

**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: NICK KYDES, CHAIRMAN
DATE: APRIL 25, 2013
RE: MEETING NOTICE

.....
The next scheduled meeting of the Planning Committee of the Common Council will be held on Thursday, May 2, 2013 at 7:30 pm, in room 231 in Norwalk City Hall. Please Note the Time and Location.

**PLANNING COMMITTEE OF THE COMMON COUNCIL
May 2, 2013
7:30 PM**

A G E N D A

**PUBLIC HEARING – NEIGHBORHOOD ASSISTANCE TAX CREDIT
PROGRAM FOR 2013**

CALL TO ORDER

ROLL CALL

- I. APPROVAL OF MINUTES – April 4, 2013 Regular Meeting
April 15, 2013 Special Meeting.

II. BUSINESS

A. **WEST AVENUE CORRIDOR REDEVELOPMENT PLAN**

1. Review and advance to the Common Council for approval the Landscape Design Master Plan for the West Avenue Corridor.

B. **NEIGHBORHOOD ASSISTANCE ACT TAX CREDIT
PROGRAM**

1. Advance the attached list of programs to the Common Council for approval of its inclusion in the Neighborhood Assistance Act Tax Credit Program for 2013

C. CHOICE NEIGHBORHOODS PLANNING GRANT
WASHINGTON VILLAGE

1. Advance the Washington Village/South Norwalk Choice Neighborhoods Transformation Plan to the Common Council for approval following a review of comments received at the public hearing scheduled for May 1st and approval of the Plan by the Norwalk Housing Authority Board of Directors, anticipated on May 15th

D. WALL STREET REDEVELOPMENT PLAN AREA

1. Review and approval to advance to the Common Council the City of Norwalk's Application for Section 108 Loan on behalf of the Wall Street Theater Company, Inc. Schedule a public hearing on the City of Norwalk's
2. Schedule a public hearing on the City of Norwalk's Application for a Section 108 Guaranteed Loan on behalf of the Wall Street Theater, Inc. for the required 30-day public comment period
3. Review and consider certain Draft Option Agreement terms as relates to the acquisition of a portion of Smith Street by M. F. DiScala Inc. in the advancement of the Head of the Harbor Project

III. NEW BUSINESS

IV. OLD BUSINESS

ADJOURNMENT

**CITY OF NORWALK
PLANNING COMMITTEE
APRIL 4, 2013**

ATTENDANCE: Nicholas Kydes, Chair (7:10 p.m.); David McCarthy;
Michael Geake; Warren Pena; Matthew Miklave (7:32 p.m.)

STAFF: Timothy Sheehan, Executive Director; Mary Grace Weber, Special
Projects Manager; Susan Sweitzer, Senior Project Manager

OTHERS: Bruce Kimmel, Common Council member

PUBLIC HEARING – DRAFT ANNUAL ACTION PLAN FOR CDBG PROGRAM YEAR 39

Mr. McCarthy opened the public hearing at 6:40 p.m.

Mr. Alan Mathis, Open Door, Liberation Programs, CEO thanked the Committee for their support in funding a Case Manager. He said that the \$30,000 being given will be paid back to the community many times.

Ms. Margaret Suib, Fair Housing Advisory Commission, said that their Chair, Reverend Inghram sends his regrets. She said that she was here to speak about their application for funding the Fair Housing law seminars. She said that they are in a bind, because the City promised HUD that they would conduct these seminars. HUD has been putting greater emphasis that they meet the needs of non-English speaking people in the community. Ms. Suib said that their budget was tight at \$19,000; they can't do the seminars for \$14,000.

Ms. Josie Castillo, Director South Norwalk Community Center thanked the Committee for their wonderful grant. She said that they received funding from Redevelopment in 1972 when the building was built. Since then they have lost a lot of funding. This will revive the Center and explain to the community that they are still active.

There were no other speakers and the public hearing closed at 6:50 p.m.

CALL TO ORDER

Mr. McCarthy called the meeting to order at 6:50 p.m.

**** MR. MCCARTHY MOVED TO ACCEPT THE MINUTES OF MARCH 7, 2013 AS PRESENTED**

**** MOTION PASSED UNANIMOUSLY**

BUSINESS

CDBG-DR

Discuss anticipated funding for Hurricane Sandy recovery via HUD's Community Development Block Grant Disaster Recovery Program

Ms. Webber explained the item. She said that there are a lot of federal resources being distributed through CDBG. They will be allocated in three different pieces. The first piece has been allocated to the State and 80% of the funds have to be used in Fairfield and New Haven counties.

Mr. Sheehan said that the federal government chose to work directly with the State rather than the municipalities. He said that he is confident that Norwalk will meet the criteria within the 2-year window.

In response to Mr. Kimmel's question, Mr. Sheehan described how the program works. Mr. Sheehan noted that the City has to move quickly.

WEST AVENUE CORRIDOR REDEVELOPMENT PLAN

Review proposal for planting medians on West Avenue

Mr. Sheehan explained that wild flowers were planted in the medians last year, but they did not thrive. The islands were not irrigated and they were not maintained. Bid specifications need to be formulated to have the medians planted and maintained. Mr. Sheehan described the medians as the gateway to the heart of South Norwalk. He said that there are also plans for lighting under the I-95 and Route 7 bridges to make them more pedestrian friendly.

Mr. Sheehan said that there is also an issue about how to address bicycle traffic. CDM Smith is going to look at how a City integrates a coordinated bicycle system through an urban corridor.

FY2014 CAPITAL BUDGET

Discuss, review and if so warranted modify the FY 2014 Capital Budget of the City of Norwalk and take action to advance the budget to the Common Council

Mr. Kimmel asked how the Committee handles the capital budget. Mr. Sheehan explained that they review recommendations that have been made. He noted that the Committee cannot provide a program back to the department if they have not requested it.

Mr. Kydes joined the meeting at 7:10 p.m. and Mr. McCarthy turned the chairmanship over to him.

APPROVAL OF MINUTES – March 7, 2013

**** MR. MCCARTHY MOVED TO ACCEPT THE MINUTES AS PRESENTED**
**** MOTION PASSED UNANIMOUSLY**

FY2014 CAPITAL BUDGET - CONTINUED

Discuss, review and if so warranted modify the FY 2014 Capital Budget of the City of Norwalk and take action to advance the budget to the Common Council

Mr. Kydes asked if there were any questions or comments for Mr. Alvord. Mr. McCarthy said that he went over the capital requests with Mr. Alvord today. He said that he gets a lot of complaints about sidewalks that are not ADA compliant. He also asked about the request for funding for a generator at City Hall.

Mr. Alvord said that he has been asking for a back up generator for City Hall for several years. After Hurricane Sandy, that was the number one request from Emergency Management. He said that the City Hall roof needs to be repaired. The building was built in 1936 and when it was converted into City Hall in 1988, there was some roof done, but there are leaks. Mr. Kydes suggested providing all of the funding to fix the roof. Mr. Alvord said that is the most cost effective way to do it. Mr. Kimmel noted that they can't fund more than was requested.

Mr. Sheehan said that he will try to see if disaster funding is available for the generator; if it is, an additional \$800,000 will then be available.

Mr. Miklave joined the meeting at 7:32 p.m.

Mr. Alvord explained the request to raise the roof of the wash bay at the DPW garage. He said that building was on the property when they moved there. The roof is too low to accommodate the trucks.

There is paint failure on the metal surfaces on the exterior of the Police headquarters building. Environmental remediation is needed at various buildings before people can go in to do utility work.

Mr. Alvord said that the Glover Avenue bridge guard rails need to be replaced; it is a liability issue and he has been requesting this for years. He said that the general bridge repair account is a flexibility account. There is not enough in the account to fix the Glover Avenue bridge guardrails.

Mr. Alvord reviewed the fleet requests. He said that in recent years they have had to evacuate the Public Works center twice and is asking for two emergency operation trailers.

Mr. Miklave asked about the Police department's request for a snow plow. Mr. Alvord said that the City's snow plows do not fit through the Police Department's gate. They want a small snow plow there 24/7 during a snow event. In addition, there is no place to store the snow.

Mr. Miklave said that the Police Department wants to purchase a truck so the officers can plow. He said that it would make more sense for DPW to get the truck. Mr. Alvord said that he does not have enough people to have one driver dedicated to the Police department during a snow event.

Mr. Alvord said that he has been asking for infrastructure mapping for 8 years. This would generate accurate mapping.

Mr. Alvord talked about the paving program and said that they are synching utility repairs with paving projects. He explained that when they pave a road there is not only compaction; there are grades that need to be met so the road drains properly.

**** MR. MCCARTHY MOVED TO ADVANCE THE FY 2014 CAPITAL BUDGET OF THE CITY OF NORWALK TO THE FULL COMMON COUNCIL AS PRESENTED**

Mr. Miklave said that he had other questions, but no one was present to answer them. Mr. Sheehan said that there was a public hearing on the capital budget, when the department heads came in to answer questions. He said that this session was to review the Mayor's recommendations and make recommendations which will go into a

memorandum to the full Common Council. Mr. Kimmel said that once on the Council floor, any item can be changed. Mr. Miklave asked Mr. Sheehan to request that the Finance Department provide an Excel spreadsheet of the Capital budget.

**** MOTION PASSED WITH ONE (1) ABSTENTION (MR. MIKLAVE)**

TOD MASTER PLAN

Discuss and authorize the staff to advance the public approval process of consolidating and modifying certain urban renewal plans into a new TOD Redevelopment Plan

Ms. Sweitzer explained that this is an outgrowth of the master plan process that the Common Council approved in 2011. There are 3 urban renewal areas and the recommendation is to consolidate them into one TOD (Transit Oriented Development). She said that Common Council authorization is needed to move forward.

Mr. Sheehan said that the most recent plan is 23 years old. He said that they need to begin the framework of what it is and the message they need to put out to the development community. Mr. Miklave asked if there has been input from the Zoning Commission about this. Mr. Sheehan said that he spoke to the Chair regarding the TOD plan and feels that the staff is receptive. Mr. Miklave said that it is up to the Zoning Commission to implement the zoning change.

Mr. Kimmel asked what would be the problem if there were not uniform zones. Mr. Sheehan said that a problem would be the density. Currently in an I-1 Zone, housing is a special permit use.

Mr. Kimmel asked what was required to change a zone. Mr. Sheehan explained that each zone has implications across the City. Other communities have done Overlay Districts, but there has been hesitancy in Norwalk, although they have been successful in other communities. Mr. Sheehan said that they need to move through on this because other communities are in the development process.

**** MR. PENA MOVED TO AUTHORIZE THE STAFF TO ADVANCE THE PUBLIC APPROVAL PROCESS OF CONSOLIDATING AND MODIFYING CERTAIN URBAN RENEWAL PLANS INTO A NEW TOD REDEVELOPMENT PLAN**

**** MOTION PASSED UNANIMOUSLY**

CDBG

**** MR. MCCARTHY MOVED TO APPROVE THE FOLLOWING AS PRESENTED:**

- 1. CONSIDER PUBLIC COMMENT ON DRAFT ANNUAL ACTION PLAN FOR CDBG PROGRAM YEAR 39**
- 2. ADVANCE A REQUEST TO THE COMMON COUNCIL TO REVIEW AND ADOPT THE ANNUAL ACTION PLAN FOR CDBG PROGRAM YEAR 39 WHICH OUTLINES THOSE CDBG PROPOSALS WHICH THE PLANNING COMMITTEE HAS RECOMMENDED FOR FUNDING IN THE CDBG PROGRAM YEAR BEGINNING JULY 1, 2013 AND ENDING JUNE 30, 2014 WITH PROPORTIONAL CUTS TO BE MADE TO EACH ALLOCATION COMMENSURATE WITH ANY CUTS IN THE CITY'S ESTIMATED ENTITLEMENT GRANT FROM HUD. (THE DRAFT ANNUAL ACTION PLAN WILL BE SUBJECT TO ADDITIONAL PLANNING COMMITTEE REVISIONS SHOULD THE PLANNING COMMITTEE WISH TO AMEND THIS DRAFT PRIOR TO THE COMMON COUNCIL MEETING ON APRIL 23RD IN RESPONSE TO PUBLIC COMMENT RECEIVED BEFORE THE CLOSE OF THE PUBLIC COMMENT PERIOD ON APRIL 15TH, 2013**
- 3. ADVANCE A REQUEST TO THE COMMON COUNCIL TO APPROVE THE MAYOR TO EXECUTE ALL DOCUMENTS ASSOCIATED WITH SUBMISSION OF THE APPROVED PY39 ANNUAL ACTION PLAN TO HUD AND WITH ADMINISTRATION OF THE CDBG PROGRAM FOR THE JULY 1, 2013 TO JUNE 30, 2014 PERIOD**

**** MOTION PASSED UNANIMOUSLY**

NEIGHBORHOOD ASSISTANCE ACT TAX CREDIT PROGRAM

Review timeline for review of project proposals for participation in the Neighborhood Assistance Tax Credit Program

**** MR. PENA MOVED TO APPROVE THE TIMELINE FOR REVIEW OF PROJECT PROPOSALS FOR PARTICIPATION IN THE NEIGHBORHOOD ASSISTANCE TAX CREDIT PROGRAM – MAY 2, 2013 AT 7:30 P.M.**

**** MOTION PASSED UNANIMOUSLY**

NEW BUSINESS

There was no new business discussed this evening.

OLD BUSINESS

Mr. Sheehan announced that there will be a special meeting at the Washington Village Community Center on April 15, 2013 to review the plan with the consultants.

ADJOURNMENT

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

There was no further business and the meeting was unanimously adjourned at 8:33 p.m.

Respectfully submitted,

Rosemarie Lombardi
Telesco Secretarial Services

**CITY OF NORWALK
PLANNING COMMITTEE OF THE COMMON COUNCIL
SPECIAL MEETING
APRIL 15, 2013**

ATTENDANCE: Nicholas Kydes, Chairman; Douglas Hempstead, David McCarthy, Warren Peña, Bruce Kimmel.

STAFF: Norwalk Redevelopment Agency: Mary Grace Weber.

OTHERS: Norwalk Housing Authority: Curtis Law; Candace Mayer, Gayle Epp, EJP Consulting; Eva Erlich, Trinity Financial; Steven Heikin, Icon Architecture; Eric Rains – Eric Rains Landscape Architecture

CALL TO ORDER

Mr. Kydes called the meeting to order at 6:30 p.m. and stated that the members as listed above were in attendance, and that there was a quorum present.

Mr. Kydes stated that the objective of the meeting was to have a review of the Washington Village Transformation Plan, and he wanted to begin with opening remarks. He stated that there was a walk-thru this past weekend, and it brings to life the impressive design that gets away from the old barracks style. He added that this development is one of the oldest in the state and possibly the nation, and the objective of the plan is to bring it up to standards of the 21st century that will be a jewel of the City.

Washington Village South Norwalk Choice Neighborhoods Transformation Plan

Ms. Mary Grace Weber, Special Projects Manager with the Redevelopment Agency, introduced members of the agencies in attendance and gave an overview of the background of the Choice Neighborhoods Planning Grant for a comprehensive plan to transform and revitalize the Washington Village neighborhood. She explained that this plan lays the framework for sustainable mixed-income development that will transform Washington Village into an economically diverse, high opportunity neighborhood that will serve as the basis for the implementation of the grant to carry out the project funding as outlined in the plan

Ms. Candice Meyer outlined the plan as a comprehensive roadmap that focuses on the four components of housing, neighborhood, people and education. The plan calls for:

- Replacing the existing 136 public housing units with 273 units that will include 50% public housing, 25% workforce housing and 25% market rate units.

- The plan proposes 23 key strategies by which to achieve the goal of creating and sustaining access to opportunity to all households who reside, or will reside, in the Washington Village/South Norwalk neighborhood.
- These include housing strategies to replace the public housing units one-for-one in the South Norwalk neighborhood

The presentation was jointly given by Gayle Epp and Eva Erlich who fielded questions and comments from the members on housing quality, levels of poverty, safety, access to open space, variety and vibrancy of shops and services, access to high-quality schools and jobs. Ms. Epp highlighted the characteristics of this area of South Norwalk as it exists today and the rest of the Norwalk community and detailed the range of coordinated strategies for making improvements in quality of life for Washington Village and South Norwalk residents.

Highlights of the plan included charts and schematic renderings, and questions and comments were fielded on the following segments: the target site and housing and neighborhood strategy, education component, implementation and budget, and executive summary. Ms. Erlich reviewed the objectives and the strategies as follows:

- A key objective is to create a sustainable mixed-income community with public and non-public housing units Design new development in accordance with Transit-Oriented Development design guidelines.
- This community engagement and planning process has been going on for the past eighteen months and started before the planning grant was awarded and will continue through the implementation phases to come.
- Serving as the basis for this shared vision for the new South Norwalk community is taken from the mission statement:
 - To provide open housing opportunity for all in a safe and welcoming neighborhood, for businesses along Washington and South Main Streets that want to be part of a thriving commercial district, for service providers seeking better ways to connect with those in need, and for children and their parents who want high-quality learning experiences that will serve as the foundation for personal growth and economic opportunity.

Following the presentation, Mr. Hempstead asked questions and comments that he would like to have addressed:

Timeline: Is there an envisioned timeline for each phase?

Pricing: Is there an estimated range of project costs for infrastructure?

Ryan Park: Is there a sustainable maintenance plan?

Financing: Assumptions for rent/purchase options and market predictions.

Repair Fund: Is there a set aside or unit reserve for repairs?

Demolition Strategy – Is there a sequence plan for building, tear down phases?

Building Look/Design/Quality –Examples of materials to show the quality?

Ms. Weber noted that these areas would be addressed in further detail at the next meeting as part of the next steps of the presentation of the recommended plan.

Mr. Pena asked about the duplication of efforts with the NEON Community Center and Ms. Mayer explained that the intention is to create more of a learning center or a resource center as part of the education component. Mr. Law added that they plan to have an open House held at NEON prior to the public hearing.

Mr. Kydes thanked all of those involved with this plan and stated that this is the product of a city-wide planning effort that has involved Washington Village residents, the Norwalk Housing Authority, City Departments, the Redevelopment Agency, Norwalk Community College, the Board of Education, and representatives of numerous churches and community organizations.

Mr. Kydes noted that there will be Public Hearing on May 1, 2013 at Side by Side Charter School at 7:00 p.m. to receive public comment on this redevelopment project. He referred to the notice provided in the agenda packet.

ADJOURNMENT

The meeting adjourned at 8:45 p.m.

Respectfully submitted,
Marilyn Knox;
Telesco Secretarial Services

**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: MARYGRACE WEBER
SPECIAL PROJECTS MANAGER
RE: REQUEST FOR APPROVAL TO ADVANCE LANDSCAPE DESIGN MASTER PLAN FOR
THE WEST AVENUE CORRIDOR TO THE COMMON COUNCIL FOR REVIEW AND
APPROVAL
DATE: APRIL 26, 2013

In recognition of the key role that West Avenue plays as the principal gateway to Norwalk's two Central Business Districts, the Connectivity Master Plan, developed by the Redevelopment Agency and approved by the Common Council, has identified the critical need to position this roadway as a well-connected urban corridor. Without a comprehensive streetscape design, West Avenue lacks the sense of consistency that would indicate that it represents a large urban corridor uniting South Norwalk and Wall Street. While the substantial amount of new development planned along West Avenue will serve to better connect the two districts, a failure to integrate this new development through consistent streetscape design will beget an impression of a piecemeal and poorly connected corridor. Further, while Norwalk has recently completed a substantial program of infrastructure improvements along West Avenue, which included roadway and sidewalk widening, new historic street lighting, coordinated traffic signalization, utility relocation underground and utility upgrades, the budgetary constraints of that program did not allow for the integration of the necessary aesthetic improvements, landscaping and pedestrian amenities that would mitigate the design impact of this new infrastructure.

To address this important community need and to further the recommendations contained in the Connectivity Master Plan, the Redevelopment Agency engaged Milone and MacBroom, a designing and engineering firm, to develop a comprehensive landscape design and amenity package for the public spaces along the West Ave Corridor. The plan, as embodied in the documents attached to this memorandum, calls for a substantial increase in the number of trees and amount of landscaping along the corridor, as well as brick crosswalks across West Avenue, lighting underneath the I-95 and Route 7 overpasses, public art installations, and several pedestrian plazas that include bus shelters, benches and bike racks.

The draft plan has been thoroughly reviewed by Redevelopment Agency, Planning and Zoning and DPW staff as well as Planning Committee members and Redevelopment Agency Commissioners. Two community workshops were held, a detailed survey was administered, and one final presentation was held to obtain public input which was then incorporated into the plan. Through its extensive community outreach process, the Redevelopment Agency has established that there is a great deal of community support for the content of this plan.

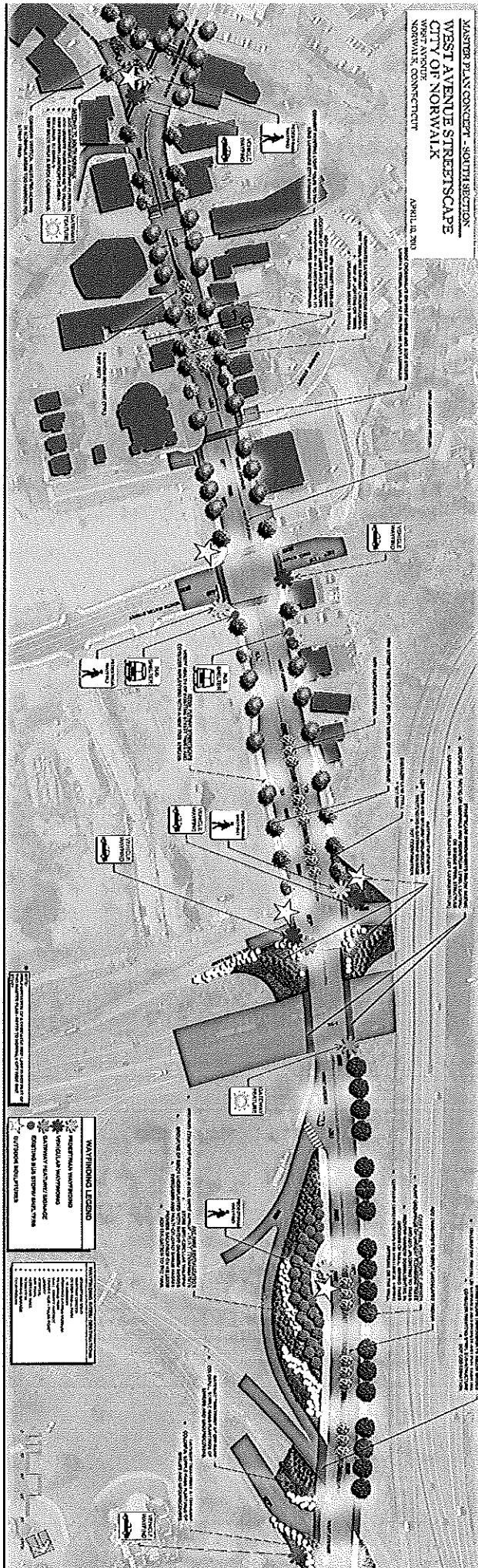
At the Mayor's suggestion, the Common Council will be asked to schedule a special meeting for a presentation and thorough review of the draft plan in order to give it sufficient time to understand and consider the landscape design improvements being proposed. This meeting would be held approximately one hour ahead of a regularly scheduled Council meeting and the Council would be asked to vote to approve the plan at a subsequent regularly scheduled Council meeting.

REQUESTED ACTION

Review and advance to the Common Council for approval the Landscape Design Master Plan for the West Avenue Corridor

MASTER PLAN CONCEPT - SOUTH SECTION
 WEST AVENUE STREETScape
 CITY OF NORWALK
 NORWALK, CONNECTICUT

APRIL 12, 2012



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: MARYGRACE WEBER
SPECIAL PROJECTS MANAGER
RE: REQUEST FOR APPROVAL OF 2013 NEIGHBORHOOD ASSISTANCE ACT TAX
CREDIT PROGRAM APPLICATIONS
DATE: APRIL 26, 2013

The City of Norwalk has received seven applications for Connecticut's 2013 Neighborhood Assistance Act Tax Credit Program (NAA-TCP), which provides a tax credit to business firms that make cash investments in qualifying community programs conducted by tax exempt or municipal agencies (informational publication attached).

Please note that this is not a Norwalk grants program, nor are any funds controlled by the City of Norwalk involved. Rather, the city's role is essentially one of acknowledging the existence and legitimacy of the local non-profits and their stated needs to the state and corporate seekers of tax credit opportunities. The total local contributions for 2012 amounted to \$128,185.

Application review is carried out by the state's Department of Revenue Services. However, under statute, the non profits must first be referred by the local legislative body following a public hearing. This hearing has been scheduled to take place during the regularly scheduled meeting of the Planning Committee on May 2nd. Following the public hearing, the Committee will be asked to advance any or all of the following seven proposals which were received for the 2013 program:

Organization	Proposal Title	Amount
Broad River Homes (Norwalk Congregate Homes for the Elderly)	Installation of Outdoor Patio at Broad River Homes Low Income Housing Development	\$24,644
Courage to Speak Foundation	Drug Prevention Education for After School Programs and Parents	\$45,780
Housing Authority of the City of Norwalk	Installation of Energy Efficient Windows at Roodner Court Housing Development	\$150,000
Norwalk Economic Opportunity Now	NEON Neighbors Helping Neighbors Social Service Program	\$150,000
Norwalk Housing Foundation	NHF Scholarship Program	\$150,000
The Food Bank of Lower Fairfield County	The Food Bank of Lower Fairfield County	\$20,000
The Norwalk Maritime Aquarium	Hybrid Diesel Electric System	\$150,000

REQUESTED ACTION: Advance the above list of proposals to the Common Council for approval of their inclusion in the Neighborhood Assistance Act Tax Credit Program for 2013



Municipality: City of Norwalk

Form NAA-01
2013 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

Complete this form in blue or black ink only.

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

Part I — General Information

Name of tax exempt organization/municipal agency: Norwalk Congregate Homes for the Elderly dba Broad River Homes

Address: 108 New Canaan Avenue, Norwalk, CT 06850

Federal Employer Identification Number: 06-1019968

Program title: Property Administrator

Name of contact person: Sheila Dawson

Telephone number: (203) 846-3700

Email address: broadriver@ehmchm.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 24,644.00

Credit percentage for which your organization is applying:

☒ 60% ☐ 100% (Energy conservation programs only)

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.

Please check the appropriate description of your program:

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for disabled persons;
☒ Program serving low-income persons;
☐ Energy conservation;
☐ Child care services;
☐ Open space acquisition fund; or
☐ Other: Specify _____

Part II — Program Information

Description of program: _____

Broad River Homes provides low income housing through the section 8 project based program offered by Housing and Urban Development. We have 49 Section 8 units housing 52 residents. Broad River provides two healthy meals a day to all residents seven days a week. The meals program is not subsidized. Broad River has a Resident Services Coordinator, a full time property manager, live - in superintendent, a part time housekeeper, and a full time kitchen manager with part time kitchen staff.

Need for program: _____

Many of our elderly population are frail and do not leave the property. Having a lovely outdoor patio that is safe for the elderly to sit on and be able to get up with ease, is handicapped accessible, and provides shade would allow our resident to enjoy fresh air in a setting that provides comfort and safety. The patio would also allow for socializing on a daily basis, picnics, and special parties.

Neighborhood area to be served: _____

The entire Broad River Homes community.

Total number of recipients: 52 plus family and guests.

Administration of Program:

Identify every person or organization involved in the implementation and administration of the program. Use additional sheets if necessary.

1. Name: Sheila Dawson, Property Administrator, Elderly Housing Management

Address: 108 New Canaan Avenue, Norwalk, CT 06850

Duties and responsibilities: Manage and maintain the entire property for Broad River Homes as well as provide HUD with monthly project based section 8 vouchers.

2. Name: Broad River Homes Board of Directors - Please See Attached.

Address: _____

Duties and responsibilities: _____

Timetable:Program start date: Upon receipt of fundsProgram completion date: Within three months

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.

Month your annual accounting period ends: 10/31/2013Method of accounting: ☐ Cash ☒ Accrual**Part III — Financial Information****Program Budget:**

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

Sources of Revenue:

NAA funds requested

\$24,644.00

Other funding sources - itemized sources:

a)

b)

c)

d)

Total Funding:**Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a)

b)

c)

d)

Administrative expenses:

Professional fund-raising fees

Accounting/legal & other expenses - itemized:

a)

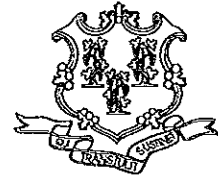
b)

c)

d)

Total Proposed Expenditures:\$24,644.00

APR 19 2013



Municipality: City of Norwalk

Form NAA-01
2013 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

Complete this form in blue or black ink only.

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: Courage to Speak Foundation Inc.

Address: 71 East Ave. Suite M, Norwalk CT 06851

Federal Employer Identification Number: 06-1526556

Program title: Courage to Speak Drug Prevention Education for After School Programs and Parents

Name of contact person: Ginger Katz

Telephone number: (203) 247-3975

Email address: gkatz@couragetospeak.org

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 45,780.00

Credit percentage for which your organization is applying:

60% 100% (Energy conservation programs only)

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.

Timetable:Program start date: August 2013Program completion date: April 2014

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.

Month your annual accounting period ends: DecemberMethod of accounting: ☒ Cash ☐ Accrual**Part III — Financial Information****Program Budget:**

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

Sources of Revenue:

NAA funds requested	<u>\$45,780.00</u>
Other funding sources - itemized sources:	
a)	<u></u>
b)	<u></u>
c)	<u></u>
d)	<u></u>
Total Funding:	<u>\$45,780.00</u>

Proposed Program Expenditures:

Direct operating expenses - itemized description:

a) Personnel	<u>\$21,750.00</u>
b) Program Supplies and Fees	<u>\$11,290.00</u>
c) Contractual	<u>\$3,825.00</u>
d) Other (room rental, phone, postage, copying, internet)	<u>\$8,915.00</u>

Administrative expenses:

Professional fund-raising fees	<u>\$0.00</u>
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Accounting/legal & other expenses - itemized:

a)	<u>\$0.00</u>
b)	<u></u>
c)	<u></u>
d)	<u></u>

Total Proposed Expenditures:**\$45,780.00**

Please check the appropriate description of your program:

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for disabled persons;
☐ Program serving low-income persons;
☐ Energy conservation;
☐ Child care services;
☐ Open space acquisition fund; or
☒ Other: Specify Drug Prevention Education

Part II — Program Information

Description of program: _____

This program is a collaboration with Norwalk Housing Authority (NHA) and consists of 3 interventions to NHA residents: a) Courage to Speak Drug Prevention Education for After School Programs to youth in grades 4- 8 at NHA Learning Centers. Courage to Speak Foundation staff will train NHA Learning Center staff to deliver the program; b) provision of 10th Annual Courage to Speak Empowering Youth to be Drug Free Family Night and c) delivery of Courage to Speak-Courageous Parenting 101® in English and Spanish to NHA parents.

Need for program: _____

Teen substance use is the largest preventable and most expensive public health problem in the US, according to a 2011 teen drug use study by Columbia University. This project will provide drug prevention education to students in NHA Learning Centers after school programs. Parents in NHA residences will be offered drug prevention parent education in English or Spanish. Meeting this community need will strengthen community and family protective factors and reach more children and families before risky behaviors begin.

Neighborhood area to be served: _____

Youth and parents who are residents of Norwalk Housing Authority public housing.

Total number of recipients: 130 +

Administration of Program:

Identify every person or organization involved in the implementation and administration of the program. Use additional sheets if necessary.

1. Name: Ginger Katz, CEO & Founder

Address: 71 East Ave. Suite M Norwalk, CT 06851

Duties and responsibilities: Leadership of all agency programming.

2. Name: Lauren Tallman, Project Coordinator

Address: 71 East Ave. Suite M Norwalk, CT 06851

Duties and responsibilities: Planning; coordination and logistical support for all 3 interventions; NHA staff training; administration of evaluation tools; conduct post delivery +



Municipality: City of Norwalk

Form NAA-01
2013 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

Complete this form in blue or black ink only.

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: _____
Housing Authority of the City of Norwalk

Address: 24 1/2 Monroe Street

Federal Employer Identification Number: 91-037-31

Program title: _____

Name of contact person: Curtis O. Law

Telephone number: (203) 838-8471

Email address: claw@norwalkha.org

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

Credit percentage for which your organization is applying:

☐ 60% ☒ 100% (Energy conservation programs only)

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.

Please check the appropriate description of your program:

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for disabled persons;
☐ Program serving low-income persons;
☒ Energy conservation;
☐ Child care services;
☐ Open space acquisition fund; or
☐ Other: Specify _____

Part II — Program Information

Description of program: _____

Donations to the program will enable the Authority to install energy efficient windows in three buildings -- 11, 12, and 23 for a total of 387 windows in the Roodner Court Housing Development. The cost is expected to be \$154,800. The windows will provide increased heat efficiency during the winter months which will cut down on heating costs.

Need for program: _____

Roodner Court, comprised of 13 buildings and 218 units, is the largest public housing development in the City of Norwalk. Constructed in 1952, the development is composed of old infrastructure including outdated and inefficient windows, boilers, and pipes. Funding will enable the Authority to install energy efficient windows in three of the buildings. The average household income is \$17,000 per year.

Neighborhood area to be served: _____

The project will serve extremely low income families residing in Roodner Court.

Total number of recipients: The number of recipients is 637.

Administration of Program:

Identify every person or organization involved in the implementation and administration of the program. Use additional sheets if necessary.

1. Name: Dan Williamson, Director of Maintenance

Address: 24 1/2 Monroe Street, Norwalk, CT

Duties and responsibilities: Responsible for directing and coordinating the activities of the maintenance staff and contractors who are engaged in preventive and rehabilitative

2. Name: Greg Lickwola

Address: 24 1/2 Monroe Street, Norwalk, CT

Duties and responsibilities: Directs the administrative work that is required to coordinate the development and modernization activities of the Authority.

Timetable:Program start date: OngoingProgram completion date: Ongoing

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.

Month your annual accounting period ends: March 31Method of accounting: ☐ Cash ☒ Accrual**Part III — Financial Information****Program Budget:**

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

Sources of Revenue:

NAA funds requested	<u>\$150,000.00</u>
Other funding sources - itemized sources:	
a) Subsidy/grant	<u>\$22,390,140.00</u>
b) Tenant revenue	<u>\$3,660,238.00</u>
c) Other income	<u>\$1,613,094.00</u>
d)	<u> </u>
	<u>\$27,663,472.00</u>

Total Funding:**Proposed Program Expenditures:**

Direct operating expenses - itemized description:	
a) Housing Assistance Payments/Tenant Services	<u>\$15,060,014.00</u>
b) General Expense	<u>\$1,716,465.00</u>
c) Maintenance and Utilities	<u>\$4,376,775.00</u>
d) Depreciation	<u>\$1,644,499.00</u>
Administrative expenses:	
Professional fund-raising fees	<u> </u>
Accounting/legal & other expenses - itemized:	
a) Administration	<u>\$4,440,413.00</u>
b)	<u> </u>
c)	<u> </u>
d)	<u> </u>

Total Proposed Expenditures:\$27,238,166.00



Municipality: City of Norwalk

Form NAA-01
2013 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

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Part I — General Information

Name of tax exempt organization/municipal agency: Norwalk Economic Opportunity Now, Inc., (NEON, Inc)

Address: 98 South main Street, Norwalk, Connecticut 06854

Federal Employer Identification Number: _____

Program title: NEON Neighbors Helping Neighbors Social Service Program

Name of contact person: Danielle Watson-Yates

Telephone number: (203) 663-7329

Email address: _____

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

Credit percentage for which your organization is applying:

☒ 60% ☐ 100% (Energy conservation programs only)

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.

Please check the appropriate description of your program:

- ☒ Job training/education for unemployed persons aged 50 or over;
☒ Job training/education for disabled persons;
☒ Program serving low-income persons;
☒ Energy conservation;
☒ Child care services;
☐ Open space acquisition fund; or
☒ Other: Specify Food Health and Nutrition

Part II — Program Information

Description of program: _____

To provide emergency social service assistance to economically challenged individuals and families as it pertains to education, childcare, workforce development, energy assistance, social service and healthcare.

Need for program: _____

Many Norwalk residents have found themselves in an unfamiliar situation of being unemployed, with decreased work hours, unable to meet their rent or mortgage payment all while trying to keep their lights on, gas in the car, food on the table and clothing on their families back. These stressors are placing a mental health strain on our individuals and families in Norwalk and, NEON knows better than some, what it means to be a life perseverer to an individual or family that feels as though they are sinking. Leveraging current funding.

Neighborhood area to be served: _____

City of Norwalk

Total number of recipients: 5000

Administration of Program:

Identify every person or organization involved in the implementation and administration of the program. Use additional sheets if necessary.

1. Name: Mary Mann

Address: 98 South Main Street, Norwalk, CT 06854

Duties and responsibilities: Chief Program Officer responsible for all implementation, evaluation and outcomes of all NEON programs.

2. Name: Janice Joyner

Address: 165 Flax Hill Road, Norwalk, CT 06854

Duties and responsibilities: NEON CO-Childcare Director responsible for the policy and procedure, implementation and outcome of children and families in our Early childhood.

Timetable:Program start date: July 1, 2013Program completion date: June 30, 2014

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.

Month your annual accounting period ends: 12/31/2013Method of accounting: ☐ Cash ☒ Accrual**Part III — Financial Information****Program Budget:****Complete in full. Expenditures must equal or exceed total funding.****Sources of Revenue:**

NAA funds requested	<u>\$150,000.00</u>
Other funding sources - itemized sources:	
a) HSI	<u>\$5,000.00</u>
b) CEAP	<u>\$5,000.00</u>
c) CSBG	<u>\$5,000.00</u>
d) HUD	<u>\$5,000.00</u>

Total Funding:	<u>\$170,000.00</u>
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Proposed Program Expenditures:

Direct operating expenses - itemized description:	
a) Marketing Material	<u>\$16,500.00</u>
b) Supplies/Equipment	<u>\$18,525.00</u>
c) Transportation	<u>\$14,000.00</u>
d) (3) Community Social Services Expo's	<u>\$25,000.00</u>

Administrative expenses:

Professional fund-raising fees	<u>\$10,475.00</u>
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Accounting/legal & other expenses - itemized:

a) NEON Chief Program Officer	<u>\$12,000.00</u>
b) NEON Childcare Program Co-Directors	<u>\$16,500.00</u>
c) Energy Services Director	<u>\$13,500.00</u>
d) Workforce Development Chief Officer & Finance Department	<u>\$27,000.00</u>

Total Proposed Expenditures:	<u>\$170,000.00</u>
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Municipality: City of Norwalk

Form NAA-01
2013 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

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Part I — General Information

Name of tax exempt organization/municipal agency: Housing Housing Foundation

Address: 24 1/2 Monroe Street

Federal Employer Identification Number: 91-037-31

Program title: NHF Scholarship Program

Name of contact person: Curtis O. Law

Telephone number: (203) 838-8471

Email address: claw@norwalkha.org

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

Credit percentage for which your organization is applying:

☒ 60% ☐ 100% (Energy conservation programs only)

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.

Please check the appropriate description of your program:

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for disabled persons;
☐ Program serving low-income persons;
☐ Energy conservation;
☐ Child care services;
☐ Open space acquisition fund; or
☒ Other: Specify Education/Scholarships

Part II — Program Information

Description of program: _____

The Norwalk Housing Foundation College Scholarship Program was established in 1998 to provide financial assistance to public housing residents to help them obtain a college degree enabling them to be better prepared to compete for jobs in this area's highly educated workforce. A volunteer committee comprised of local leaders in education, business and philanthropy oversees the selection process which includes an essay, grades, recommendations and an interview. Recipients are monitored during award year.

Need for program: _____

The Program provides public housing with financial support so that they can pursue a college education. As a result, these residents will be able to compete for and obtain higher paying jobs, become self-sufficient, and raise their families out of poverty. Through this process, they are able to demonstrate the value of education to inner-city youth. The program has grown from two awards in 1998 to 36 in 2012. Sixty percent of recipients attend 4-year colleges. Graduation rates are 92% for Latino students and 84% for Black students.

Neighborhood area to be served: _____

The program serves low income students residing in public housing developments in the City of Norwalk.

Total number of recipients: To date the program has provided scholarships to 236 students.

Administration of Program:

Identify every person or organization involved in the implementation and administration of the program. Use additional sheets if necessary.

1. Name: Carla Conway

Address: 24 1/2 Monroe Street, Norwalk, CT

Duties and responsibilities: Oversees and manages the daily operation of the Scholarship Program.

2. Name: _____

Address: _____

Duties and responsibilities: _____

Timetable:Program start date: OngoingProgram completion date: Ongoing

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.

Month your annual accounting period ends: March 31Method of accounting: ☒ Cash ☐ Accrual**Part III — Financial Information****Program Budget:**

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

Sources of Revenue:

NAA funds requested	<u>\$150,000.00</u>
Other funding sources - itemized sources:	
a) Donations	<u>\$138,071.00</u>
b) Investment Income	<u>\$1,100.00</u>
c)	<u></u>
d)	<u></u>

Total Funding:	<u>\$139,171.00</u>
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Proposed Program Expenditures:

Direct operating expenses - itemized description:	
a) Scholarships	<u>\$139,171.00</u>
b)	<u></u>
c)	<u></u>
d)	<u></u>

Administrative expenses:

Professional fund-raising fees

Accounting/legal & other expenses - itemized:

a) N/A	<u></u>
b)	<u></u>
c)	<u></u>
d)	<u></u>

Total Proposed Expenditures:	<u>\$139,171.00</u>
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Municipality: City of Norwalk

Form NAA-01
2013 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

Complete this form in blue or black ink only.

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Part I — General Information

Name of tax exempt organization/municipal agency: _____
The Food Bank of Lower Fairfield County, Inc.

Address: 461 Glenbrook Road, Stamford, CT 06906

Federal Employer Identification Number: 02-0684220

Program title: The Food Bank of Lower Fairfield County, Inc.

Name of contact person: Martin S. Cohen

Telephone number: (203) 358-8898

Email address: martinscohen@hotmail.com

Total NAA funding requested (\$250 minimum, \$150,000 maximum): \$ 20,000.00

Credit percentage for which your organization is applying:

☒ 60% ☐ 100% (Energy conservation programs only)

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.

Please check the appropriate description of your program:

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for disabled persons;
☒ Program serving low-income persons;
☐ Energy conservation;
☐ Child care services;
☐ Open space acquisition fund; or
☐ Other: Specify _____

Part II — Program Information

Description of program: _____

The Food Bank serves as an efficient and effective provider of nutritious food to nonprofit organizations that feed the hungry in lower Fairfield County, and educates people about hunger in that community. The Food Bank is the area's primary hunger relief organization. It provides food to about 85 nonprofit member agencies and programs that feed the unemployed, retired and poor. The Food Bank is the only food bank in lower Fairfield County.

Need for program: _____

The Food Bank distributes food to persons living on incomes at or below the HUD Guidelines for poverty, through food pantries, soup kitchens, congregate programs, homeless shelters, domestic violence safe houses, after school programs, emergency shelters, residential programs, child day care programs, senior centers, and rehabilitation programs. In 2012, The Food Bank distributed over 2 million pounds of food to its member agencies, which, in turn, reported providing more than 4 million meals.

Neighborhood area to be served: _____

Darien, Greenwich, New Canaan, Norwalk, Stamford, and Wilton

Total number of recipients: 162,854 (unduplicated only within each agency's program)

Administration of Program:

Identify every person or organization involved in the implementation and administration of the program. Use additional sheets if necessary.

1. Name: SEE ATTACHED LIST OF STAFF MEMBERS

Address: _____

Duties and responsibilities: _____

2. Name: _____

Address: _____

Duties and responsibilities: _____

Timetable:Program start date: 7/1/13Program completion date: 6/30/14

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.

Month your annual accounting period ends: JuneMethod of accounting: ☐ Cash ☒ Accrual**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) b) c) d) \$20,000.00**Total Funding:****Proposed Program Expenditures:**

Direct operating expenses - itemized description:

a) Food purchases at wholesale \$20,000.00b) c) d)

Administrative expenses:

Professional fund-raising fees

Accounting/legal & other expenses - itemized:

a) b) c) d) **Total Proposed Expenditures:**\$20,000.00



The Maritime Aquarium (TMA) is building a 65' catamaran research vessel and "floating classroom" that will be equipped with a hybrid diesel-electric propulsion system estimated to conserve 35-40 percent of our fuel costs over a standard diesel system.

The application of hybrid technology in the marine context is a revolutionary new movement with very few examples on the water. Not only are there considerable fuel savings as compared with traditional diesel, but the emissions are reduced considerably to provide a safe, clean and environmentally friendly presence on Norwalk harbor.

The problem with widespread adoption at this stage is upfront cost, as is the case with many energy conservation technologies.

While long-term environmental and financial payoffs can be substantial, the cost of advanced energy efficient technologies is also considerable. Government tax credits have been effective and sometimes critical in enabling the adoption of energy efficient technologies.

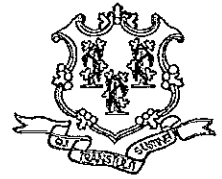
With the help of corporate partners, TMA is hoping to raise the full \$150,000 through the Neighborhood Assistance Act tax credit program. This will partially offset the additional cost of applying this technology and put Norwalk at the forefront as leaders in the application of hybrid technology in the maritime context.

It is also critical to note how this project will benefit Norwalk residents. Through gifts and grants, TMA regularly provides field ecology cruise programs to underserved schools in the city of Norwalk. As such, the project benefits Norwalk residents in very concrete ways including:

The Impact

- Creates opportunities for underserved students to explore **maritime careers**.
- Operates year-round; up to **10,000** area students, teachers, citizens and researchers-- to participate in study cruises.
- Helps meet the school challenge and reduce the achievement gap by providing hands-on, activity-based learning in the real world, which research shows is the **best way to learn science, engineering, technology and math disciplines (STEM)**.
- Engages students and citizens in **biodiversity and water quality monitoring** to help improve management of Long Island Sound.
- Provides a platform for **research partnerships** with universities in the region.
- Educates students and adults about their local ecosystem, inspiring **environmental stewardship**.
- Will **create jobs** in a U.S. shipyard.

The signed contract for the propulsion system is included as an attachment and the vessel itself is scheduled for delivery in May, 2014.



Municipality: Norwalk

Form NAA-01
2013 Connecticut Neighborhood Assistance Act (NAA)
Program Proposal

Complete this form in blue or black ink only.

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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: 06-1062912

Program title: Hybrid Diesel Electric System

Name of contact person: Jennifer Herring

Telephone number: (203) 852-0700

Email address: jherring@maritimeaquarium.org

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

Credit percentage for which your organization is applying:

☐ 60% ☒ 100% (Energy conservation programs only)

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.

Please check the appropriate description of your program:

- ☐ Job training/education for unemployed persons aged 50 or over;
☐ Job training/education for disabled persons;
☐ Program serving low-income persons;
☐ Energy conservation;
☐ Child care services;
☐ Open space acquisition fund; or
☒ Other: Specify Energy Conservation

Part II — Program Information

Description of program: _____

The Maritime Aquarium is requesting support to install a hybrid diesel-electric system into its research vessel that will result in as much as 75% fuel savings and substantially reduced operating emissions.

Need for program: _____

The research vessel serves as many as 10,000 students, teachers and members of the general public each year, including underserved schools in Norwalk. The project will not only reduce fuel consumption, increase energy efficiency, but will provide for near silent operation that is a great benefit for educational programs. This project will also be one of the first in the country to showcase the technology providing a test case adoption of energy efficient technology. Please see attached project description for additional details.

Neighborhood area to be served: _____

Norwalk

Total number of recipients: 10,000

Administration of Program:

Identify every person or organization involved in the implementation and administration of the program. Use additional sheets if necessary.

1. Name: Bob Kunkel

Address: 4 Norman Ave. Norwalk, CT 06855

Duties and responsibilities: Project Manager

2. Name: Jennifer Herring

Address: 10 North Water St., Norwalk, CT 06854

Duties and responsibilities: Fund Raising and Project Oversight

Timetable:Program start date: 1/1/14Program completion date: 6/30/14

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.

Month your annual accounting period ends: JuneMethod of accounting: ☐ Cash ☒ Accrual**Part III — Financial Information****Program Budget:**

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

Sources of Revenue:

NAA funds requested	<u>\$150,000.00</u>
Other funding sources - itemized sources:	
a) Heidenreich Family Foundation	<u>\$100,000.00</u>
b) TK Foundation	<u>\$25,070.00</u>
c)	<u> </u>
d)	<u> </u>
Total Funding:	<u>\$275,070.00</u>

Proposed Program Expenditures:

Direct operating expenses - itemized description:	
a) Hybrid Marine ISG Generator 200KWH	<u>\$48,800.00</u>
b) Energy Storage and Battery Management System 45KWH	<u>\$126,270.00</u>
c) ACPM Traction Motors for Main Shaft Drives 200KWH	<u>\$100,000.00</u>
d)	<u> </u>
Administrative expenses:	
Professional fund-raising fees	<u> </u>
Accounting/legal & other expenses - itemized:	
a)	<u> </u>
b)	<u> </u>
c)	<u> </u>
d)	<u> </u>
Total Proposed Expenditures:	<u>\$275,070.00</u>

**THE PLANNING COMMITTEE
OF THE COMMON COUNCIL**

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

TO: MEMBERS, PLANNING COMMITTEE OF THE NORWALK COMMON COUNCIL
FROM: MARYGRACE WEBER, SPECIAL PROJECTS MANAGER
DATE: APRIL 26, 2013
RE: REQUEST TO ADVANCE WASHINGTON VILLAGE/SOUTH NORWALK CHOICE
NEIGHBORHOODS TRANSFORMATION PLAN TO COMMON COUNCIL FOR
APPROVAL

In March of 2011, the Norwalk Housing Authority was awarded a \$250,000 Choice Neighborhoods Planning Grant by the U.S. Department of Housing and Urban Development (HUD) to develop a comprehensive plan to transform and revitalize the Washington Village neighborhood. This plan, a draft of which was submitted to HUD at the end of last month, lays the framework for sustainable mixed-income development that will transform Washington Village from an aging and distressed public housing site into an economically diverse, high-opportunity neighborhood. The Transformation Plan, once finalized, will serve as the basis for the Norwalk Housing Authority's application for a Choice Neighborhoods Implementation grant which would provide up to \$30 million to carry out the recommendations outlined in the Transformation Plan.

The draft plan, for which a public hearing is scheduled on May 1st (notice attached), for which NHA Board approval is anticipated on May 15th, and which is currently under review by HUD will be revised based on feedback received and a finalized Transformation Plan will be submitted to HUD on or before June 30th, 2013. This submission will form the basis for the Norwalk Housing Authority's application for a Choice Neighborhoods Implementation Grant of up to \$30 million that would enable it to carry out the strategies outlined in the Transformation Plan. If and when HUD issues a Notice of Funding Availability (NOFA) for implementation funding, NHA and its key stakeholders will need to prepare the application and secure funding commitments to leverage the federal funds.

REQUESTED ACTION

Advance the Washington Village/South Norwalk Choice Neighborhoods Transformation Plan to the Common Council for approval following a review of comments received at the public hearing scheduled for May 1st and approval of the Plan by the Norwalk Housing Authority Board of Directors, anticipated on May 15th

**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: MARYGRACE WEBER
SPECIAL PROJECTS MANAGER
RE: REQUEST FOR REVIEW AND APPROVAL TO ADVANCE SECTION 108 LOAN ON
BEHALF OF THE WALL STREET THEATER COMPANY
DATE: APRIL 26, 2013

As directed by the Common Council, Norwalk Redevelopment Agency staff has drafted a Section 108 Guaranteed Loan application for a request in the amount of \$2 million which would provide support the redevelopment of the Globe Theater by providing take-out financing on the Wall Street Theater Company's construction loan once the completed project was fully delivered.

The Wall Street Theater Company is working to deliver the items required by the Common Council in its resolution of support of proposed redevelopment of the Globe Theater, which include an in-depth market study that considers the economic feasibility of the intended project and a guarantee of the \$2 million in Section 108 funding being requested from HUD on behalf of this project. Further, the Wall Street Theater Company, Inc., the prospective developer for the restoration of the Globe Theater, is in the process of securing commitments from various funders in order to advance the redevelopment of this historic theater.

The challenges that the Wall Street Theater Company has had to date in delivering the above items as requested by the Common Council have been related to the lack of sufficient predevelopment capital. To this end, the Agency is considering the advancement of a \$275,000 predevelopment loan which would be fully secured by an outside guarantor and supporter of the Wall Street Theater Company's proposed redevelopment project.

Council approval to advance the Section 108 Guaranteed Loan application to the public for the required 30-day public comment period, and given public support, advancing said application to HUD would support the developer's ability to obtain other necessary funding without risk to the City's CDBG funds. The Section 108 loan, if awarded by HUD, would not be expended until the conditions of the resolution of support had been met and the completed project (i.e. the redeveloped theater) was fully delivered.

REQUESTED ACTION

1. Review and approve advancing to the Common Council a request to post the City of Norwalk's Application for a Section 108 Guaranteed Loan on behalf of the Wall Street Theater, Inc. for the required 30-day public comment period

2. Schedule a public hearing on the City of Norwalk's Application for a Section 108 Guaranteed Loan on behalf of the Wall Street Theater, Inc. for the required 30-day public comment period

**APPLICATION FOR SECTION 108 LOAN GUARANTEE
IN THE AMOUNT OF \$2,000,000**

**SUBMITTED BY THE CITY OF NORWALK, CONNECTICUT
TO THE UNITED STATES DEPARTMENT OF HOUSING AND
URBAN DEVELOPMENT**

Executive Summary

The City of Norwalk is applying for a Section 108 loan guarantee in the amount of \$2,000,000 to support the redevelopment of the historic Globe Theater located at 71 Wall Street. The proposed project will restore this cultural and historic centerpiece of the City's Wall Street district, serving as a critical step forward in the revitalization of the area.

Like its Globe Theater, Wall Street has experienced significant disinvestment over the past half century that has threatened its status as a prominent destination and vibrant center of urban life. Beginning during the colonial period and for much of Norwalk's history, Wall Street was the city's center for banking and commerce, politics and local governance, entertainment, and hospitality. By the middle of the 20th century, shifts in the economy and patterns of land use and transportation caused Wall Street to lose ground to the area's growing suburbs. Then in 1955, floodwaters from the Norwalk River caused catastrophic damage to Wall Street by destroying a river crossing, several local roads and buildings on each side of the river. Recognizing the health of Wall Street as critical to the health of the City as a whole, in 2004, the Norwalk Common Council approved a Wall Street Redevelopment Plan affirming the city's commitment to the revitalization of this historic neighborhood. Development interest in the area is slowly being rekindled: an approximately 300-unit residential development was completed in 2010 and planned developments promising an additional 500 residential units are expected to begin construction in 2013.

Despite the recent and pending influx of new residents to the area, properties remain blighted, retail vacancies remain high and existing businesses continue to struggle. Foot traffic along Wall Street is relatively low, creating a self-perpetuating cycle in which the limited number of customers makes sustaining a business a challenge and in which the limited shopping and dining options cause neighborhood residents to take their business elsewhere. Investment in neighborhood amenities is desperately needed in order to breathe life back into the area. The adaptive reuse of Wall Street's existing cultural assets offers a promising path by which vibrancy can be restored.

The currently vacant Globe Theater, located at 71 Wall Street, presents a redevelopment opportunity that has the potential to catalyze the revitalization of the Wall Street area as a whole. Initially developed as a vaudeville theater in 1915, the Globe Theater has long served as a cultural centerpiece of Norwalk, Connecticut's historic Wall Street area. While the venue's offerings evolved over time from vaudeville to burlesque to cinema to rock music, the theater now stands empty, an unfortunate disuse of such a valuable community asset.

In support of a redevelopment effort by a local non-profit organization, the City of Norwalk is requesting \$2,000,000 in Section 108 guaranteed loan funds to provide acquisition financing to the Wall Street Theater Company, Inc. This public investment is a critical piece of the financing needed to renovate the Globe which will operate as a general purpose theater suitable for a number of varied uses including live

entertainment, conferences and gatherings, school and church assemblies, and other community uses.

I. Community Development Objectives

The adaptive reuse of the Globe Theater is consistent with the second objective of Norwalk's Consolidated Plan for Housing and Community Development (ConPlan) which is to "utilize community development resources to first invest in small businesses and redevelopment activities within low/moderate income neighborhoods..." (ConPlan, 43)

This project is also consistent with the Wall Street Redevelopment Plan, adopted by the Norwalk Common Council on July 11, 2004. This Plan serves as the formal implementation document for redevelopment initiatives in the Wall Street area and explicitly identifies the Globe Theater as a historically significant cultural asset which should be preserved and revitalized.

II. Description and Eligibility of Proposed Activities

The Globe Theater, currently appraised at \$1.1 million, is in need of extensive renovations estimated to cost between \$3.1 and \$3.9 million. These renovations are set to be completed prior to acquisition of the building by private non-profit organization Wall Street Theater Company, Inc. The requested \$2,000,000 Section 108 funds would be loaned by the City of Norwalk to the Wall Street Theater Company, Inc. to support this organization's acquisition of the fully renovated theater. Section 108 funds would provide a source of affordable, long-term financing critical to project feasibility. This proposed activity is eligible under CFR 570.703(a): "Acquisition of improved or unimproved real property in fee or by long-term lease, including acquisition for economic development purposes". This activity is not expected to generate program income, nor is it expected to result in the displacement of individuals or businesses.

III. National Objective

The proposed activity will meet the first of the three CDBG national objectives: benefit to low and moderate income persons, as determined on an area benefit basis. Once redeveloped, the Globe will be a general-use theater suitable for live entertainment, conferences and gatherings, school and church assemblies, and other community uses. The delineation of the area of benefit for this activity, proposed to comply with 570.208(a)(1) is based on the mobility of residents within the Globe Theater's immediate neighborhood and Norwalk's broader downtown transit corridor who can easily access the theater by foot and bus¹. This area, delineated in the map provided in Attachment A, is entirely encompassed by census tracts 434, 437, 438, 440 and 441, which have a combined low and moderate income population that is 61.4% of the total

¹ Access to this facility is expected to be further improved in coming years by a proposed circulator which will provide frequent transit service between the South Norwalk Train Station and Norwalk's central bus hub.

population of these areas². While the proposed service area is urban and thus mixed use in nature, it is predominantly residential. As is demonstrated in Attachment B, the floor area dedicated to residential uses far outweighs the amount of floor area dedicated to retail, institutional and commercial uses. Further, the relatively high population density of the City's downtown transit corridor makes this area arguably *more* residential than neighborhoods outside it. The City's *Plan of Conservation and Development* states the average density in Norwalk to be 3,700 residents per square mile (POCD, page 54), or approximately six residents per acre – throughout Norwalk's downtown transit corridor, the average density is over nine dwelling units per acre. While the service area accounts for only 8% of Norwalk's total land area, it is home to an estimated 24,170 people, or 28.2% of the City's overall population³, and has a dramatically higher proportion of low and moderate income residents than the City as a whole⁴.

IV. Sources and Uses

[To be completed using financial information to be submitted by the developer]

V. Guidelines and Objectives for Evaluating Project Costs and Financial Requirements

A. Reasonableness of Proposed Project Costs

The development costs appear reasonable. The rehabilitation of the theatre is estimated at \$3.7 million which is approximately \$229/SF. There is also a 7% contingency factored. Contingencies are always advisable for such historic structures. Other soft costs and professional fees are considered reasonable. The developer has capitalized a developer fee equivalent to 15% of the project costs, less acquisition. This capitalized developer fee is fairly typical for tax credit transactions, as the developer fee increases the basis upon which the credits are determined. Of note is the fact that almost half of the developer fee is deferred, meaning it will be earned out of residual cash flow.

B. Commitment of all Sources of Funds

The developer is currently working to secure terms sheets from the following sources of funds:

- *Debt* - First and foremost, the developer will need to secure an interim construction loan to fund a portion on the rehab costs during the

² According to HUD Low and Moderate Income Summary Data, the low and moderate income populations of census tracts 434, 437, 438, 440 and 441 are 55%, 67%, 55%, 65%, and 75%, respectively (<http://www.hud.gov/offices/cpd/systems/census/ct/index.cfm>)

³ Average household size within service area census tracts is 2.4 (Census data for 2010 Census Summary File 1 – H13)

⁴ According to HUD Low and Moderate Income Summary Data, 40.7% of the City of Norwalk's population is low and moderate income, compared with 61.7% in the census tracts which embody the identified service area. (<http://www.hud.gov/offices/cpd/systems/census/ct/index.cfm>)

construction period, as the Section 108 financing is considered take-out financing and is available to the developer only after the certificate of occupancy.

- *Historic Tax Credits* - The developer is also working with prospective historic tax credit investors but first must show the project's eligibility for the credits, based upon the approval of a Part 2 application, one in which the applicant demonstrates that the rehabilitation plan is consistent with the Secretary of Interior Standards.
- *Green Building Tax Credit* –
- *State of Connecticut DECD* – The developer reportedly has a commitment for funding through the State Department of Economic and Community Development.

C. Substitution of Public funds for Private Sources

There is no substitution of public funds for private funds. Simply put, a development such as this cannot raise sufficient conventional debt and equity to complete development costs. The Section 108 loan guarantee program, a source of flexible lower cost capital, is an effective financing mechanism but in no way replaces financing that would be available elsewhere.

D. Project Feasibility

Predevelopment activities are currently underway, the deliverables of which will include a thorough market study, though project feasibility has already been closely analyzed by the developer's project team and industry professionals. The City is seeking to advance this Section 108 application ahead of the completion of the market study in order to offer reassurance to other project funders that the City is committed to supporting this project once demonstrated to have unquestionable feasibility. In order to minimize the risk to CDBG funding, however, Section 108 funds to support this project will not be expended until the completed product (ie the redeveloped theater) has been delivered.

E. Check for Reasonable Return on Owner's Equity

The developer is a not-for-profit entity. The financial incentive for the developer is the 15% capitalized developer fee which is \$771,000. Of this capitalized developer fee, less than half is earned at closing and the other half deferred, meaning it will be earned from residual cash flow. This financial incentive is less than a private developer would demand. As such, it is not unreasonable.

F. Disbursement of Section 108 Funds

The proposed project is structured so as to minimize the risk to the City of Norwalk's CDBG funds which would be called upon in the event of default on the Section 108 Guaranteed Loan. The Section 108 loan would fund the acquisition

of the fully renovated Globe Theater, thus serving as take out financing on debt incurred for the purchase and rehabilitation of the theater.

VI. Additional Security

Besides the pledge of the City of Norwalk's CDBG line of credit, the loan will be secured with a first mortgage on the Globe Theatre. An appraisal which values the building on an "as-complete" basis is included in this packet. Austin McGuire Company, a long-established Norwalk appraisal company, completed the appraisal on September 1, 2012 and assigned an "as complete" value of \$5,590,000. HUD underwriting guidelines suggest an 80% loan to value or lower, suggesting that the all debt (including Section 108) should not exceed 80% of value. In this case, the LTV is favorable, at 36%.

VII. Pledge of CDBG Grant Funds as Loan Guarantee

The City of Norwalk fully understands that it must pledge its CDBG line of credit as guarantee on the requested Section 108 loan (certification attached).

VIII. Schedule for Repayment of the Loan

Year	Principal Reduction	Year	Principal Reduction
1	\$0	11	\$103,000
2	\$72,000	12	\$107,000
3	\$75,000	13	\$111,000
4	\$78,000	14	\$116,000
5	\$81,000	15	\$121,000
6	\$84,000	16	\$126,000
7	\$88,000	17	\$131,000
8	\$91,000	18	\$136,000
9	\$95,000	19	\$140,000
10	\$99,000	20	<u>\$146,000</u>
			\$2,000,000

IX. Contact Information

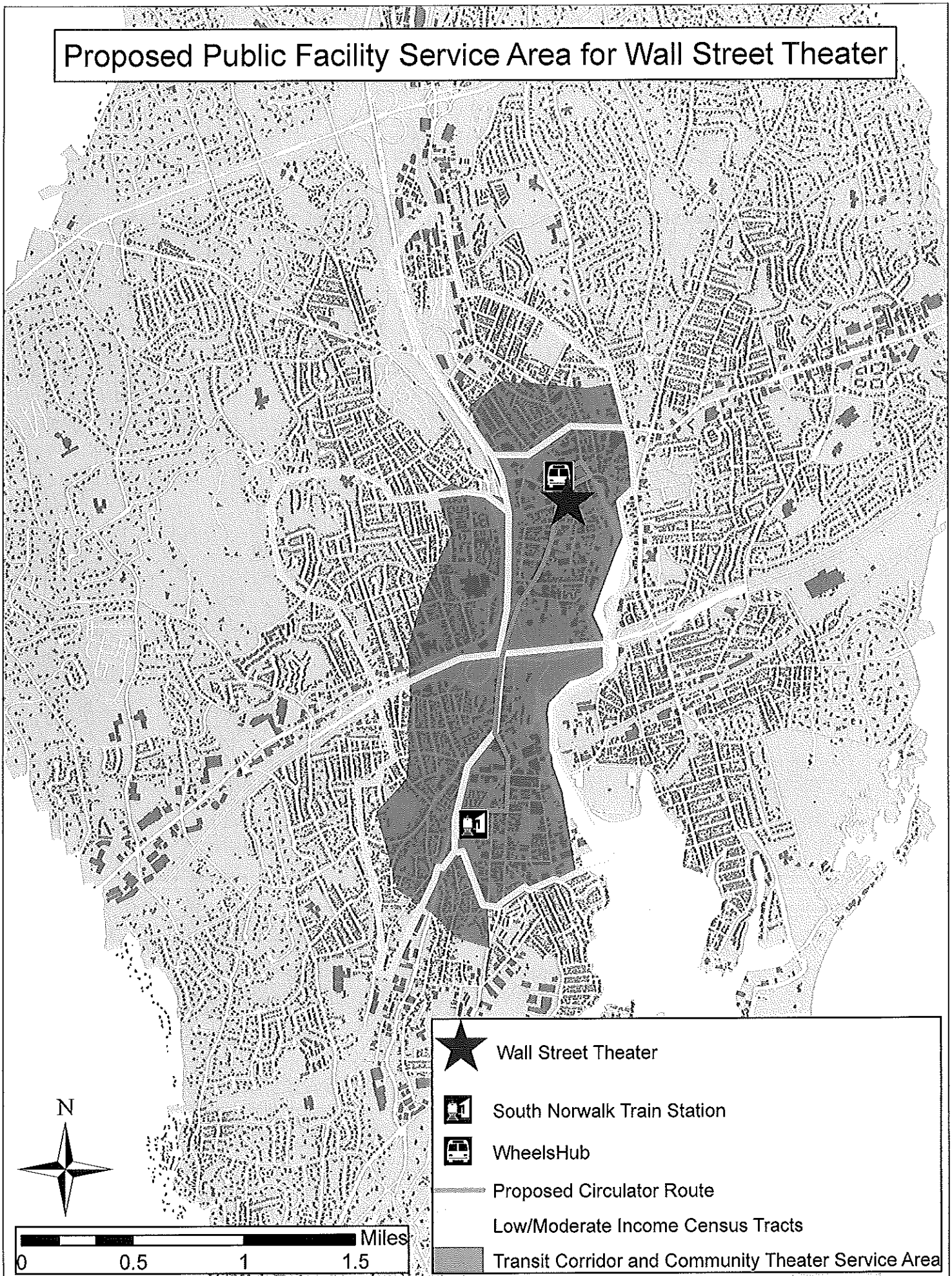
The Norwalk Redevelopment Agency serves as the administering agent for the City of Norwalk's Community Development Block Grant Program and will serve as the principal contact for this application. Please direct questions regarding this application to:

MaryGrace Weber
Special Projects Manager
Norwalk Redevelopment Agency
mweber@norwalkct.org
(203)854-7810 ext. 46792

Attachment A – Service Area Map

Draft

Proposed Public Facility Service Area for Wall Street Theater



Attachment B – Documentation of Residential Nature of Service Area

Existing Land Uses within Downtown Transit Corridor

Land Use	Existing Floor Area (ft ²)	Floor Area (ft ²) Projected by 2015
Residential	4,857,403	7,014,703
Retail	3,886,203	4,727,530
Institutional/Open Space	2,866,002	2,866,002
Commercial	907,623	1,666,748

Attachment C – Certifications

draft

CERTIFICATIONS

In accordance with the applicable statutes and the regulations governing the consolidated plan regulations, the jurisdiction certifies that:

Affirmatively Further Fair Housing -- The jurisdiction will affirmatively further fair housing, which means it will conduct an analysis of impediments to fair housing choice within the jurisdiction, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

Anti-displacement and Relocation Plan -- It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential antidisplacement and relocation assistance plan required under section 104(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG or HOME programs.

Anti-Lobbying -- To the best of the jurisdiction's knowledge and belief:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
3. It will require that the language of paragraph 1 and 2 of this anti-lobbying certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Authority of Jurisdiction -- The consolidated plan is authorized under State and local law (as applicable) and the jurisdiction possesses the legal authority to carry out the programs for which it is seeking funding, in accordance with applicable HUD regulations.

Consistency with plan -- The housing activities to be undertaken with CDBG, HOME, ESG, and HOPWA funds are consistent with the strategic plan.

Section 3 -- It will comply with section 3 of the Housing and Urban Development Act of 1968, and implementing regulations at 24 CFR Part 135.

Signature/Authorized Official

Date

Specific CDBG Certifications

The Entitlement Community certifies that:

Citizen Participation -- It is in full compliance and following a detailed citizen participation plan that satisfies the requirements of 24 CFR 91.105.

Community Development Plan -- Its consolidated housing and community development plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that provide decent housing, expand economic opportunities primarily for persons of low and moderate income. (See CFR 24 570.2 and CFR 24 part 570)

Following a Plan -- It is following a current consolidated plan (or Comprehensive Housing Affordability Strategy) that has been approved by HUD.

Use of Funds -- It has complied with the following criteria:

1. Maximum Feasible Priority. With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available);
2. Overall Benefit. The aggregate use of CDBG funds including section 108 guaranteed loans during program year(s) _____, _____ (a period specified by the grantee consisting of one, two, or three specific consecutive program years), shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;
3. Special Assessments. It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

The jurisdiction will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to pay the proportion of fee or assessment attributable to the capital costs of public improvements financed from other revenue sources. In this case, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds. Also, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

Excessive Force -- It has adopted and is enforcing:

1. A policy prohibiting the use of excessive force by law enforcement agencies within its

jurisdiction against any individuals engaged in non-violent civil rights demonstrations; and

2. A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction;

Compliance With Anti-discrimination laws -- The grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 USC 2000d), the Fair Housing Act (42 USC 3601-3619), and implementing regulations.

Lead-Based Paint -- Its activities concerning lead-based paint will comply with the requirements of 24 CFR Part 35, subparts A, B, J, K and R;

Compliance with Laws -- It will comply with applicable laws.

Signature/Authorized Official

Date

Title

**OPTIONAL CERTIFICATION
CDBG**

Submit the following certification only when one or more of the activities in the action plan are designed to meet other community development needs having a particular urgency as specified in 24 CFR 570.208(c):

The grantee hereby certifies that the Annual Plan includes one or more specifically identified CDBG-assisted activities which are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community and other financial resources are not available to meet such needs.

Signature/Authorized Official

Date

Title

Specific HOME Certifications

The HOME participating jurisdiction certifies that:

Tenant Based Rental Assistance -- If the participating jurisdiction intends to provide tenant-based rental assistance:

The use of HOME funds for tenant-based rental assistance is an essential element of the participating jurisdiction's consolidated plan for expanding the supply, affordability, and availability of decent, safe, sanitary, and affordable housing.

Eligible Activities and Costs -- it is using and will use HOME funds for eligible activities and costs, as described in 24 CFR § 92.205 through 92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in § 92.214.

Appropriate Financial Assistance -- before committing any funds to a project, it will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing;

Signature/Authorized Official

Date

Title

ESG Certifications

The Emergency Solutions Grants Program Recipient certifies that:

Major rehabilitation/conversion – If an emergency shelter's rehabilitation costs exceed 75 percent of the value of the building before rehabilitation, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed rehabilitation. If the cost to convert a building into an emergency shelter exceeds 75 percent of the value of the building after conversion, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed conversion. In all other cases where ESG funds are used for renovation, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 3 years after the date the building is first occupied by a homeless individual or family after the completed renovation.

Essential Services and Operating Costs – In the case of assistance involving shelter operations or essential services related to street outreach or emergency shelter, the jurisdiction will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure, so long the jurisdiction serves the same type of persons (e.g., families with children, unaccompanied youth, disabled individuals, or victims of domestic violence) or persons in the same geographic area.

Renovation – Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

Supportive Services – The jurisdiction will assist homeless individuals in obtaining permanent housing, appropriate supportive services (including medical and mental health treatment, victim services, counseling, supervision, and other services essential for achieving independent living), and other Federal State, local, and private assistance available for such individuals.

Matching Funds – The jurisdiction will obtain matching amounts required under 24 CFR 576.201.

Confidentiality – The jurisdiction has established and is implementing procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project, except with the written authorization of the person responsible for the operation of that shelter.

Homeless Persons Involvement – To the maximum extent practicable, the jurisdiction will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under the ESG program, in providing services assisted under the ESG program, and in providing services for occupants of facilities assisted under the program.

Consolidated Plan – All activities the jurisdiction undertakes with assistance under ESG are consistent with the jurisdiction's consolidated plan.

Discharge Policy – The jurisdiction will establish and implement, to the maximum extent practicable and where appropriate policies and protocols for the discharge of persons from

publicly funded institutions or systems of care (such as health care facilities, mental health facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent this discharge from immediately resulting in homelessness for these persons.

Signature/Authorized Official

Date

Title

HOPWA Certifications

The HOPWA grantee certifies that:

Activities -- Activities funded under the program will meet urgent needs that are not being met by available public and private sources.

Building -- Any building or structure assisted under that program shall be operated for the purpose specified in the plan:

1. For at least 10 years in the case of assistance involving new construction, substantial rehabilitation, or acquisition of a facility,
2. For at least 3 years in the case of assistance involving non-substantial rehabilitation or repair of a building or structure.

Signature/Authorized Official

Date

Title

APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING:

A. Lobbying Certification

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.