity to cure within ten (10) days from the date that the breaching Party receives the notice. In the case of a Contractor breach, any other time period which the Agency sets forth in the notice shall trump the ten (10) days. The right to cure period shall be extended if the non-breaching Party is satisfied that the breaching Party is making a good faith effort to cure but the nature of the breach is such that it cannot be cured within the right to cure period. The notice may include an effective Contract Termination date if the breach is not cured by the stated date and, unless otherwise modified by the non-breaching Party in writing prior to the Termination date; no further action shall be required of any Party to effect the Termination as of the stated date. If the notice does not set forth an effective Contract Termination date; then the non-breaching Party may Terminate the Contract by giving the breaching Party no less than twenty four (24) hours' prior written notice. If the Agency believes that the Contractor has not performed according to the Contract, the Agency may withhold payment in whole or in part pending resolution of the Performance issue, provided that the Agency notifies the Contractor in writing prior to the date that the payment would have been due.
10. Severability. If any term or provision of the Contract or its application to any person, entity or circumstance shall, to any extent, be held to be invalid or unenforceable, the remainder of the Contract or the application of such term or provision shall not be affected as to persons, entities or circumstances other than those as to whom or to which it is held to be invalid or unenforceable. Each remaining term and provision of the Contract shall be valid and enforced to the fullest extent possible by law.
11. Contractor Guarantee. The Contractor shall: perform the Contract in accordance with the specifications and terms and conditions of the Scope of Work, furnish adequate protection from damage for all work and to repair any damage of any kind, for which he or his workmen are responsible, to the premises or equipment, to his own work or to the work of other contractors; pay for all permits, licenses, and fees, and to give all notices and comply with all laws, ordinances, rules and regulations of the city and the State.
12. Forum and Choice of Law. The Parties deem the Contract to have been made in the City of Hartford, State of Connecticut. Both parties agree that it is fair and reasonable for the validity and construction of the Contract to be, and it shall be, governed by the laws and court decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that any immunities provided by Federal law or the laws of the State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue, the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided, however, that nothing here constitutes a waiver or compromise of the sovereign immunity of the State of Connecticut. The Contractor waives any objection which it may now have or will have to the laying of venue of any Claims in any forum and further irrevocably submits to such jurisdiction in any suit, action or proceeding.
13. Force Majeure. The Parties shall not be excused from their obligation to perform in accordance with the Contract except in the case of Force Majeure events and as otherwise provided for in the Contract. A Force Majeure event materially affects the cost of the Goods or Services or the time schedule for performance and is outside the control nor caused by the Parties. In the case of any such exception, the nonperforming Party shall give immediate written notice to the other, explaining the cause and probable duration of any such nonperformance.
24. Summary of State Ethics Laws. Pursuant to the requirements of section 1-101qq of the Connecticut General Statutes, the summary of State ethics laws developed by the State Ethics Commission pursuant to section 1-81b of the Connecticut General Statutes is incorporated by reference into and made a part of the Contract as if the summary had been fully set forth in the Contract.
25. Confidential Information of the Contractor. The Agency will afford due regard to a written request from the Contractor for the protection of the Contractor's proprietary and/or confidential information and the Agency will endeavor to keep said information confidential to the extent permitted by law. However, all materials associated with a bid and/or this Contract are subject to the terms of the Connecticut Freedom of Information Act ("FOIA") and all corresponding rules, regulations and interpretations. In making such a written request, the Contractor shall delineate with specificity which materials provided by the Contractor to the Agency, and in Agency's possession, are deemed proprietary or confidential in nature and not, therefore, subject to release to third parties. Particular sentences, paragraphs, pages or sections of any document or Record that the Contractor believes are exempt from disclosure under the FOIA must be specifically identified as such. Additionally, the Contractor shall provide the Agency with a detailed explanation of its rationale sufficient to justify each claimed exemption consistent with the FOIA. The rationale and explanation shall be stated in terms of the prospective harm to the competitive position of the Contractor that would result if the identified material were to be released and the reasons why the materials are legally exempt from release pursuant to the FOIA. Additionally, the Contractor shall specifically and clearly mark all claimed documentation as "CONFIDENTIAL." However, nothing in this provision shall impose upon the Agency or the State any obligation to initiate, prosecute or defend any legal proceeding or to seek a protective order or other similar relief, to prevent disclosure of any information deemed confidential and/or proprietary by the Contractor that is sought pursuant to a FOIA request. The Contractor shall have the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. Nothing in this provision shall be deemed to impose upon the Agency or the State any liability for the disclosure of any documents or information in its possession which the Agency believes are required to be disclosed pursuant to the FOIA or other requirements of law.
26. Protection of State Confidential Information.
- Contractor and Contractor Parties, at their own expense, have a duty to and shall protect from a Confidential Information Breach any and all Confidential Information which they come to possess or control, wherever and however stored or maintained, in a commercially reasonable manner in accordance with current industry standards.
 - Each Contractor or Contractor Party shall develop, implement and maintain a comprehensive data - security program for the protection of Confidential Information. The safeguards contained in such program shall be consistent with and comply with the safeguards for protection of Confidential Information, and information of a similar character, as set forth in all applicable federal and state law and written policy of the Department or State concerning the confidentiality of Confidential Information. Such data-security program shall include, but not be limited to, the following:

APPENDIX A
SCOPE OF WORK

Purpose: To continue design and development of the Norwalk River Valley Trail in Wilton and Norwalk.

Description: The Contractor agrees to conduct a project entitled: Norwalk River Valley Trail

Project Name: Norwalk River Valley Trail

Project Site: See attached map, Appendix F.1

Property Owner(s): State of CT Department of Transportation

1. **Project Administration:** Ms. Sandra L. Dennies shall serve as Project Administrator for the Contractor.
2. **Design and Permitting:** If necessary, the Contractor shall be responsible for securing a site survey; developing the design and layout of the trail and preparation and submission of all required permit application(s), including all necessary local, state, or federal permits. No work shall commence until all required local, state and federal permits and approvals have been obtained. DOT consultation is required prior to all phases of construction on DOT property.
3. **Natural Diversity Database (NDDDB):** The contractor agrees to accomplish work while providing for the protection of the Eastern box turtle, Wood turtle, Eastern hognose snake, and the Jefferson salamander "complex". A letter from the NDDDB dated November 26, 2013 is attached and made a part of this contract for reference.
4. **Historical/Archaeological Resources:** The Town must adhere to the treatment recommended by the cultural resource consultant (CRC) retained by the Town to complete Phase I work during Oct-Nov 2014 which is the covering of the affected area of the site with geocloth and capping with gravel. Construction plans must clearly indicate there is to be no disturbance of the existing ground surface within the site boundaries and future Town planning documents should be marked to indicate no ground disturbance is permitted in the area.
5. **Trail Improvements:** The project will deliver construction drawings for a section from Broad Street in Norwalk to Wolfpit Road in Wilton as well as build an over 3 mile, stone dust and board walk multi-use section within from Grist Mill Road to Wolfpit Road.
6. **Project Tasks and Anticipated Completion Timeline:**

Tasks	Person Performing Work	Anticipated Completion Date
Signage and Kiosks	Prof. sign makers & volunteers	May 2016
Construction Documents Broad - Wolfpit	Professional Trail Builders	July 2017
Grist Mill - Wolfpit construction	Contractors	May 2018

The Connecticut Department of Energy and Environmental Protection is an Affirmative Action and Equal Opportunity Employer that is committed to complying with the Americans with Disabilities Act. To request an accommodation contact us at (860) 418-5910 or <mailto:deep.accommodations@ct.gov>

If there is not a meeting or event associated with the material(s) being published, the following ADA and Title VI Publication Statement should be used:

The Connecticut Department of Energy and Environmental Protection is an Affirmative Action/Equal Opportunity Employer that is committed to complying with the requirements of the Americans with Disabilities Act. Please contact us at (860) 418-5910 or deep.accommodations@ct.gov if you: have a disability and need a communication aid or service; have limited proficiency in English and may need information in another language; or if you wish to file an ADA or Title VI discrimination complaint.

If the material(s) being published have a meeting or event associated with them, the following ADA and Title VI Publication Statement should be used:

The Connecticut Department of Energy and Environmental Protection is an Affirmative Action/Equal Opportunity Employer that is committed to complying with the requirements of the Americans with Disabilities Act. Please contact us at (860) 418-5910 or deep.accommodations@ct.gov if you: have a disability and need a communication aid or service; have limited proficiency in English and may need information in another language; or if you wish to file an ADA or Title VI discrimination complaint. Any person needing a hearing accommodation may call the State of Connecticut relay number - 711. Requests for accommodations must be made at least two weeks prior to any agency hearing, program or event.

For videos that will be published on the DEEP website, the following ADA and Title VI statement and the following line should be included on the DVD cover and the title page of the video:

The Connecticut Department of Energy and Environmental Protection is an Affirmative Action and Equal Opportunity Employer that is committed to complying with the requirements of the Americans with Disabilities Act. To request an accommodation contact us at (860) 418-5910 or deep.accommodations@ct.gov.

This video with closed captioning is available at www.ct.gov/deep.

- 15. Submission of Materials:** For the purposes of this contract, all correspondence, summaries, reports, products extension requests and invoices shall be emailed to laurie.giannotti@ct.gov or submitted to:

Laurie Giannotti
Recreational Trails Coordinator
Department of Energy and Environmental Protection
BOR – State Parks Division
79 Elm Street
Hartford, CT 06106-5127

20. Extensions/Amendments: Extensions will generally NOT BE GRANTED. However, if just cause can be demonstrated and approved by the RTP Coordinator, an extension of not more than one year may be granted. If it is anticipated that the project cannot be completed as scheduled, a no-cost extension must be requested in writing no later than 60 days prior to the expiration date of the contract. Said extension request shall include a description of what work has been completed to date, shall document the reason for the extension request, and shall include a revised work schedule and project completion date. If deemed acceptable, approval will be received in the form of a contract amendment. Formal written amendment of the contract is required for extensions to the final date of the contract period and changes to terms and conditions specifically stated in the original contract and any prior amendments, including but not limited to:

- a. revisions to the maximum contract payment,
- b. the total unit cost of service,
- c. the contract's objectives, services, or plan,
- d. due dates for reports,
- e. completion of objectives or services, and
- f. any other contract revisions determined material by DEEP.

APPENDIX C

SAMPLE FINANCIAL REPORT

Contractor Name: Town of Wilton

PSA #: _____

Labor

Date:	Name	Vol. Travel* (\$0.14/mile)	Labor # of Hours	Hourly Labor TOTAL @/hr	Total Costs	Cash Match** (20% of total)	Reimbursent Requested

Reimbursable Expenses

Date of Disbursement	Vendor	Voueltr Number	Check Number	Equipment or Materials Description	Equipment Rental Rate \$/per hour	Total Costs	Cash Match* (20% of total)	Reimbursement Requested

Signature: _____ (Town Manager or Project Coordinator)

*Volunteers can be reimbursed \$0.14 cents per mile

**Please describe source of matching funds.

Appendix E
Assurances - Non-Construction Programs

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified. As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicap; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.



Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations

This notice is provided under the authority of Connecticut General Statutes §9-612(g)(2), as amended by P.A. 10-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on the reverse side of this page).

CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS

No state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee (which includes town committees).

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

On and after January 1, 2011, no state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall knowingly solicit contributions from the state contractor's or prospective state contractor's employees or from a subcontractor or principals of the subcontractor on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

DUTY TO INFORM

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

PENALTIES FOR VIOLATIONS

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties—Up to \$2,000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of up to \$2,000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 3 years, or not more than \$5,000 in fines, or both.

CONTRACT CONSEQUENCES

In the case of a state contractor, contributions made or solicited in violation of the above prohibitions may result in the contract being voided.

In the case of a prospective state contractor, contributions made or solicited in violation of the above prohibitions shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State shall not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information may be found on the website of the State Elections Enforcement Commission, www.ct.gov/sec. Click on the link to "Lobbyist/Contractor Limitations."



Appendix F-1

AGREEMENT

THIS AGREEMENT (the "Agreement") is made and entered into as of this _____ day of _____, 2015 by, between the TOWN OF WILTON of 238 Danbury Road, Wilton, Connecticut 06897 (hereinafter the "Wilton") and the CITY OF NORWALK of 125 East Avenue, Norwalk, Connecticut 06851 (hereinafter "Norwalk").

WHEREAS, Wilton did apply to the Connecticut Department of Energy and Environmental Protection (hereinafter "DEEP") for a state/federal grant (hereinafter "The Grant") to fund a project entitled "Norwalk River Valley Trail" (hereinafter the "Trail") in the total amount of \$1,100,500.00; and

WHEREAS, in order to secure The Grant, Wilton must enter into and sign a contract ("hereinafter to "The Contract"), a copy of which is attached hereto as Exhibit A; and

WHEREAS, the Trail is to be designed and constructed on property which is located in both Wilton and Norwalk and is the approximate location as depicted in Exhibit B, attached hereto; and

WHEREAS, The Grant provides that if Wilton agrees to accept it, (1) Wilton will provide to the Commissioner of DEEP documentation that it has contributed not less than twenty (20%) percent of the total project cost as a matching contribution (the Matching Contribution); (2) Wilton will provide summaries of the project status to the Recreational Trail's Coordinator once every three months during the three year project; (3) Wilton shall submit interim financial reports to the Recreational Trail's Coordinator with supporting documentation sufficient to demonstrate expenditures identified in the project proposal; (4) Wilton shall submit to the Recreational Trail's Coordinator a final report including documentation satisfactory to the Commissioner demonstrating that all the elements of the scope of work have been met, including but not limited to, digital photographs of the completed project; and (5) Wilton shall provide a final financial report to the Recreational Trail's Coordinator with supporting documentation sufficient to demonstrate expenditures identified in the project proposal;

WHEREAS, Wilton is desirous of accepting The Grant and entering into the Contract with the DEEP, however, before doing same, it is desirous of entering into this Agreement with Norwalk to set out and provide for a division of responsibilities for both the design, construction and maintenance of the Trail; and

WHEREAS, the Parties agree that Wilton may rely on the representation and obligation herein when committing to and signing The Contract with the DEEP

NOW, THEREFORE, for ONE AND NO/100 DOLLAR (\$1.00) and other valuable consideration the receipt and sufficiency of which is acknowledged, Wilton and Norwalk agree as follows:

1. Wilton and Norwalk collectively agree to commit to pay and/or to provide, either by way of a donation or services/equipment, the twenty (20%) percent matching contribution

provided for and set out in The Contract. Each party's obligation herein shall be equal to its proportionate share of the total Trail that is constructed in each community; specifically, and by way of example if forty (40%) percent of the Trail that is constructed pursuant to The Grant is located in Wilton, then Wilton is obligated to pay or provide the same percentage of the matching contribution. If sixty (60%) percent of the Trail of the Trail is constructed pursuant to The Grant is located in Norwalk, then Norwalk is obligated to pay or provide the same percentage of the matching contribution.

2 The parties acknowledge that The Friends of the Norwalk River Valley Trail, Inc (NRVT), has pledged to provide the funds necessary for the total Matching Contribution under the Contract And both agree to look to NRVT first for payment of their required contribution under the Grant

2. The parties further acknowledge that to date "in-kind" services have been provided, which shall be allocated towards their respective obligations set out above, the value of which shall be determined by the State, with the mutual agreement of the Parties

3. Immediately upon the execution of this Agreement, Wilton shall execute The Contract and take whatever steps required to access The Grant monies.

4. As soon as possible after the execution of this Agreement, Wilton and Norwalk shall each designate an individual who shall act as the contact person to provide guidance and facilitate communication between the Parties. Said contact person shall meet regularly to review The Contract to insure compliance with its terms.

5. The Parties agree to work collaboratively to design and construct the Trail.

6. The Parties shall, in good faith, agree on the division of responsibilities for all accounting and reporting obligations under The Contract to the ~~DEPT~~.

Witnesses:

TOWN OF WILTON

By: William F Brennan
Its: First Selectman

CITY OF NORWALK

By: Harry Rilling
Its: Mayor

STATE OF CONNECTICUT)
)
COUNTY OF FAIRFIELD)

ss: _____

On this _____ day of _____, 2015, before me came William F. Brennan to
me known to be the individual described herein and who executed the foregoing instrument and
acknowledged that she executed the same.

Notary Public
My Commission Expires

STATE OF CONNECTICUT)
)
COUNTY OF FAIRFIELD)

ss: _____

On this _____ day of _____, 2015, before me came Harry Rilling to me
known to be the individual described herein and who executed the foregoing instrument and
acknowledged that she executed the same.

Notary Public
My Commission Expires

AGREEMENT
BY AND AMONG
THE TOWN OF WILTON AND CITY OF NORWALK
AND
THE FRIENDS OF THE NORWALK RIVER VALLEY TRAIL, INC.

THIS AGREEMENT (the "Agreement") is made and entered into as of this ____ day of _____, 2016 by, among the **TOWN OF WILTON** of 238 Danbury Road, Wilton, Connecticut 06897 (hereinafter the "Wilton"); the **CITY OF NORWALK** of 125 East Avenue, Norwalk, Connecticut 06851 (hereinafter "Norwalk") and the **FRIENDS OF THE NORWALK RIVER VALLEY TRAIL, INC.**, a Connecticut non-profit corporation with a principal place of business at 115 Nod Hill Road, Wilton, Connecticut (NRVT).

WHEREAS, Wilton did apply to the Connecticut Department of Energy and Environmental Protection (hereinafter "DEEP") for a state/federal grant (hereinafter the "Grant") to fund a project entitled "Norwalk River Valley Trail" (hereinafter the "Trail") for which the total amount of \$1,100,500.00 will be eligible for reimbursement by the State; and

WHEREAS, in order to secure said monies, Wilton must enter into and sign a contract (hereinafter "the Contract"), a copy of which is attached hereto as **Exhibit A**; and

WHEREAS, the Trail is to be designed and constructed on property which is located in both Wilton and Norwalk and is the approximate location as depicted in **Exhibit B**, attached hereto; and

WHEREAS, the Grant provides that if Wilton agrees to accept it, (1) Wilton will provide to the Commissioner of DEEP documentation a match of not less than twenty (20%) percent of the total Grant has been provided to fund the development of the Trail (the Municipal Contribution); (2) Wilton will provide summaries of the project status to the Recreational Trail's Coordinator once every three (3) months during the three- year project; (3) Wilton shall submit interim financial reports to the Recreational Trail's Coordinator with supporting documentation sufficient to demonstrate expenditures identified in the project proposal; (4) Wilton shall submit to the Recreational Trail's Coordinator a final report including documentation satisfactory to the Commissioner demonstrating that all the elements of the scope of work have been met, including but not limited to, digital photographs of the completed project; and (5) Wilton shall provide a final financial report to the Recreational Trail's Coordinator with supporting documentation sufficient to demonstrate expenditures identified in the project proposal; and

WHEREAS, NRVT, understanding that neither Wilton nor Norwalk has appropriated sufficient funds or services necessary to meet their obligations under the Grant, has represented to both Wilton and Norwalk that it will partner with them in the development of the Trail by securing qualified matching contributions totaling an amount equal to the total 20% Municipal Contribution under the Contract.

WHEREAS, the Parties have agreed to execute this Agreement in order to set out their respective responsibilities in term of implementing the Grant and providing the matching contributions required pursuant to the Contract with the DEEP, and

WHEREAS, the Parties agree that Wilton may rely on the representation and obligation herein when committing to and signing the Contract with the DEEP;

NOW, THEREFORE, for ONE AND NO/100 DOLLAR (\$1.00) and other valuable consideration the receipt and sufficiency of which is acknowledged, Wilton, Norwalk and NRV T jointly agree as follows:

1. Wilton and Norwalk collectively have committed to pay and/or to provide, either by way of a donation or services/equipment, the twenty percent (20%) Municipal Contribution required by the Contract based on the understanding that NRV T shall secure qualified matching contributions which it will provide in order to satisfy the Municipal Contributions on behalf of both Norwalk and Wilton. The maximum amount of NRV T's financial commitment hereunder shall be TWO HUNDRED SEVENTY-FIVE THOUSAND ONE HUNDRED TWENTY-FIVE DOLLARS (\$275,125.00).

2. The NRV T has agreed to demonstrate to the satisfaction of both Norwalk and Wilton, its ability to provide the matching Municipal Contribution related to the costs incurred for services and supplies in connection with the development of the Trail, prior to Wilton entering into each contract or purchase order. Specifically, as the project moves forward and it is desired or necessary for Wilton to purchase supplies or enter into contracts, NRV T will deposit into an escrow account controlled by Wilton a sum equal to twenty percent (20%) of such purchases and contracts, which amount will be used to pay the costs and expenses so incurred.

3. Upon the execution of this Agreement, Wilton shall execute the Contract and take whatever steps are required to access the Grant monies and commence work on the Trail.

5. The Parties agree to work collaboratively to design and construct the Trail in accordance with the Grant requirements.

6. The Parties agree to indemnify and hold each other harmless in the event that either should suffer any loss, expense or penalty as a result of the breaching party's failure to fullfill its obligatinos hereunder either by way of omission or commission.

TO HAVE AND TO HOLD the Parties hereby represent as follows:

That they are legally existing entities under the laws of the State of Connecticut;

That they have, and have exercised, the required corporate power and authority and have complied with all applicable legal requirements necessary to adopt, execute and deliver this Agreement and to assume the responsibilities and obligations created hereunder; and

That this Agreement is duly executed and delivered by the authorized corporate officers, in accordance with such officers' powers and constitutes a valid and binding obligation

STATE OF CONNECTICUT)
)
COUNTY OF FAIRFIELD) ss: _____

On this _____ day of _____, 2016, before me came Harry W. Rilling to me known to be the individual described herein and who executed the foregoing instrument and acknowledged that he executed the same.

Notary Public
My Commission Expires

Signed and Delivered
in the Presence of:

**FRIENDS OF THE NORWALK
RIVER VALLEY TRAIL, INC.**

Witness

Witness

By: _____
Patricia Sesto
Its President
Duly Authorized

STATE OF CONNECTICUT)
)
COUNTY OF FAIRFIELD) ss:

On this _____ day of _____, 2016, before me came Patricia Sesto to me known to be the individual described herein and who executed the foregoing instrument and acknowledged that she executed the same.

Notary Public
My Commission Expires

Signed, Seal and Delivered
in the Presence of:

TOWN OF WILTON

Witness

Witness

By: _____

Lynne A. Vanderslice
Its First Selectwoman
Duly Authorized

STATE OF CONNECTICUT)

)
ss:

COUNTY OF FAIRFIELD)

On this _____ day of _____, 2016, before me Lynne A. Vanderslice came to me known to be the individual described herein and who executed the foregoing instrument and acknowledged that he executed the same.

Notary Public
My Commission Expires

Signed, Seal and Delivered
in the Presence of:

CITY OF NORWALK

Witness

Witness

By: _____

Harry W. Rilling
Its Mayor
Duly Authorized

enforceable in accordance with its terms, conditions and provisions.

IN WITNESS WHEREOF, the Parties have caused these presents to be signed and their seals affixed this _____ day of _____, 2015.