

March 2, 2020

Kathryn Crees
Community Development Supervisor
City of Norwich
23 Union St., 2nd Fl.
Norwich, CT 06360

Dear Ms. Crees:

Thank you for giving us the opportunity to submit our yearly request for funding through Norwich's CDBG program.

Included in this application is the original copy and 10 copies of the following documents:

Part I: Face Page:

Part II: Project Information/narrative, including how the program that the project affects addresses the needs of low-income and disabled adults

Part III: Budget Information and program-specific financial data (includes project proposal from contractor)

Part IV: Supplemental Information

Exhibit 1: Fiscal Policies and Agency Audit (one hard copy and one sent electronically; since our merged agencies will not be able to file single audit until 2021, copies of both the Arc NLC and The Arc ECT have been combined)

Exhibit 2: Insurance statement and certificate

Exhibit 3: Non-profit determination letter from the IRS

Exhibit 4: List of Board of Directors

Exhibit 5: Organizational Chart

Exhibit 6: Resumes of CEO and CFO

Exhibit 7: Conflict of Interest Disclosure

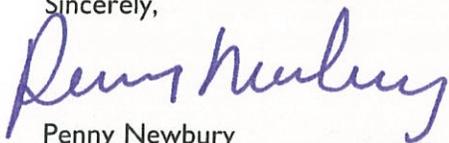
Please note that the original hard copy is not two-sided.

We have also sent an electronic copy of the entire application to your office.

Please let me know if you have any questions or need additional information.

Thanks once again for your continued support for people with intellectual and developmental disabilities in Norwich and all of Eastern Connecticut.

Sincerely,



Penny Newbury
Director of Grants and Communications

CITY OF NORWICH
COMMUNITY DEVELOPMENT BLOCK GRANT • APPLICATION FOR FUNDING
PUBLIC SERVICES

PROGRAM YEAR 2020 (PY 46) • SEPTEMBER 1, 2020 – AUGUST 31, 2021

DUE: WEDNESDAY MARCH 11, 2020 AT 4 PM AT 23 UNION STREET, NORWICH, 2ND FLOOR

Office of Community Development
23 Union Street, 2nd floor • Tel (860) 823-3770 • Fax (860) 823-3715

E-mail addresses:

kcrees@cityofnorwich.org (Community Development Director)

tcurtis@cityofnorwich.org (Program Assistant)

PART I: GENERAL INFORMATION

AGENCY: The Arc Eastern Connecticut

LEGAL NAME
(if different from Agency) _____

ADDRESS: 125 Sachem St. Norwich, Ct 06360

E-M AIL: pnewbury@thearcect.org

EXECUTIVE DIRECTOR: Kathleen Stauffer, CEO

CONTACT NAME AND TITLE: Penny Newbury, Director of Grants and Communications

TELEPHONE: (860) 889-4435 x 103

AGENCY FISCAL YEAR: July 1 June 30
Begin **End**

PROGRAM OR PROJECT NAME: Energy Efficiency Upgrades at Day programs for people with IDD

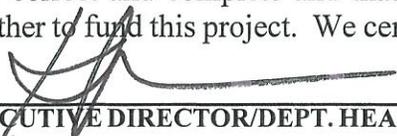
CDBG REQUEST & AWARD AMOUNTS:

REQUEST AWARD

UPCOMING FISCAL YEAR: \$ 22,331.25 \$ _____
(September 1, 2020 - August 31, 2021)

CURRENT FISCAL YEAR: \$ 14,580 \$ 0
(September 1, 2019 – August 31, 2020)

The information contained herein and attached as exhibits hereto is, to the best of our knowledge and belief, true, correct and complete and that the City of Norwich can rely upon these statements in determining whether to fund this project. We certify that the Agency Board of Directors has approved this application.



EXECUTIVE DIRECTOR/DEPT. HEAD

Kathleen Stauffer
Printed Name

March 2, 2020

DATE



PRESIDENT, BOARD OF DIRECTORS

Linda Rhodes
Printed Name

March 2, 2020

DATE

PART II: PROGRAM INFORMATION

A. INTRODUCTION/AGENCY INFORMATION

1. Brief history of your organization, including its mission, structure and membership

The Arc Quinebaug Valley and The Arc New London County merged in July 2019 to form The Arc Eastern Connecticut. Both agencies were established in 1952 by parents of children with intellectual and developmental disabilities in order to ensure equal participation and choice in school, in the workplace, and in their communities. Combining program and staff strengths, The Arc Eastern Connecticut now provides advocacy and supports to over 800 people with IDD and their families across the entire eastern CT region and is the largest chapter of The Arc in the state. Our dedicated Board of Directors and our caring and professional staff have provided us with the ability to build programming and employee training modules in ways that greatly reinforce the mission and vision of our founding families who established both The Arc NLC and The Arc QV over six decades ago.

Mission

The Arc Eastern Connecticut's mission is to partner with people living with intellectual and developmental disability for **EQUAL participation and inclusion** in the communities of eastern Connecticut.

Vision

Our vision is that The Arc Eastern Connecticut will be eastern Connecticut's leader in partnering and advocating for **equality of opportunity** and **equality of choice**

Services

Our services touch every aspect of a person's life including:

- Residential services and supports, including 22 supported residences and a Community Companion Homes program
- Group and Individual Supported Employment
- Job Development, assessments, career planning
- Transitional Employment Services
- School-to-Work Transition services
- Individualized day programs
- In-Home Supports
- Micro-enterprise ventures throughout the region (cookie production, lawn/landscape services, mobile cleaning crews, redemption center, thrift store, farm stand/CSA/aquaponics)
- Retirement services
- Community Life & Advocacy programs (health/fitness, social/cultural programs, self-advocacy, civic participation, personal enrichment)
- Door-to-door transportation

2. What are the hours of operation for your agency?

Our administrative office hours are Monday-Friday 9am-5pm

Our residential programs operate 24 hours/day, 7 days/week.

Day and Employment service hours are from 8:30AM-2:30PM (excluding transportation)

In-Home Supports hours are 8:30AM-4:30pm (excluding transportation)

Many programs, including school-to-work transition and Community Life & Advocacy, operate during the evenings and on weekends with varying hours.

3. What is the total number of persons employed by your agency?

478 (215 FT; 263 PT)

4. If there are 15 or more employees at your agency, please provide the name of the person responsible for compliance with Section 504 of Rehabilitation Act of 1973 - Nondiscrimination under Federal Programs.

Sonja Sieling-Beaumenot, Chief Talent Officer

5. Do you receive more than \$500,000 of Federal Funding through any means, including grants and loans?

We do not receive any continued funding directly through the federal government. (We did receive a \$62,000 grant from USDA this year.) We receive the majority of our regular funding (over \$500,000) through the **State of Connecticut**. The State in turn receives 50% of its money through the federal government. So of the funds we receive from the state, 50% have originally come from the federal government.

B. STATEMENT OF NEED

1. Define the problem or need to be addressed through your program and provide evidence to support the need as well as citing resources for verification of any statistical information provided.

The Arc ECT's main offices at 125 Sachem St. Norwich are located in a building constructed in the late 1800s with an addition constructed in the 1970's. It supports over 220 people with intellectual and developmental disabilities (IDD) throughout the day, in the evenings, and occasionally on weekends. Approximately 33% of participants and 50% of staff live in Norwich. The agency and the City of Norwich have enjoyed a mutually beneficial relationship for the better part of 35 years and have provided a solid and welcoming base for our agency to strengthen and grow, as the need for our programs has increased. **The agency contributes over \$375,000 to Norwich area businesses and contractors each year, through vehicle gas and maintenance, building repairs, office supplies, groceries, furniture and heating oil.** Many of The Arc's participants, who take advantage of our social, recreational and enrichment programs, also spend as much time in the community as possible, and last year alone contributed approximately \$9,000 to the local economy via event participation, restaurant outings and other business and entertainment venues. We have been vigilant in our adherence to all local building and safety codes and have attempted over the years to make our program and administrative offices, located on the high-visibility corner of Sachem and Oneco Streets, as attractive and welcoming to the public and our participants as possible.

Depending on participants' schedules and needs, **over 200 staff members use the building regularly. It is comprised of two floors and a full basement and has 214 incandescent and fluorescent light fixtures of varying sizes.** The lighting for the facility comprises a great deal of the total monthly electric bill, which is extremely high and **costs the agency \$26,400 per year—or roughly \$12,000 for lighting alone.** In addition to the high operating cost, the lighting is harsh and uncomfortable for the majority of the people we support. In order to **significantly reduce costs by about \$7,720 per year**, allowing us to direct more resources towards programming, and to provide people with the most relaxing and comfortable day possible, we are proposing to replace all fixtures in the building with LED ballasts and lights. Our contractor has identified the most cost-effective way to accomplish this, which leaves the fixtures themselves in place and retrofits them as necessary to accommodate LED bulbs. It's still an expensive proposition but pays for itself within 2 years. (Please see attached proposal.)

2. Are the services you provide offered by other agencies serving Norwich? If yes, please explain uniqueness.

The Arc ECT is the only full-service agency in Norwich providing supports for people with IDD. Including these services are two supported group residences in Norwich, Day and in-home supports, community integration through our Community Life & Advocacy program (the only program of its kind

in the region), 6 micro-enterprises offering on-the-job vocational training, and Community Companion Homes oversight.

Easter Seals provides employment and day services for people with IDD, but does not have other services, and do not operate their own micro-enterprises.

Guide provides in-home supports, and their job coaches seek employment opportunities for their participants, but they do not provide Day supports or micro-enterprises.

The Arc ECT's **unique programs** include, as mentioned, its 6 micro-enterprises (landscaping/lawn care, culinary arts/cookie production, cleaning/hospitality, recycling, consignment store/retail, and farm stand/aquaponics/Community Supported Agriculture), and the CL&A program, which includes health/fitness activities (including Special Olympics), civic participation/Volunteer Corps, support groups for women at risk of sexual abuse/exploitation, self-advocacy groups, social and cultural outings, digital literacy classes, and school-to-work readiness and support. The Arc ECT is now the largest chapter of The Arc in the state and has an overall Quality Service score from DDS for 2020 of 98%.

3. Describe how the program will address the needs of the community and help solve the need.

The agency itself addresses the needs of the community in terms of providing a variety of services and supports for people with IDD in Norwich and the surrounding region. Installation of energy-saving fixtures will realize significant cost savings (approximately \$7,720/year according to public utility estimates), **directing more resources to direct support, and providing a more comfortable daily experience for the over 250 people and 50-100 staff we support at the facility.**

4. Does your program have a waiting list? If yes, how many people are on the waiting list?

Each program is different in that its waiting list for services depends on the Department of Social Services' assessment of how many participants can be admitted to a program based on their individual assessment for staffing and services. With increased funding for services (as opposed to overhead costs), the agency could hire more staff and consequently admit more people to its non-residential programs. Currently in Connecticut, however, there is a 2,500-person waiting list for people with IDD who need residential placement. All our residences are currently full.

C. PROGRAM DESCRIPTION

I. Provide a general description of the program for which you are requesting funding by identifying the

specific activities and/or services provided. Please remember to:

a. Explain how this program aligns with the 5-year Consolidated Plan (see www.norwichct.org)

b. Describe how this program collaborates with other programs and organizations

c. Elaborate on how this program links with local or regional plans

d. Discuss any real or possible partnerships created as a result of this funding

e. Comment on if this request for CDBG funding is for a new program or service

I. The Community Life & Advocacy Program provides opportunities for people IDD to independently and actively engage in the community in ways that serve personal choices and goals and demonstrate the measurable contributions to the community that each one of us is capable of making. CL&A is unique in the region, offering a wide range of activities that include outings, dances, leisure activities, and our own Special Olympics contingent. Social, fitness, and support/enrichment activities include computer classes, films, bingo, outdoor festivals/fairs, parades, picnics, bowling, scrapbooking, museum trips, dining out, and volunteer activities.

CL&A's 6-program **Empowerment/Enrichment component** offers a variety of support groups, activities, self-advocacy opportunities, and workshops that introduce people to the concept of viewing themselves as part of a broader community in which they have a voice, an interest, and a right of

inclusion. CL&A is one of the only programs that provides **door to door transportation for a small fee to its participants** throughout New London County.

The **In-Home Supports program (IHS)** is designed to provide **individualized and person centered supports to people living with IDD**. Each person living in his or her own apartment, with roommates in the community, or with family, partners with The Arc Eastern Connecticut to identify where they are in their life's journey and what they want and need to fulfill their dreams and live as independently as possible. IHS also offers day support options at Sachem Street that include cooking skills, health and fitness, relationship building, community navigation, and volunteerism--all with the **goal of helping people reach their highest potential**. IHS advocates for people with IDD, families, and partners with numerous state and community-based organizations and providers to **meet the medical, legal, and social services needs of people and families**. This partnership extends to local public schools, who may identify a student who would benefit from the unique day support the program offers.

The **Community Integration Program (CIP)** is a Day Support Option (DSO) program for people with IDD ages 16 and up who need more structure and supervision than individual support can provide. We offer a variety of non-vocational day programming for young adults through seniors. Our services focus on personal choice while recognizing the specialized, and often complex, needs of the individuals we serve

The Arc ECT retains a highly qualified nursing staff that is on-site at all times, as well as a caring and creative team of recreation, art and social activities assistants.

a. This energy conservation project touches on all three priorities outlined in the 5-year Consolidated Plan (2015-19). We are continuously trying to improve accessibility to the facility and our programming, and accessibility in the case of people with IDD/autism takes many forms. As mentioned earlier, LED lighting is far more conducive to eliminating sensory over-stimulation of many of our participants in the 8 hours daily that they spend in their "living environment." Many people use their time in the facility to participate in activities that address self-advocacy, domestic violence/sexual exploitation prevention, employment skills, etc. All our participants are low-to-moderate income and the programming we offer is key to "expanding opportunities," from job development to civic participation to involvement in all areas of the Norwich community.

b. Our agency collaborates with a wide variety of agencies, foundations, and community groups, both in Norwich and throughout eastern Connecticut. Our participants take advantage of services offered by all the local health clinics, UCFS, Safe Futures, etc. We collaborate with Easter Seals, UCP, Guide, and other programs supporting people with IDD, since many of their participants or residents use our programming; conversely, many of our Norwich residents participate in area-wide volunteer events such as the Rose Arts Festival. We also collaborate with service organizations such as the VFW and American Legion, to patronize their events and receive generous gifts from members at annual parties they provide our participants. And as mentioned in previous answers, all programs try to patronize every area business (restaurants, health clubs, retail stores, etc.) for both socialization, community involvement, and putting as much of their spending money as possible into community businesses and events.

c. The Arc ECT's programming is linked to all local and regional plans, which include the goal of addressing the needs of the area's most vulnerable and marginalized citizens through appropriate and safe housing, social service provision, and the removal of barriers to transportation, employment, and community inclusion.

d. This funding is designed to allow The Arc ECT to divert as much of its overhead costs as possible to the provision of direct service, through the energy upgrades outlined in this proposal. While no "partnerships" would be formed as a result of this project, The Arc ECT would be more than willing to

share with any organization or group their findings and results, if this would be helpful to others in making energy conservation decisions.

e. This is a new request, and it serves programs that have existed since 1952.

2. For each activity or service, please also provide:

a. Location of services

The proposed project is located at 125 Sachem St., Norwich, CT

b. Frequency of services (i.e. 3 times a week for 10 weeks, 9/1/1-12/15/19)

Services are provided M-F 7:30- 6:00 pm and sometimes until 11:30pm on special programming nights several times per week. Saturday hours are also scheduled, but normally for just morning pickup (7-9AM) and evening drop-off (varies depending on activity)

c. Hours of operation (for the proposed program only)

SAA

d. The anticipated number of persons (or families) from Norwich to be served

102

e. If applicable, what are the hours of operation for your program.

Services are provided M-F 7:30- 6:00 pm and sometimes until 11:30pm on special programming nights several times per week. Saturday hours are also scheduled, but normally for just morning pickup (7-9AM) and evening drop-off (varies depending on activity)

3. Please specify the percentage of requested grant funds that will be used for administration and salaries as well as the total number of employees hired and/or retained as a result

0%

4. Using the definitions and example located on pages 13-14, please complete the chart and provide a narrative (under C4) describing your “theory of change” on specific outcomes. Please use multiple pages if you have multiple outcomes that you measure. Please note that the narrative should describe the inputs used to achieve specific outputs in order to produce measurable outcomes. Please designate if outcomes are short term, interim or long term. Add as many outcomes as necessary to prove your success hypothesis (what you believe will result if your program is successful). Remember to include important definitions, including how your industry or service measures success. Please remember to discuss highlights that occurred last year and that will occur this year as a result of your program.

Normally when The Arc ECT is requesting funds for a specific program (Our Community Life & Advocacy program for example) we use a Logic Model format to outline goals, objectives, activities, timelines, number of participants involved, results over time, and how the results will be measured. For this project, however, a Logic Model did not seem appropriate, nor did a “theory of change” explanation seem helpful. **This capital improvement request is designed to lower energy costs and provide a less stressful environment for some of our participants.** As soon as the project is completed, the results will be realized, and not incrementally (unless the project is implemented in phases, i.e. one floor at a time.) There are really no other “moving parts,” nor is there an “alternate route” to achieving this particular goal in this particular building. With that in mind, we have replicated the template on p10 (not p13-14) of the application, attempting to fit the components in the desired cells. We are starting with 0 because the energy upgrades have not yet occurred.

	2019 Actual	2020 Anticipated
OUTCOME: Improved services for people with Intellectual and developmental disabilities		
Long Term Outcome: Reduced energy costs diverted to direct service per year	0	\$7,720
Short Term Outcome: Participants at the Sachem Street Facility are more comfortable due to improved lighting that decreases sensory issues	0	220
Percent who achieved outcome	0	100%
Percent who are Norwich residents	50%	50%

E. FUNDING QUESTIONS

1. If the CDBG funding that you are requesting will leverage funding from another source, please note the amount and source of leveraged funding. Have these additional funds been secured at the time of this application. If not, what actions are you taking to apply for them?

If it is not possible to receive the entire award through Norwich's CDBG funds, the Arc ECT will use CDBG funds to (try to) leverage tax credit funds through the Nonprofit Assistance Act program, which provides a 1-to-1 tax credit to C Corporations for energy conservation projects at area nonprofits. Certain C-Corporations may be more amenable to contributing to this project if they understand that a portion of it is also being supported by the City of Norwich.

The project could in fact be broken down into phases or locations. For example, we have asked our contractor to divide the proposal between floors, since programming happens on the 1st floor. This would be our preferred first phase (19,332). The other 2 floors (administrative, training, and basement, 2,998.75) would be our second priority. Dividing the project further the main program areas on the first floor (approximately \$10,000) can be used as a first phase.

2. If you do not receive the amount of funds requested from CDBG, how do you propose to administer and/or complete the project in the manner presented and how will this affect your service population?

The agency will participate in the Neighborhood Assistance Act program and solicit commitments from area C-Corporations. As mentioned, the lack of the ability to transfer to an LED system means increasingly expensive overhead costs, and more discomfort to the people we serve.

3. What items would you reduce/eliminate from your budget if the City wanted to (only) partially fund your application?

We would request that funding be awarded for **the first floor of the building (19,332)**, where the majority of participant programming takes place. For this reason, our attached proposal has broken down the costs per floor. As mentioned above, we could divide the first-floor project further, identifying approximately \$10,000 of main (general) program space to the first floor as our priority.

F. OTHER

1. List other agencies that provide similar services and identify those with which you collaborate. If services are similar, please elaborate on what makes this service unique.

This seems like question B2. The Arc ECT is the only full-service agency in Norwich providing supports for people with IDD. Including these services are two supported group residences in Norwich, Day and in-home supports, community integration through our Community Life & Advocacy program (the only

PART III: BUDGET INFORMATION**A. AGENCY FINANCIAL DATA**

SUPPORT & REVENUE	Current	Anticipated
	FY 19-20	FY 20-21
Program Fees	871,220	897,357
Other Grants including foundations	77,144	79,458
Donations	75,477	77,741
CDBG	-	22,331
General Fund		
State & Federal Grants	17,364,248	17,885,175
Other Revenue (specify) special events, sales to public, investment income, room & board revenue	1,565,897	1,612,874
Total Revenue	19,953,986	20,574,937

EXPENSES	Current	Anticipated
	FY 19-20	FY 20-21
Salaries	12,816,309	13,200,798
Employee benefits	1,868,547	1,924,603
Payroll Taxes	1,079,469	1,111,853
Professional Fees & Services	415,261	427,719
Operations/Phones/Postage/Occupancy	1,335,412	1,375,474
Insurance (other)	93,450	96,254
Equipment Rental, Maintenance & Acquisition	128,146	131,990
Printing & Publication	44,377	45,708
Travel/Conferences/Conventions	85,235	87,792
Legal Fees	14,000	14,420
Vehicle-Lease/Repair/Transportation Costs	1,089,257	1,121,935
Other Expenses (specify)	822,338	847,008
CDBG		22,331
TOTAL EXPENSES	19,791,801	20,407,886
BALANCE (total revenue less expenses)	162,185	167,051

B. PROGRAM SPECIFIC FINANCIAL DATA

SUPPORT & REVENUE	CDBG-Funded Portion	Non-CDBG Funded Portion	% of CDBG Funds used for Program
Program Fees			
Other Grants/foundations (non-government)			
Donations			
CDBG	22,331		100%
General Fund			
State Government			
Federal Government			
Other Revenue (specify) room & board			
TOTAL REVENUE	22,331	-	

EXPENSES	CDBG-Funded Portion	Non-CDBG Funded Portion	% of CDBG Funds used for Program
Salaries			
Employee Benefits			
Payroll Taxes			
Professional Services (incl. accounts and attorneys)			
General Operations & Supplies (incl. Overhead and Printing)			
Travel/Conferences			
Vehicle Expense			
Other Expenses (specify) includes CDBG roof replacement, utilities/maintenance	22,331		100%
TOTAL EXPENSES		-	100%
BALANCE (total revenue less expenses)	-	-	



MAYNARD ELECTRIC, LLC

Proposal / Contract

Date: 02/24/2020

Contract Number: 702

Submitted To: The Arc New London County

ATTN: Megan

Job Phone: 860-889-4435 ex120

Job Location: 125 Sachem St, Norwich

Plan Description: Lighting upgrade

Job Description:

First Floor:

1. Replace fluorescent bulbs in (166) 2x2 and 2x4 fixtures and (22) 6" recessed cans.
 - A. Supply and install new LED lamps in each fluorescent fixture
 - i. Remove fluorescent ballast from each fixture
 - B. Supply and install new LED retrofits in each recessed can
 - C. Properly dispose of old lamps and ballasts

Cost: **\$19,332.50**

Second Floor:

1. Replace fluorescent bulbs in (19) 2x2 and 2x4 fixtures
 - A. Supply and install new LED lamps in each fluorescent fixture
 - i. Remove fluorescent ballast from each fixture
 - B. Properly dispose of old lamps and ballasts

Cost: **\$2,247.00**

Basement:

1. Replace fluorescent bulbs in (7) single lamp fixtures
 - A. Supply and install new LED lamp in each fixture
 - i. Replace fluorescent T12 ballast with new T8 LED driver
 - B. Properly dispose of old lamps and ballasts

Cost: **\$751.75**

We propose to perform the work as stated in this contract in accordance with the specifications and plans submitted and completed in a workman like manner.

For the sum of:

Acceptance of Proposal: The prices, specifications, terms and conditions are hereby accepted. Maynard Electric is authorized to do the work as specified.

Signature and Date:

*166 Ross Hill Road
Lisbon, CT 06351
(860) 376-5793 Fax: (860) 376-1070
License # ELC.0123415-E1*

EXHIBIT I: Financial Statement and Audit

Describe the agency's fiscal management including disbursement methods, financial reporting, record keeping, accounting principles/procedures and audit requirements. Include a copy of the agency's last completed audit.

Exhibit I: Pertinent sections of The Arc Eastern Connecticut's Financial Policies & Procedures

Please note: the complete document includes the agency's chart of accounts, cost allocation plan, department code list, allocated staff chart, and policy on resident finances.

Overview:

There are many factors which influence decision making in an organization and financial statements are an important step in this process. Financial statements provide information which is then used in organizational planning and to establish and carry out company policy. Thus, it is crucial that the statements reflect accurate data presented on a consistent basis using generally accepted accounting principles and audit procedures. The Arc Eastern Connecticut, Inc. has adopted the following procedures in developing its accounting system and financial statement preparation. These policies are designed to ensure fiscal control and stability and establish clear lines of financial accountability.

Accrual vs Cash Basis Accounting:

The Arc Eastern Connecticut employs the **accrual basis** of accounting in accordance with generally accepted accounting principles. All revenues and expenses are matched to each corresponding time period despite when cash is received or disbursed. Generally Accepted Accounting Principles require the use of a double entry accounting system. For each transaction recorded, there are two entries in the General Ledger (Debit and Credit).

Annual Budget:

The Board of Directors will review and approve the annual Budget. This budget will summarize revenue and expenditures expected to incur in the next fiscal year. Monthly financial statements will track actual expenditures versus budgeted expenditures. This variance analysis will also be part the monthly financial report issued to the Board of Directors.

Separation of Duties:

As an important fraud protection, checks and balances are in place to maintain fiscal control. Key to this is the separation of duties. Systems for handling, receiving, and disbursing cash must be overseen by at least two members of the finance department.

- Check stock will be physically secured and double locked.
- Duties are separated so that the person who prepares checks cannot also sign checks. Only senior members of the Executive team will have check signing privileges. Checks over an amount determined by the Board require two signatures.
- Cash may not be withdrawn from bank accounts.
- Likewise, the person who logs in cash receipts will not also deposit funds into the bank.

General Ledger:

The General Ledger is the log where all transactions are recorded and summarized. The Arc uses the Quickbooks Enterprise version General Ledger system. The general ledger software is evaluated at least once every three years for its appropriateness. The general ledger is broken down into specific categories of transactions which are recorded in individual accounts. Every transaction must be logged into the accounts. Account activity is then summarized into financial statements over a defined time period. All transactions will be logged into the general ledger using an account and department codes as follows:

Payments will be logged as either a payment on an invoice or a cash receipt. If the receipt is payment on an invoice, it will be posted towards against that open invoice in the system. If the receipt is a donation or not for a billed service, then it will be logged in as a sales receipt. Sales receipts will be assigned an item (which is linked to a revenue account) and a department.

All cash receipts will be batched into a daily deposit log. The CFO will review this log before the deposit is brought to the bank to ensure all items and departments are assigned correctly.

Direct Deposit & online payments:

Payments made by direct deposit or through the online donation portal will be logged by the Billing Clerk. These payments are processed by a third party. A remittance advice will be sent via email and kept electronically. All direct deposits will be reconciled monthly through the cash reconciliation process.

Payroll Procedures:

The Arc employs both hourly and salaried employees. All employees are paid on a bi-weekly basis. The pay period begins on a Saturday and ends on a Friday. Checks are issued the following Thursday. If the regular pay date is on a recognized holiday, then checks will be issued one day previous. The Arc currently uses a third party payroll provider to process payroll and pay payroll taxes.

Hourly Employees:

All hourly employees will be set up with electronic time and attendance. Electronic Time clocks are in all facilities and employees must punch in and punch out their hours. Overtime will be paid at a rate of time and one half the regular pay rate for any hours worked in a single week over 40. Employees will be assigned a home department. If they work outside this department for any reason, they must code these hours to the correct department (payroll codes attached).

At the end of the pay period, supervisors must electronically approve all employee hours. The payroll system will then summarize and calculate the payroll for that period.

Salaried Employees:

Salaried employees will be paid their weekly rate. They must enter in any leave time into the system (vacation/sick/personal). Supervisors will electronically approve time for salaried employees and any leave time at the end of the pay period.

After all time cards are approved, the Payroll Manager will summarize the hours and calculate the cost of payroll including wages, deductions, and payroll taxes. The CFO will review the payroll for completeness and accuracy. Upon approval, the payroll file will be transmitted electronically to the payroll company and checks will be issued for the assigned pay date. Payroll taxes will be filed by the payroll company.

Procedures for Purchase and Payments:

The Arc Eastern Connecticut has adopted the following procedures with regard to the processing of purchase requisitions and bill payments. This section is divided into two categories: Purchases, and Bill Payments.

Purchases:

All items purchased must be accounted for and receive proper authorization. This system is designed to ensure that all purchases follow that procedure. This is done through Purchase requisitions and bills.

Recording and approving Purchase Requisitions:

For Purchases requiring an advance payment, the following procedure will be effected:

Any staff member may initiate a purchase requisition. This involves completing the Purchase Requisition form and submitting the request for approval using the following method:

1. Complete Purchase Requisition Form: required information includes Vendor name, address, and phone number, detailed explanation of purchase, purchase price, and the desired date.
2. Submit requisition to immediate supervisor for approval. Items to consider are budgetary restrictions, and availability of alternative or lower priced items.

3. Submit to CFO: The CFO must evaluate and approve all purchase requisitions over the amount of \$500. For purchases under \$500 proceed to step 4.

4. Submit to Accounting Assistant: the authorized purchase requisition must then be submitted to the Accounting Assistant. The Accounting Assistant will assign the purchase requisition an expense category, account code and department and will enter the amount into accounts payable.

5. Attach Invoice/Receipts: any receipts or invoices must be attached to the purchase requisitions before payment is made.

Recording and approving bills for payment:

Bills are required for goods or services which do not require advance payment. Bills should be made out

to The Arc and recorded and verified according to the following procedure.

1. Goods or services may be ordered pending approval of the CFO, CEO or COO. If under \$500, the Department head may authorize the purchase.

2. The Accounting Assistant will receive the invoice in the mail or electronically and verify that the goods or services purchased have been received at the agreed upon purchase price.

3. The Accounting Assistant will then assign an account code and department to the bill and enter the amount into accounts payable.

Bill Payments:

All payments will be made using company checks. The following is the procedure for issuing and approving payments.

1. Analysis of amounts due: The Accounting Assistant will generate a list of amounts in accounts payable and will determine which items should be paid according to their due dates.

2. Authorization: the CFO will review the list and select items to be paid.

3. Check Preparation: The Accounting Assistant will prepare checks for the items selected for payment and attach all invoices and receipts to the check.

4. Payment Approval: The Executive Director will review and sign the checks. Checks over \$10,000 will require an additional signature. The Board President and Treasurer are also authorized signatories on the bank accounts.

5. Payment Release: approved signed checks will be recorded into the payment journal and a copy of each check will be kept in it corresponding vendor payment file.

Month End Procedure:

At the end of each month, interim financial statements will be prepared for review by the CEO, Department heads, and the Board of Directors. The following is the month end procedure:

Cash Reconciliation:

All bank accounts will be reconciled monthly. The Accounting Assistant is responsible for balancing the

cash accounts and for resolving any outstanding checks or deposits. Checks that remain outstanding for more than 6 months will be voided and re-issued. The CFO will review and approve each reconciliation for accurateness.

Month end Journal Entries:

At the end of each month, the Accounting Assistant will make monthly journal entries to capture all revenue and expenses for the period. These include:

- Prepaid Insurance
- Health Insurance Expense
- Depreciation
- Accrued Expenses
- Deferred Revenue
- Cost Allocations

The CFO will review preliminary reports for completeness and accuracy. Actual data will be compared to budgeted amounts for each department and the agency as a whole. The CFO will prepare a monthly financial report which will include:

- Budget to Actual Profit and Loss Statements for both the current month and Year-to-date
- Balance Sheet
- Statement of Cash Flows

This report will include a narrative which explains any budget variances in excess of 10% or \$5,000. This report will be distributed to the Board of Directors for review. Time will be set aside at each Board Meeting to discuss the monthly financial report.

Each Department Head will receive a copy of his/her respective income and expense statement. He/She will review and monitor the expenses with their budgets with the assistance of the CFO as needed. The program directors will use this information when approving expenditures for their program.

Annual Audit:

Each year, financial data will be audited by an independent accounting firm. The independent auditors will be evaluated and engaged by the Board of Directors on an annual basis. The CPA firm will conduct a field audit of the transactions presented by management in the assigned fiscal year and will issue an audit opinion with accompanying financial statements. These statements will be reviewed and approved by the Board of Directors annually. The Auditors will also issue the State of Connecticut Single Audit reports.

Financial data is also subject to audit by State and Federal authorities including The Department of Social Services, Department of Labor, the Social Security Administration and the Center for Medicaid Services (CMS).

EXHIBIT 2: Insurance/Bond/Worker's Compensation

- **State whether or not the agency has liability insurance coverage, in what amount and with what insuring agency.**

The Arc Eastern Connecticut has liability insurance coverage with Gerardi Insurance Services, Inc. in the amounts of 5,000,000 (umbrella), 3,000,000 (general aggregate), and 1,000,000 (commercial general). Please see attached certificate.

- **State whether or not the agency pays all payroll taxes and worker's compensation as required by Federal and State Law.**

The Arc Eastern Connecticut pays all payroll taxes and worker's compensation as required by Federal and State Law.

- **State whether or not the agency has fidelity bond coverage for principal staff who handle the agency's accounts, in what amount and with what insuring agency.**

The Arc ECT has \$500,000 in fidelity bond coverage for principal staff who handle the agency's accounts. It also has \$1,000,000 in crime coverage and another \$5,000,000 in excess liability coverage. The policies are with Gerardi Insurance Services, Inc.

- **Provide a copy of your current insurance certificate, NOT YOUR POLICY.**

Attached.

Accounts Payable Flow Chart

Purchase Authorization

Recurring Charges

Bill received (by Mail or electronic copy)

- Forwarded to Rose for Approval
- Bill checked for accuracy
- Account and class code written on bill
(Balance sheet accts do not require a class code)

One Time Charges or No Bill Available

Purchase Requisition Received

- Form must detail the amount and purpose of expense and the date check needed
- Must be authorized by CFO, CEO or COO
- Acct Asst to fill in acct and class code

Submit For Approval

Yes

No

Bills Entered Into General Ledger

- Acct and Class code verified by Acct Asst
- All relevant information typed into memo section
- Accounting Supervisor reviews bills

Vendor contacted to
clarify disputed charges
- re-issue bill

Check Prepared

- CFO selects Bills ready for payment
- Checks printed (check numbers verified)
- Bills attached to checks

Check Signed

- Checks with bills attached forwarded to CFO for signing, if CFO unavailable, COO will sign
- Bills checked once more for accuracy and checks signed
- Bills over \$10,000 countersigned by CFO or Board President
- Electronic Payments authorized by CEO

Check Mailed

- Checks separated and put into envelopes for mailing
- Payment records attached to bills and filed

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- **Provide a copy of your current insurance certificate, NOT YOUR POLICY.**

Attached.



CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

02/28/2020

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER Gerardi Insurance Services, Inc. 16 Pomfret St Putnam CT 06260		CONTACT NAME: Shayna O'Brien PHONE (A/C, No, Ext): (860) 928-7771 FAX (A/C, No): (860) 928-7144 E-MAIL ADDRESS: sobrien@gerardiinsurance.com	
INSURED The Arc Eastern Connecticut Inc. 125 Sachem Street Norwich CT 06360		INSURER(S) AFFORDING COVERAGE INSURER A: Philadelphia Indemnity Ins Company INSURER B: INSURER C: INSURER D: INSURER E: INSURER F:	

COVERAGES

CERTIFICATE NUMBER: 20/21

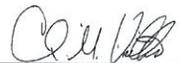
REVISION NUMBER:

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER:			PHPK2080112	01/01/2020	01/01/2021	EACH OCCURRENCE \$ 1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 100,000 MED EXP (Any one person) \$ 5,000 PERSONAL & ADV INJURY \$ 1,000,000 GENERAL AGGREGATE \$ 3,000,000 PRODUCTS - COMP/OP AGG \$ 3,000,000 Professional Liability \$ 1,000,000
A	<input checked="" type="checkbox"/> AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO <input type="checkbox"/> OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS <input type="checkbox"/> HIRED AUTOS ONLY <input type="checkbox"/> NON-OWNED AUTOS ONLY			PHPK2080112	01/01/2020	01/01/2021	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ Medical payments \$ 5,000
A	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR <input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED RETENTION \$			PHUB706650	01/01/2020	01/01/2021	EACH OCCURRENCE \$ 5,000,000 AGGREGATE \$ 5,000,000
	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below		N/A				<input type="checkbox"/> PER STATUTE <input type="checkbox"/> OTH-ER E.L. EACH ACCIDENT \$ E.L. DISEASE - EA EMPLOYEE \$ E.L. DISEASE - POLICY LIMIT \$

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

CERTIFICATE HOLDER**CANCELLATION**

City of Norwich 100 Broadway Norwich CT 06360	SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS. AUTHORIZED REPRESENTATIVE 
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Department of the Treasury
Internal Revenue Service

OGDEN UT 84201-0029

In reply refer to: 4077950277
Aug. 12, 2019 LTR 4168C 0
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BODC: TE

THE ARC EASTERN CONNECTICUT INC
% TERRENCE HICKEY
125 SACHEM ST
NORWICH CT 06360-4128

000520

Employer ID number: 06-6010477
Form 990 required: Yes

Dear Taxpayer:

We're responding to your request dated July 03, 2019, about your tax-exempt status.

We issued you a determination letter in November 1958, recognizing you as tax-exempt under Internal Revenue Code (IRC) Section 501(c)(3).

We also show you're not a private foundation as defined under IRC Section 509(a) because you're described in IRC Sections 509(a)(1) and 170(b)(1)(A)(vi).

Donors can deduct contributions they make to you as provided in IRC Section 170. You're also qualified to receive tax deductible bequests, legacies, devises, transfers, or gifts under IRC Sections 2055, 2106, and 2522.

In the heading of this letter, we indicated whether you must file an annual information return. If you're required to file a return, you must file one of the following by the 15th day of the 5th month after the end of your annual accounting period:

- Form 990, Return of Organization Exempt From Income Tax
- Form 990EZ, Short Form Return of Organization Exempt From Income Tax
- Form 990-N, Electronic Notice (e-Postcard) for Tax-Exempt Organizations Not Required to File Form 990 or Form 990-EZ
- Form 990-PF, Return of Private Foundation or Section 4947(a)(1) Trust Treated as Private Foundation

According to IRC Section 6033(j), if you don't file a required annual information return or notice for 3 consecutive years, we'll revoke your tax-exempt status on the due date of the 3rd required return or notice.

You can get IRS forms or publications you need from our website at www.irs.gov/forms-pubs or by calling 800-TAX-FORM (800-829-3676).

If you have questions, call 877-829-5500 between 8 a.m. and 5 p.m.,

4077950277
Aug. 12, 2019 LTR 4168C 0
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00025770

THE ARC EASTERN CONNECTICUT INC
% TERRENCE HICKEY
125 SACHEM ST
NORWICH CT 06360-4128

local time, Monday through Friday (Alaska and Hawaii follow Pacific
time).

Thank you for your cooperation.

Sincerely yours,

Stephen A. Martin

Stephen A. Martin
Director, EO Rulings & Agreements





The Arc Eastern Connecticut Board of Directors as of December 2018

Office	Name	Profession
President	Linda Rhodes	Speech/Language Pathologist, Colchester Schools
Vice President	Diane Aubin	special ed.consultant, Stonington Schools
Secretary	Ray Baribeault	Director, Suisman, Shapiro, Wool Brennan, Gray & Greenberg, P.C.
Treasurer	Gene Michael Deary	VP of retail lending at The Savings Institute
Director	Abby Snyder	Participant Representative
Director	Shannon Aiello	Long-time volunteer, MS in Special Education
Director	Paul Formica	State Senator and owner, Flanders Fish Market
Director	Mary Ellen Snyder	RN at Day Kimball Hospital, retired
Director	Michele Scott	Liaison w/Mashantucket Tribe, Ex. Dir AHEC
Director	Emily Morrison	Development and Communication Manager at United Services Inc.
Director	Jeffrey Rawson	President of Rawson Materials, Putnam
Director	Alan Messier	Attorney and relative of person with I/DD
Immed Past Pres	Enrico DeMatto	Former pub school Director of Social Svcs

Kathleen Stauffer *kstauffer8737@sbcglobal.net*

339 Heather Glen Lane, Mystic, CT 06355 / 860.514.5919

Executive Summary

Skilled at organizational transformation via systems enhancement and team building. Proven record with person-centered services and leadership; merger and affiliation; creative visioning; fiscal assessment, wellness; strategic planning, strategic growth; new product development; online content, traffic enhancement; branding; media relations and marketing specializing in direct response promotion, results. Proven in local, national, international environments

Accomplishments

June 2009 – Present ■ *Chief Executive Officer and Executive Director*

THE ARC EASTERN CONNECTICUT Norwich, Connecticut

Lead established social service provider for people with I/DD; \$5.5 to \$11+ million growth over 9 years serving 600+ clients, 280+ employees. Establish quality standards. Grow agency profile, assets, influence. Drive community awareness via media, social media, Web and public speaking. Facilitate and raise profile of person-centered service models; build mission; grow employee empowerment

Highlights

Fiscal Well-being Reversed three-year profitability erosion, escalating costs with mileage caps, overtime management, electronic staff tracking / transport / timekeeping; Established checks / balances among client levels, billing hours, staffing. Led strategic merger increasing annual revenues more than 50% while introducing savings / service growth of \$700,000+ Year One
Team Building Facilitated positive team morale and trust; established hiring committee including direct-care staff and participants reducing turnover by 11%. Stoked enthusiasm for time- and cost-saving technologies including ADP, Therap, GPS, eTapestry with results allowing for generous annual team incentives
Compliance Addressed quality control challenges, moving residential team from probation to two-year licensing in 18 months; led effort to improve agency quality service dramatically (98.7%); introduced mandatory trainings rooted in person-centered philosophies; reestablished safety committee reducing worker compensation claims as much as 90%
Web Results Led redesign strategy, tripling online traffic in 12 months; invented The Arc Network, a Respite Care coordination system
Branding Quadrupled agency list size, doubling Annual Appeal revenues. Appointed to national advisory committee to assist in rebranding The Arc US
Impact Established and led regional Nonprofit Economic Impact Study panel and regional Economic Recovery Taskforce

October 2008 – August 2009 ■ *Founder*

PROFILE LLC Mystic, Connecticut

Coached corporations, individuals and organizations in developing customer satisfaction plans. Encouraged healthy communication, clarity in corporate identity and team approach to improved product and service delivery; advised on branding, internal and external communication; consulted on new product development, customer retention and satisfaction, better billing / renewal results, grants strategy. Delivered profile enhancements for national client base

January 2007 – April 2009 ■ *President and Publisher*

BAYARD MAGAZINE GROUP New York, New York / New London, Connecticut

Promoted to lead operating group of seven inspirational brands, second-largest North American division of Bayard, Inc., subsidiary of Bayard Presse (France); gross annual revenues \$9.6 million. Fulfilled 520,000 copies for 3.2 million+ readers. Directed ancillary, marketing, Web. Achieved record renewals for all brands. Introduced successful cover strategies, profitable telemarketing

Highlights

Efficiency Rebuilt editorial, production, marketing departments; introduced quality control checklists, timely ABC reporting. Reduced *Catholic Digest* frequency for operational savings, combined *Living with Christ* editions to reduce costs; retained 99% of subscriber base in conversions
Branding Positioned *Catholic Digest* as national brand with placement in *USA Today*, on the *NBC Today Show* and *National Public Radio* after external consultants advised it couldn't be done. Introduced Catholic lifestyles concept, contributing to record renewal gains
Ancillary growth Doubled *Living with Christ* missal sales in 2006 and 2007
Bonus Circulation Negotiated *Catholic Digest* special commemorative edition bonus circulation of 117,000 for papal Masses in New York City and Washington, D.C. Supplied *Living with Christ* commemorative editions to Synod for the Word of God in Rome
Web Results Developed Papal and Election Web hubs featuring radio, TV, news feeds via content partnerships; increased traffic 30% during papal visit and again with election hub. Introduced *Living with Christ* papal Mass missal download to triple month's sales
Market Penetration *Catholic Digest* named most popular Catholic magazine in America by 2008 CARA Poll (Georgetown University)

June 2005 – January 2007 ■ *President and Publisher*

BAYARD CONSUMER MAGAZINE DIVISION New York, New York / New London, Connecticut
Promoted to direct three consumer brands; \$8.5 million gross revenues, 440,000 copies with 3 million+ readers. Invented branded ancillary products

Highlights

Best seller “*The Truth About the Da Vinci Code*” ancillary booklet sold 120,000 copies
Visibility Introduced press releases, E-blasts, E-newsletters. Built promotion list: radio, television, print. Established 30,000-address consumer email list

April 2004 – June 2005 ■ *Chief Operations Officer*

BAYARD, INC. Mystic, Connecticut

Promoted to trouble-shoot for Chief Executive Officer; directed corporate move and office build-out

Highlights

Cost savings. Negotiated lease; established efficient floor plan, refurbished offices saving approximately \$300,000 in annual operating costs
Organization Reorganized operations; established international corporate directory and job descriptions for New London and New York

August 1994 – June 2005 ■ *Managing Editor*

CATHOLIC DIGEST St. Paul, Minnesota / Mystic, Connecticut

1989 - *Associate Editor*; 1986 - *Assistant Editor*

Coached staff to award-winning team; helped establish magazine format responsible for record renewal results; built national stable of freelance writers. Swept Society of Professional Journalists Awards three years for depth reporting. Created cover-package concept, introduced narrative style. Founded *Catholic Digest en Español*; promoted to publisher of *God's Word Today*

Highlights

Exclusive Content Landed first exclusive U.S. presidential election interviews; led Special Coverage on pedophile priests for 40,000+ newsstand sales increase; interviewed Al Gore, George W. Bush, Maria Shriver, Mel Gibson, Ed Asner, Margaret O'Brien, Theresa Saldana, Jaci Velasquez. Traveled to Malta, Turkey, Israel, Italy. Won First Place Society of Professional Journalists award. Initiated Make Your World a Better Place campaign
Catholic Digest en Español Founded, launched, led Spanish bimonthly from 2002 – 2007
God's Word Today As publisher, cut costs, improved quality for 50,000-circulation Scripture magazine; introduced redesign, increased renewals and pay up

Academia, Boards and Affiliations

January 2017 – Present ■ Adjunct Lecturer

UNIVERSITY OF NEW HAVEN New London, CT

Teach *Nonprofit Management*, Master of Public Administration program: Ethics, leadership, team strategies, operational excellence and organizational transformation

December 2014 – Present ■ Member, Board of Directors

THE ARC OF THE UNITED STATES

Appointed to governing board for national advocacy organization serving families and people with Intellectual and Developmental Disabilities

February 2014 – Present ■ Member

GOVERNOR'S CABINET ON HEALTH AND HUMAN SERVICES

Appointed by Connecticut Governor Dannel P. Malloy to Governor's Cabinet on Nonprofit Health and Human Services

January 2014 – Present ■ Member and Current Council Co-chair

HUMAN SERVICES COORDINATING COUNCIL

Appointed to legislatively empowered body serving Southeastern Connecticut Council of Governments (SCCOG)

July 2012 – Present ■ Current member Board of Directors and Club President

THE NORWICH ROTARY CLUB

Appointed to governing and executive leadership board for local chapter of Rotary International

January 2012 – Present ■ Member, Board of Directors / Steering Committee

NATIONAL CONFERENCE OF EXECUTIVES OF THE ARC

Elected New England Regional Representative for national peer membership organization dedicated to the support and development of more than 300 local, state and national professionals

January 2015 – Present ■ Member

SOUTH REGION ADVISORY AND PLANNING COUNCIL

Appointed to represent The Arc Connecticut on Department of Developmental Services Regional Advisory and Planning Council established by statute of the Connecticut General Assembly

March 2010 – Present ■ Member, Board of Directors

COUNCIL OF UNITED WAY EXECUTIVES

Appointed At-Large Representative for regional executive governing Board

January 2012 – January 2016 ■ Member, Board of Directors

CONNECTICUT COMMUNITY PROVIDERS ASSOCIATION

Elected Disabilities Division Representative for state-wide trade organization providing advocacy and support for children and adults with disabilities as well as people with significant life challenges

July 2000 – December 2001 ■ Adjunct Instructor

UNIVERSITY OF ST. THOMAS St. Paul, Minnesota

Taught *Media Writing and Information Gathering*, undergraduate Journalism & Communication program. Enlisted faculty, National Association of Black Journalists to raise \$350,000 and establish non-profit mentoring program for inner-city youth

Education

UNIVERSITY OF NEW HAVEN New London, Connecticut
Sigma Beta Delta, Master of Public Administration with a graduate certificate in Human Resources Management

POINT PARK UNIVERSITY Pittsburgh, Pennsylvania
Summa cum Laude, Bachelor of Arts in Journalism and Communication; Russian language minor; Pennsylvania Newspaper Publishers Scholar; President, United Student Government

Presentations and Books

“FROM COURAGE TO COOKIES” (presenter, National Conference of Executives of The Arc leadership training, St. Louis, MO, July 2017)

“STRATEGIC PLANNING AND THE DISNEY WAY” (presenter, National Conference of Executives of The Arc pre-conference leadership training, national convention of The Arc of the United States, Orlando, FL, October 2016)

“YOU REPRESENT THE ARC” (presenter / co-creator, customer service training Webinar - The Arc Network, National Conference of Executives of The Arc, Washington, DC, February 2015)

“TRANSFORMING YOUR CHAPTER OF THE ARC” (panel presenter, national convention of The Arc of the United States, Indianapolis, October 2015)

“NONPROFITS – MORE THAN JUST A CHARITY CASE” (presenter, The Chamber of Commerce of Eastern Connecticut Leadership Program, Waterford, CT, September 2014)

“WHEN EVERYBODY WINS – THE ART OF THE SUCCESSFUL NONPROFIT MERGER” (co-presenter, ANCOR, Washington, DC, May 2012)

PADRE PIO Twenty-Third (2007)

FACING LIFE’S CHALLENGES Sheed & Ward (co-author, 1996)

WOMANSPORT: THE WOMEN’S SPORTS BIBLE Athletic Achievements (co-author, 1994)

Volunteer Service and Awards

October 2015 ■ Paul Harris Fellow
THE NORWICH ROTARY CLUB Norwich CT

December 2014 ■ Executive Director of the Year
THE CHAMBER OF COMMERCE OF EASTERN CONNECTICUT New London CT

September 2011 ■ Rising Star Award
NATIONAL CONFERENCE OF EXECUTIVES OF THE ARC Washington, DC

March 2011 ■ Recipient, Speaker of the Year Award
UNITED WAY OF SOUTHEASTERN CONNECTICUT Gales Ferry, CT

December 2009 – December 2015 ■ Judge, Volunteer of the Year Award
DOMINION Richmond, VA

December 2009 – March 2011 ■ Member Adviser
THE ARC NATIONAL BRANDING ADVISORY GROUP Washington, DC

Terrence Hickey

6 Tarryk Dr, Norwich, CT 06360

Tel: 860-908-9019 email: tphickey2000@yahoo.com

Career Objective:

Seasoned professional seeking to use my extensive experience in Non-Profit accounting and management to maximize financial resources, ensure smooth and efficient operations, effectively implement new technologies, and ensure consistent growth and success. Will be a valued and essential team member working to further the mission of the Organization.

Professional Experience:

2003- Present: Chief Financial Officer- *The Arc New London County, Inc. Norwich, CT*

Responsible for the overall financial operation of an \$11.5 Million private Non-Profit Organization serving people with disabilities. Duties include:

- Ensure compliance with financial reporting and record-keeping obligations for a State Contract valued at \$9.3 Million.
- Supervise and evaluate finance personnel in the areas of accounts payable, billing and receivables, and payroll.
- Manage building repair and replacement costs for 15 owned and leased properties in New London County, including the submission of capital improvement grants. Secure low rate financing for capital projects as needed.
- Assist in preparation of Grant requests and applications for operating revenue.
- Oversee payroll for over 300 full and part time employees. Work with Human Resources to ensure compliance with all applicable FLSA laws.
- Evaluate company computing, copying, and telecommunications needs, procure necessary equipment and resources, and train employees on their use. Monitor for fraud and abuse.
- Evaluate and Implement technology based systems in the areas of payroll and billing to eliminate paper processes and enhance overall accuracy.
- Negotiate insurance rates in the areas of workers comp, health care, and commercial lines. Evaluate the appropriateness of coverage levels. Implement cost savings strategies to minimize the effect of inflation.
- Prepare Annual Operating and Capital Budgets for review and approval by the Board of Directors.
- Prepare and analyze monthly Financial Statements to be reviewed by Management and the Board of Directors. Explain variances.
- Prepare and Certify Annual financial reports for independent auditors, grantors and state regulators.
- Responsible for maintaining Tax Exempt status for all owned properties and equipment.
- Manage a fleet of 48 vehicles including fueling and maintenance programs, registration & titling, mileage tracking, and asset replacement.
- Develop a cost allocation plan for administrative and shared resources.
- Design and implement company incentive compensation programs.
- Manage and oversee the company sponsored 403b retirement plan and ensure all contributions are calculated correctly and invested in a timely manner. Maintain records and prepare for annual plan audit by independent CPA firm. File form 5500.
- Oversee company fraud protection programs for financial resources including gas cards, company credit cards, petty cash accounts, and client funds. Set up tracking systems to ensure proper use of company property and resources.
- Work with the Finance Committee to oversee company investments and maximize rate of return.
- Monitor phone, internet and utility bills for fraud or abuse.

1996- 2003 **Director of Operations- *The Arc New London County, Inc. Norwich, CT***

Responsible for managing all aspects of daily operations and financial reporting for a private not for profit organization serving people with developmental disabilities. Duties included:

- Overseeing Program Directors and monitoring daily operations to ensure quality services.
- Ensuring programmatic benchmarks were met.
- Maintaining compliance to all contract reporting requirements.
- Preparing and submitting grant requests and funding applications.
- Maintaining compliance to all relevant employment laws and labor regulations.
- Managing workers compensation claims, company safety programs, and OSHA regulations.
- Establishing and implementing company personnel policies and procedures.
- Managing the upkeep of company facilities and equipment including building maintenance and capital improvements.
- Evaluating transportation needs and maintaining safe operation of vehicle fleet.
- Assisting in the planning and implementation of agency special events and fundraising activities.

1993-1996 **Bookkeeper- *The Arc New London County, Inc. Norwich, CT***

Acted as administrative assistant to Business Manager. Responsible for collecting and entering financial data, preparing financial reports, and performing general clerical duties.

1992-1993 **Personnel & Payroll Clerk- *Hermitage Hospital Products- Niantic, CT***

Responsible for lending administrative support for manufacturer of hospital supply products. Duties included managing a weekly payroll for over 150 employees, maintaining personnel records and developing policies and procedures.

Skills:

- Expert level computing skills especially in the area of spreadsheet & database design and management.
- Significant experience with all Microsoft Office applications.
- High degree of clerical speed and accuracy.
- Excellent analytical skills.
- Ability to effectively communicate with all levels of management, and Board of Directors.
- Extensive experience in non-profit accounting and cost allocation methods.
- Ability to manage wide area of responsibility.
- Commitment to organizational growth and success.

Education: Bachelor of Arts Degree in Business Administration, 1992
 Eastern Connecticut State University, Willimantic, CT

PART V: CONFLICT OF INTEREST QUESTIONNAIRE

**COMMUNITY DEVELOPMENT BLOCK GRANT CITY
OF NORWICH, CONNECTICUT**

**APPLICANT CONFLICT OF INTEREST QUESTIONNAIRE
2020-2021 PROGRAM YEAR**

Federal, State, and City law prohibits employees and public officials of the City of Norwich from participating on behalf of the City in any transaction in which they have a financial interest. This questionnaire must be completed and submitted by each applicant for Community Development Block Grant (CDBG) funding. The purpose of this questionnaire is to determine if the applicant, or any of the applicant's staff, or any of the applicant's Board of Directors would be in conflict of interest.

1. Is there any member(s) of the applicant's staff or any member(s) of the applicant's Board of Directors or governing body who is or has/have been within one year of the date of this questionnaire (a) a City employee or consultant, or (b) a City Council member, or (c) a member of the Community Development Advisory Committee (CDAC) member? **NO**

2. Will the CDBG funds requested by the applicant be used to award a subcontract to any individual(s) or business affiliate(s) who is/are currently or has/have been within one year of the date of this questionnaire a City employee, consultant, City Council person or Community Development Advisory Committee member? **NO**

3. Is there any member(s) of the applicant's staff or member(s) of the applicant's Board of Directors or other governing body who are business partners or family members of a City employee, consultant, City Council person, Community Development Advisory Committee member? **NO**

4. Have you read and understood the HUD regulation regarding conflict of interest, 24 CFR 570.611 (attached)? **YES**

Name of Applicant: The Arc Eastern Connecticut

Signature of Applicant's Representative:  _____

Title: Chief Executive Officer **Date:** March 2, 2020

