

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

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PART I: GENERAL INFORMATION

AGENCY: OIC of New London County, Incorporated

LEGAL NAME Opportunities Industrialization Center of New London County, Inc.
(if different from Agency)

ADDRESS: 106 Truman Street New London, CT 06320

E-MAIL: ngrant@oicnlc.org

EXECUTIVE DIRECTOR: Nekeisha Grant

CONTACT NAME AND TITLE: Nekeisha Grant, President

TELEPHONE: 860-447-1731 ext. 313

AGENCY FISCAL YEAR: July 1 June 30
Begin End

PROGRAM OR PROJECT NAME: Norwich Adult Education-Learning Academy

CDBG REQUEST & AWARD AMOUNTS:

	REQUEST	AWARD
UPCOMING FISCAL YEAR: (September 1, 2020 - August 31, 2021)	\$ <u>25,000</u>	\$ _____
CURRENT FISCAL YEAR: (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.

Nekeisha Grant
EXECUTIVE DIRECTOR/DEPT. HEAD

Nekeisha Grant, President

Printed Name

March 11, 2020

DATE

Christina Nocito
PRESIDENT, BOARD OF DIRECTORS

Christina Nocito, Board Chairman

Printed Name

March 11, 2020

DATE

PART II: Program Information

A. Introduction/Agency Information

A1. Brief History

OIC of New London County, Incorporated is affiliated with a larger entity known as OIC of America (OICA) which is based out of Philadelphia. The OIC movement began in the 1960's by 400 ministers who believed that jobs were the key to economic development and the empowerment of individuals. The founders involved in the movement began a campaign to address corporate America and other companies that did not practice Equal Employment Opportunity. Even though the campaign opened up more than 4,400 jobs, many of the individuals seeking employment needed to be educated and trained.

OIC of New London County joined the movement by offering certificate programs, comprehensive employment training, and job placement services to low income individuals of New London County. The organization was approved as a 501(c) 3 non-profit entity and opened its doors in 1970. Since then, OIC has served the community by matching qualified and trained individuals with employers within the State of Connecticut.

In alignment with the organization's National Office, OIC of New London County, Incorporated aims to be one of the nation's leaders in providing quality education, training, and employment services enabling economically disadvantaged individuals to become productive fulfilled members of American society.

OIC's mission is to provide training, basic skills, supportive counseling and job creation services to primarily low-income persons regardless of race, color, religion, gender, sexual orientation, age, or national origin. Throughout the years, OIC's operations have grown to encompass outreach, intake and assessment, career counseling, vocational skills training, job placement services, case management, classroom training, and community justice programming.

A2. Hours of Operation

OIC of New London County, Incorporated is open Tuesday through Friday from the hours of 8:30 am until 4:30 pm.

A3. Total Number Employed

Currently, there are twelve employed staff persons at the agency. Positions range from administrative personnel, instructors, group facilitators, and job development/case management employees.

A4. Section 504 Rehabilitation Act of 1973 Compliance

Not Applicable

A5. Federal Funding of \$500,000 or More

Currently, OIC of New London County, Incorporated does not receive funding in the amount of \$500,000 or more through any means, including grants and loans.

B. Statement of Need

B1. Need to be addressed

OIC of New London County, Inc. is the only entity in New London County providing training for jobs in demand as well as a wide range of supportive services to reduce/eliminate barriers to employment success. For decades, OIC has been helping to fill the gaps in New London County's educational and service delivery system, providing hundreds of low-income individuals a resource to gain the necessary skills to establish a career and earn a livable wage.

Part of OIC's mission to assist individuals in becoming successful, contributing members of society is to support them in overcoming barriers that will prevent them from obtaining gainful employment. Some of the major barriers that face the population served is the level of workplace reading and mathematics, technical ability, and the "soft" skills necessary in order to obtain and retain entry-level employment.

According to the Connecticut United Ways *ALICE: A Study of Financial Hardship in Connecticut* "barriers to employment include family care responsibilities, physical and mental health problems, limited language skills, lack of reliable transportation, and lack of job skills". These individuals require educational supports and career technical training in order to ensure their success and ability to obtain either entry-level employment or a substantial career where poverty is no longer a major concern. These individuals will also be better prepared to seek and obtain employment in today's competitive job market.

In collaboration with the Norwich Regional Adult Education program, OIC of New London County, Incorporated aims to provide low-income, second language learners, Norwich residents with the education, "soft" skills training, and trade certification needed to bridge the gap between educational attainment and economic status.

B2. Services provided by other agencies in Norwich

Norwich Regional Adult Education program currently offers "soft skills" training for its traditional adult education student. The collaboration between OIC and Norwich Regional Adult Education in its proposed program will offer employability "soft skills" training leading to an industry-recognized credential to second language learners, which is not being offered in the City of Norwich at this time.

B3. Addressing the need of the community

Research conducted by Harvard University, the Carnegie Foundation, and Stanford Research Center have all concluded that 85% of job success comes from having well-developed soft and people skills, and only 15% of job success comes from technical skills and knowledge (hard skills). Learning Academy is an employability program that focuses on job attainment, job readiness, and job

retention. OIC of New London County, Incorporated recognizes the importance of the development of soft skills and human communication as a critical training component for the population that we serve to be successful in the “world of work”. In addition, coupled with the attainment of an industry-recognized credential, an individual identified in the target population is able to participate in a competitive job market.

As defined in the Consolidated 5-year plan for Norwich, the program is a direct response to “expanding opportunities for low-to-moderate income persons: includes services associated with job creation, job training, and increasing employment opportunities for Norwich residents”.

B4. Waitlist

OIC of New London County, Incorporated currently has a resource of applicants to participate in the program. These applicants will be enrolled second language learners from the Norwich Regional Adult Education program. They will be able to focus on learning English as a second language, attaining their GED/HSD, and participating in employability workshops that lead to industry-recognized credentials in Healthcare, Culinary Arts, or Construction and Manufacturing. The program will be able to accommodate 15-20 students every 5 weeks of the program year.

C. Program Description

1. General Description of the Program

(a) The program design directly addresses the Norwich community’s need of “*Expanding Opportunities for low to moderate income persons: includes services associated with job creation, job training, and increasing employment opportunities*” as outlined in the 5-year Consolidated Plan. The primary focus of the Norwich Adult Education Learning Academy program rests on the combined training of “soft skills” employability training in tandem with the attainment of industry recognized, hard skill certifications. The Norwich Adult Education Learning Academy will target second language learners and will offer career technical training certifications in multiple languages which include English, Spanish, and Chinese. The program will allow these individuals the opportunity to have access to the window of opportunity through assisting them in overcoming the barrier of limited language skills.

It is the goal of the Norwich Adult Education Learning Academy program to provide the opportunity for adult learners to overcome their educational and professional barriers in order to become more self-reliant. As it is OIC’s mission to take a holistic view at helping individuals succeed, the Norwich Adult Education Learning Academy will offer as part of its services:

1. English as a Second Language classes,
2. Employability Workshops (“soft skills” training) focused on effective communication, conflict resolution, customer service, job searching, etc.

3. An opportunity to obtain an industry-recognized certification in one of three career pathway options: Healthcare (Caregiver & Companion Certification); Culinary Arts (Food Handlers Certification); or Construction and Manufacturing (OSHA-10 Certification).

4. GED/High School Diploma classes

The enhanced opportunity for second language learners to obtain industry-recognized certification, while improving their English language skills, offers emersion and the availability of employment which provides the potential for greater earning capacity and becoming a contributing member of the Norwich community.

(b) OIC of New London County, Incorporated has been providing low-income residents of New London County, Incorporated with employability skills training for approximately 50 years. Currently, the Learning Academy program is offered at the OIC training site and monthly at the American Job Centers across Southeastern Connecticut (an Eastern Workforce Investment Board partnership). The collaboration with Norwich Regional Adult Education would provide seamless access to current English Language Learner students as an enhancement to their academic studies and employment short and long term goals.

(c) The program goals for the Norwich Adult Education Learning Academy addresses two concerns as outlined in the 5-year Consolidated Plan:

1. The need of the business community to have a talented/trained workforce
2. The need to address employment gaps- as stated “training Norwich residents in the fields of education and healthcare could provide workforce opportunities. Regardless of the sector, job training needs to include topics such as job readiness, job preparedness of employees with post-secondary education, and competence in basic and technical skills”.

OIC of New London County, Incorporated poses to collaborate with the Norwich Regional Adult Education program to address the two identified needs noted above for low-income, ESL residents of the City of Norwich.

(d) This program design is a concept specifically developed for the collaboration between OIC of New London County, Incorporated and Norwich Regional Adult Education. Even though this is so, it is with great anticipation that the two organizations can begin to develop a relationship with local businesses to provide input and guidance on the relevance of the program leading to employability for its participants.

(e) This program is a collaborative initiative between OIC of New London County, Incorporated and Norwich Regional Adult Education. A pilot program has been in operation since January 2020, where 25% of the ESL student population who have participated have attained their Serv-Safe Food Handler Certification from the National Restaurant Association.

2. General Operations

- (a) The proposed program will be conducted at the Norwich Regional Adult Education program site located at 191 Hickory St, Norwich, Connecticut.
- (b) The program will operate in concert with the Norwich Regional Adult Education program calendar form August to May during the mid-day and evening class schedule. It will be a five week program per session with a total of four sessions for the program year.
- (c) The proposed program will be hosted on Monday, Tuesday, and Thursday to meet the needs of the targeted population. Each class will be for two hours in duration and will be offered in a morning session and an evening session. Proposed specific times are from 8:30 am-10:30 am and 5:00 pm to 7:00 pm.
- (d) The Norwich Adult Education Learning program anticipates serving 80 second language learners who reside in the City of Norwich, are low-income, and are enrolled within the Norwich Regional Adult Education program.
- (e) As previously noted, each class will be for two hours in duration and will be offered in a morning session and an evening session. The proposed specific timeframes are from 8:30 am-10:30 am and 5:00 pm to 7:00 pm. to accommodate the needs of the individuals participating in the program.

3. Percentage of funds that will be used for administration & salaries

The program budget will require 48% of grant funds be used towards administration and salaries due to the magnitude of services to be offered to the targeted population. A total of nine employees will be hired and/or retained for program implementation.

4. Theory of Change Narrative

Enrolled Norwich Regional Adult Education program second language learners will be enrolled in the 5-week employability skills training program in order to attain an industry-recognized credential and to gain job-related “soft skills”. The program will serve 80 participants with a goal of 75% of individuals obtaining a job-relevant certificate in one of three chosen career pathways: Healthcare, Culinary Arts/Hospitality, or Construction/Manufacturing. The theory of change is to assist participants in obtaining employability skills to become self-sufficient, productive workers to meet the needs of the 21st century skilled workforce.

According to an article written in Forbes magazine, the 2016 Global Human Capital Trends Report noted that executives now consider “soft skills” as a key component to fostering employee retention, improving leadership, and building a meaningful culture. 92% of the executives surveyed rated “soft skills” as a critical priority in the hiring process. As previously mentioned, research conducted by Harvard University, the Carnegie Foundation, and Stanford Research Center have all concluded that 85% of job success comes from having well-developed soft and people skills, and only 15% of job success comes from technical skills and knowledge (hard skills). OIC of New London County, Incorporated has made continuous strides over the course of several years to

ensure that it develops a quality program that not only addresses the technical skills for employment success but also the personality traits required to obtain and retain employment.

As previously mentioned, Learning Academy is a five week employability skills program that focuses on “soft skills”. The program is structured where each week has a specific focus and students have the opportunity to explore their chosen career pathway (Health Occupations, Culinary Arts, or Construction and Manufacturing). Learning Academy students must commit to 5 weeks of “soft skills” training where they will also be able attain their nationally recognized industry credential. In addition, students receive basic computer skills training, job search techniques, interviewing skills, and an updated resume and cover letter. Since the main objective of the Learning Academy program is to ensure that students can demonstrate the ability to set career goals, communicate effectively, and provide excellent customer service the curriculum places an emphasis targeting the identified outcome as stated in the attached chart: *“Obtain employability skills to become productive workers to meet the needs of the 21st century skilled workforce”*.

E. Funding Questions

1. Leveraging of Funds

OIC of New London County, Incorporated has received \$2,000 from the Bodenwein Foundation in support of continuing the pilot program which was funded out of other grant funds received. OICNLC’s staff and Board of Directors are consistently focused on identifying opportunities for new programs and services as well as creative ways in which our organization can partner and collaborate with other agencies to stretch limited resources to meet ever-increasing needs.

2. Administration of the project without the amount of funds requested

Currently, the Learning Academy program is funded through a variety of sources which include United Way of Southeastern Connecticut, CT Department of Social Services, and CT Department of Labor. These funds are allocated to serve individuals residing in New London County. OIC of New London County also receives CDBG funding from the City of New London to provide vocational training to low-income, City of New London residents. Even though this is so, the organization is graciously requesting funds from the City of Norwich to train specifically Norwich residents who are low-income, are being educated through the City’s Adult Education system, and have language as a significant barrier to employment.

3. Reduce/Eliminate from Budget

Depending on the extent of the reductions, OIC would look to first eliminate items such as non-consumable training supplies, postage, contract services, etc. attempting to reduce any potential impact on the services provided to the clients. If the reductions are significant, OIC would seek to reduce the number of hours that it provides training services and possibly personnel changes would need to occur.

F. Other

1. Other Service Provider

Currently, there are no other service providers offering “soft skill” training leading to industry-recognized certifications in the City of Norwich. This will be a new collaborative initiative.

2. Continuation of funding

This will be OIC of New London County’s second application for CDBG funding from the City of New London. Therefore, if approved it will be a first time funded request for the organization.

ADDRESSING THE NATIONAL OBJECTIVE

Does your program:

- Address the needs of low- and/or moderate-income residents (see income chart below)? AND/OR
- Serve seniors; severely disabled adults; homeless; battered spouses; abused/neglected children and youth; illiterate adults; migrant farm workers, persons living with HIV/AIDS and persons who use food banks or meals programs.

FY 2019 Income Limits Summary									
FY 2019 Income Limit Area	FY 2019 Income Limit Category	Persons in Family							
		1	2	3	4	5	6	7	8
Norwich-New London, CT HUD Metro FMR Area	Very Low (50%) Income Limits	\$35,350.00	\$40,400.00	\$45,450.00	\$50,450.00	\$54,500.00	\$58,550.00	\$62,600.00	\$66,600.00
Median Family Income \$94,500	Extremely Low Income Limits	\$21,200.00	\$24,200.00	\$27,250.00	\$30,250.00	\$32,700.00	\$35,100.00	\$39,010.00	\$43,430.00
	Low (80%) Income Limits	\$52,850.00	\$60,400.00	\$67,950.00	\$75,500.00	\$81,550.00	\$87,600.00	\$93,650.00	\$99,700.00

OGAM BENEFICIARY OUTCOME STATISTICS:

Attach additional sheets for every outcome related to the funded program

STAFFING RESOURCES: Identify every person involved in the implementation and administration of the program. Use the chart below and additional sheets if necessary. Please refer to page 15 regarding Section 3 to determine if you are or will be a Section 3 concern. If you are/will meet Section 3 criteria, it will be mandatory for you to complete the attached Section 3 documentation.

Position/Title	Salary Range	CDBG Portion of Salary	Full-Time or Part-Time?	Hired As a Result of Funding? (Y/N)
Security Guard	\$3,370.80	\$3,370.80	Part-time	N
Career Developer	\$867.60	\$867.60	Part-time	N
Intake Specialist (2 Pos.)	\$489.60	\$489.60	Part-time	N
Administration	\$1,200	\$1,200	Part-time	N
Program Specialist (2 Pos.)	\$1,797.60	\$1,797.60	Part-time	N
Facilitators/Instructors	\$4,200	\$4,200	Part-time	N

B. PROGRAM SPECIFIC FINANCIAL DATA (PLEASE NOTE THIS HAS CHANGED)

SUPPORT & REVENUE	CDBG-Funded Portion	Non-CDBG Funded Portion	% of CDBG Funds used for Program
Program Fees			
Other grants/foundations (non-government)			
Donations			
CDBG	\$25,000		
General Fund			
State Government			
Federal Government			
Other Revenue (specify)			
TOTAL REVENUE			

EXPENSES	CDBG-Funded Portion	Non-CDBG Funded Portion	% of CDBG Funds used for Program
Salaries	\$11,925.60		
Employee Benefits	\$912.31		
Payroll Taxes	\$410.37		
Professional Services (incl. accounts and attorneys)			
General Operations & Supplies (incl. Overhead and Printing)	\$3,976.72		
Travel / Conferences	\$1,500		
Vehicle Expense			
Other Expenses (specify)			
Student Testing, Textbooks, Credentialing	\$6,275		
TOTAL EXPENSES	\$25,000		
BALANCE (total revenue less expenses)	\$0		

PART IV: SUPPLEMENTAL INFORMATION: All agencies (except City of Norwich Agencies) must submit all of the following documentation with their application whether or not you have previously received CDBG funds through the City of Norwich.

EXHIBIT 1 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.

Opportunities Industrialization Center of New London County, Incorporated
Part III: Budget Information- Agency Financial Data Fiscal Year 2019-2020

Income	Current Amount	Anticipated Funding FY 2021
Department of Social Services	\$ 104,532.00	\$ 209,550.00
Department of Labor	\$ 95,000.00	\$ 100,000.00
Court Support Services-FVEP	\$ 31,961.84	\$ 31,961.84
Eastern Workforce Investment Board	\$ 15,000.00	\$ 15,000.00
City of New London CDBG	\$ 15,450.00	\$ 20,000.00
United Way of Southeastern Connecticut	\$ 80,979.00	\$ 80,979.00
Program Service Fees	\$ 25,300.00	\$ 25,300.00
Rental Income	\$ 27,828.00	\$ 27,828.00
Foundation Grants	\$ 75,000.00	\$ 75,000.00
Donor Contributions	\$ 35,000.00	\$ 35,000.00
Special Events (Fundraising)	\$ 35,000.00	\$ 35,000.00
Total Income	\$ 541,050.84	\$ 655,618.84
Expenses	Amount	Amount
Advertising	\$ 937.12	\$ 1,547.12
Utilities	\$ 46,300.00	\$ 46,300.00
Building Maintenance	\$ 9,875.74	\$ 11,087.00
Grounds Maintenance	\$ 8,000.00	\$ 8,000.00
Salaries	\$ 330,441.40	\$ 383,991.96
Payroll Taxes	\$ 30,000.00	\$ 30,000.00
Payroll Processing	\$ 6,000.00	\$ 6,000.00
Employee Benefits	\$ 8,500.00	\$ 8,500.00
Mileage/Travel	\$ 500.00	\$ 3,000.00
Liability & Bonding	\$ 23,000.00	\$ 23,000.00
Directors & Officers	\$ 1,620.00	\$ 1,620.00
Workers Compensation	\$ 4,600.00	\$ 4,600.00
Student Testing/Credentialing	\$ 12,388.82	\$ 17,085.00
Student Training Supplies	\$ 1,500.00	\$ 4,500.00
Student Training Uniforms	\$ 1,500.00	\$ 3,000.00
Technology	\$ 13,000.00	\$ 16,500.00
Legal/Audit	\$ 9,000.00	\$ 15,000.00
Rental Equipment	\$ 10,000.00	\$ 10,000.00
Membership Fees	\$ 1,714.00	\$ 1,714.00
Office Supplies	\$ 2,000.00	\$ 35,000.00
C-PACE Loan	\$ 13,693.76	\$ 13,693.76
Mortgage	\$ 6,480.00	\$ 6,480.00
Fundraising	\$ -	\$ 5,000.00
Total Expense	\$ 541,050.84	\$ 655,618.84

OIC of New London County, Incorporated
City of Norwich CDBG PY46 Grant Application

EXHIBIT #1

OICNLC's fiscal year runs from July 1st through June 30th. The organization uses an accrual system of accounting and the President is responsible to the Board of Directors for implementing policy and providing oversight to the agency's programs, services, staff, and facilities. OICNLC's President/CEO and Bookkeeper provides the day to day management of OICNLC's income and expenses, reviews all transactions, reconciles accounts, and prepares reports for the Treasurer, Finance Committee, and Board of Directors on a monthly basis. All staff who are responsible for handling financial records and cash are bonded.

All fiscal records and records of service delivery are maintained at 106 Truman Street, New London, CT in secure locations for at least seven years to comply with program/funding regulations. In compliance with the Single Audit Act, a Certified Public Accountant is hired annually to perform an independent audit that includes federal and state grants. In keeping with the State of Connecticut OPM guidelines, OICNLC adopted a cost allocation system that outlines its process for allocating all expenses and income across its programs. This policy is reviewed regularly and revised as recommended by the Finance Committee or the Auditor.

OIC's Board of Directors have approved "Financial-Accounting Standards" that are reviewed annually and revised as necessary. Items included in these standards are: the annual budget process, accounts receivable, accounts payables, internal controls, and check signature controls to name a few. The OICNLC Audit Committee is responsible for contracting with independent auditors each year and managing the audit and tax filings.

***Audited Financial Statements
and Supplementary Information***

*Opportunities Industrialization Center
of New London County, Inc.*

Years ended June 30, 2018 and 2017

Opportunities Industrialization Center of New London County, Inc.

Audited Financial Statements and Supplementary Information

Years ended June 30, 2018 and 2017

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Independent Auditors' Report

To the Board of Directors
Opportunities Industrialization Center of New London County, Inc.

We have audited the accompanying financial statements of Opportunities Industrialization Center of New London County, Inc. (the Organization), which comprise the statement of financial position as of June 30, 2018 and 2017, and the related statements of activities, functional expenses and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

Auditors' Responsibility

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

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

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

Independent Auditors' Report (continued)

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Opportunities Industrialization Center of New London County, Inc. as of June 30, 2018 or 2017, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Report on Summarized Comparative Information

We have previously audited the Opportunities Industrialization Center of New London County, Inc. financial statements for the year ended June 30, 2017, and we expressed an unmodified audit opinion on those audited financial statements in our report dated April 26, 2018. In our opinion, the summarized comparative information presented herein as of and for the year ended June 30, 2017, is consistent, in all material respects, with the audited financial statements from which it has been derived.

Emphasis of Matter Regarding Going Concern

The accompanying financial statements have been prepared assuming that the Organization will continue as a going concern. As shown in the financial statements and discussed in Note 2, the Organization incurred a net loss of \$51,732 during the year ended December 31, 2018 and has limited liquid assets which raises substantial doubt about the Organization's ability to continue as a going concern. Management's evaluation of the events and conditions and management's plans regarding these matters are also described in Note 2. The financial statements do not include any adjustments that might result from the outcome of this uncertainty. Our opinion is not modified with respect to that matter.

Report on Supplementary Information

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The Schedule of Federal, State and Local Grants is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Fiondella, Milone & LaSarcina LLP

Glastonbury, Connecticut
July 10, 2019

Opportunities Industrialization Center of New London County, Inc.

Statements of Financial Position

	Year Ended June 30,	
	2018	2017
Assets		
Current assets		
Cash and cash equivalents	\$ 50,370	\$ 85,249
Grants and other receivables	37,177	29,362
Prepaid expenses and other current assets	1,612	1,480
Total current assets	<u>89,159</u>	<u>116,091</u>
Property and equipment, net of accumulated depreciation	<u>363,362</u>	<u>367,912</u>
Total assets	<u><u>\$ 452,521</u></u>	<u><u>\$ 484,003</u></u>
Liabilities and net assets		
Current liabilities		
Accounts payable	\$ 41,879	\$ 10,258
Accrued payroll and benefits	15,353	14,626
Accrued expenses and other current liabilities	8,259	5,356
Long-term debt, current portion	10,626	10,042
Deferred revenue	-	5,667
Total current liabilities	<u>76,117</u>	<u>45,949</u>
Long-term debt, net of current portion and net of deferred financing costs	<u>171,226</u>	<u>181,144</u>
Total liabilities	<u>247,343</u>	<u>227,093</u>
Net assets:		
Without donor restrictions	155,154	187,204
With donor restrictions	50,024	69,706
Total net assets	<u>205,178</u>	<u>256,910</u>
Total liabilities and net assets	<u><u>\$ 452,521</u></u>	<u><u>\$ 484,003</u></u>

See accompanying notes.

Opportunities Industrialization Center of New London County, Inc.

Statements of Activities and Changes in Net Assets

Year Ended June 30, 2018 and Comparative Year Ended June 30, 2017

	Net Assets Without Restrictions	Net Assets With Restrictions	2018	2017
Public support and revenue:				
Federal and state grants	\$ 217,199	\$ -	\$ 217,199	\$ 233,525
Local grants	190,875	-	190,875	301,004
Contributions	30,815	19,625	50,440	30,000
Training and client fees	27,542	-	27,542	19,821
Rental income	26,900	-	26,900	25,033
Other	2,223	-	2,223	5,104
Release from restricted net assets	39,307	(39,307)	-	-
Total public support and revenue	<u>534,861</u>	<u>(19,682)</u>	<u>515,179</u>	<u>614,487</u>
Expenses:				
Program services:				
Case management	30,306	-	30,306	-
Employment training	78,531	-	78,531	101,919
Certified nurses assistant	97,017	-	97,017	140,020
Culinary arts	49,113	-	49,113	71,425
Project employment	60,957	-	60,957	79,576
Stopping domestic violence	113,065	-	113,065	136,956
Voices for families	518	-	518	18,093
Supporting services:				
Administrative and general	137,404	-	137,404	93,845
Total expenses	<u>566,911</u>	<u>-</u>	<u>566,911</u>	<u>641,834</u>
Change in net assets	(32,050)	(19,682)	(51,732)	(27,347)
Net assets at beginning of year	187,204	69,706	256,910	284,247
Net assets at end of year	<u>\$ 155,154</u>	<u>\$ 50,024</u>	<u>\$ 205,178</u>	<u>\$ 256,900</u>

See accompanying notes.

Opportunities Industrialization Center of New London County, Inc

Statements of Functional Expenses

Year Ended June 30, 2018

	Program Services							Supporting Services	
	Case Management	Employment Training	Certified Nursing Assistant	Culinary Arts	Project Employment	Stopping Domestic Violence	Voices for Families	Administrative & General	Total
Salaries	\$ 11,272	\$ 45,481	\$ 58,195	\$ 15,503	\$ 26,460	\$ 93,012	\$ 348	\$ 54,632	\$ 304,903
Occupancy	2,523	5,446	5,293	11,762	5,876	3,059	-	10,326	44,285
Insurance	2,922	2,749	2,792	1,447	2,966	1,765	-	28,439	43,080
Payroll taxes	2,586	5,582	5,670	2,939	6,023	3,584	-	2,997	29,381
Contracted service fees	2,010	3,769	3,826	1,962	4,033	2,410	-	9,567	27,577
Rental and maintenance of equipment	1,999	4,318	4,386	2,273	4,659	2,773	-	2,845	23,253
Employee benefits	2,643	455	462	240	492	292	-	7,911	12,495
Interest expense	-	-	-	-	-	-	-	11,338	11,338
Special assistance to individuals	56	1,246	4,103	3,194	-	-	-	333	8,932
Miscellaneous	137	297	-	4,244	448	267	-	2,260	7,653
Office supplies	448	1,021	1,038	552	1,088	656	-	647	5,450
Student and training supplies	16	50	3,101	798	143	22	170	412	4,712
Telephone	275	594	603	313	641	381	-	319	3,126
Travel local and in-state	96	200	210	109	226	144	-	235	1,220
Advertising	1	149	2	1	161	95	-	655	1,064
Postage and shipping	62	134	186	71	144	86	-	96	779
Dues to national organization	-	-	-	-	-	-	-	614	614
Conference, convention and training	-	-	-	-	-	-	-	30	299
Expenses before depreciation	26	57	57	30	63	36	-	-	-
Depreciation	27,072	71,548	89,924	45,438	53,423	108,582	518	133,656	530,161
Total expenses	\$ 3,234	\$ 6,983	\$ 7,093	\$ 3,675	\$ 7,534	\$ 4,483	\$ -	\$ 3,748	\$ 36,750
	\$ 30,306	\$ 78,591	\$ 97,017	\$ 49,113	\$ 60,957	\$ 113,065	\$ 518	\$ 137,404	\$ 566,911

See accompanying notes.

Opportunities Industrialization Center of New London County, Inc

Statements of Cash Flows

	Year Ended June 30,	
	2018	2017
Cash flows from operating activities		
Change in net assets	\$ (51,732)	\$ (27,347)
Adjustments to reconcile change in unrestricted net assets to net cash provided by operating activities:		
Depreciation	36,750	36,467
Non-cash interest expense	143	142
Changes in assets and liabilities:		
Grant and other receivables	(7,815)	22,757
Prepaid expenses	(132)	221
Accounts payable	31,621	3,011
Accrued payroll and benefits	727	2,950
Accrued expenses and other current liabilities	2,903	4,134
Deferred revenue	(5,667)	(22,666)
Net cash provided by operating activities	<u>6,798</u>	<u>19,669</u>
Cash flows from investing activities		
Capital expenditures	(32,200)	(3,663)
Net cash used for investing activities	<u>(32,200)</u>	<u>(3,663)</u>
Cash flows from financing activities:		
Repayment of long-term debt	(9,477)	(9,432)
Net cash used for financing activities	<u>(9,477)</u>	<u>(9,432)</u>
Net change in cash for the year	<u>(34,879)</u>	<u>6,574</u>
Cash and cash equivalents at beginning of year	<u>85,249</u>	<u>78,675</u>
Cash and cash equivalents at end of year	<u>\$ 50,370</u>	<u>\$ 85,249</u>
Supplemental disclosure of cash flow information:		
Cash paid during the year for interest	\$ 11,195	\$ 10,428

See accompanying notes.

Opportunities Industrialization Center of New London County, Inc.
Notes to Financial Statements

Years ended June 30, 2018 and 2017

1. Nature of Activities

Opportunities Industrialization Center of New London County, Inc. (the Organization) is a non-profit organization, which has been serving the residents of southeastern Connecticut since 1970. The Organization's program services consist of the following:

Case management- provides overall guidance and career counseling to program participants who are seeking employment in their trained career pathway.

Employment training - program provides a reinforcement of core skills in preparation for successful employment.

Certified nursing assistant - program is a certificate program with job-specific instruction and clinical procedures.

Culinary arts - program is a certificate program for food handling and developing competencies for employment in the food service industry.

Project employment - program provides support to clients with a criminal history focusing on job training and job search efforts.

Stopping domestic violence - program provides therapy to change behaviors of clients who batter.

2. Going Concern

The Organization has experienced declines in grant revenues and has had recurring net losses along with limited cash flows available throughout the year which raises substantial doubt about its ability to continue as a going concern. Management and the Board of Directors have established a plan to cut expenses and obtain additional grant funding and other sources of revenues. Management believes its plan will be sufficient to fund the Organization's operating needs into fiscal year 2020, however there is no guarantee the Organization will be able to obtain additional funds. The financial statements have not been adjusted based on the going concern opinion.

Opportunities Industrialization Center of New London County, Inc.
Notes to Financial Statements (continued)

3. Summary of Significant Accounting Policies

Basis of Presentation

The accompanying financial statements have been prepared on the accrual basis of accounting. The Organization reports information regarding its financial position and activities according to two classes of net assets: without donor restrictions and with donor restrictions. They are described as follows:

Without Donor Restrictions – Net assets that are not subject to donor-imposed restrictions. These funds are available for general operating purposes and/or to use at the discretion of the Board of Directors. From time to time the Board may designate a portion of these net assets for specific purposes which makes them unavailable for general use by Management. At June 30, 2018 and 2017 there are no board designated net assets.

With Donor Restrictions - Net assets whose use is limited by donor-imposed, time and/or purpose restrictions. Some net assets with donor restrictions include a stipulation that assets provided be maintained permanently (perpetual in nature) while permitting the Organization to expend the income generated by the assets in accordance with the provision of additional donor imposed stipulations or a board approved spending policy. At June 30, 2018 and 2017, there are no donor restricted net assets required to be maintained in perpetuity, and there are \$50,024 and \$69,706 of donor restricted net assets whose use is restricted for kitchen renovations.

Recently Adopted Accounting Pronouncement

The Organization has adopted Financial Accounting Standards Board (FASB) Accounting Standards Update (ASU) 2016-14, *Not-For-Profit Entities* (Topic 958), *Presentation of Financial Statements of Not-for-Profit Entities*. This guidance is intended to improve the net asset classification requirements and the information presented in the financial statements and notes about a not-for-profit entity's liquidity, financial performance and cash flows. The main provisions of this guidance include the presentation of two classes of net assets rather than three, and enhancement of disclosures regarding board designations, appropriations, and certain qualitative information.

A recap of the net asset reclassifications driven by the adoption of ASU 2016-14 as of June 30, 2017 is as follows:

	Without Donor Restrictions	With Donor Restrictions	Total Net Assets
As previously stated			
Unrestricted	\$ 187,204	\$ -	\$ 187,204
Temporarily restricted	-	69,706	69,706
Net assets as currently stated	\$ 187,204	\$ 69,706	\$ 256,910

Opportunities Industrialization Center of New London County, Inc.
Notes to Financial Statements (continued)

3. Summary of Significant Accounting Policies (continued)

Cash and Cash Equivalents

For purposes of the statement of cash flows, cash and cash equivalents include all highly-liquid debt instruments purchased with an original maturity of three months or less. There are no cash equivalent balances for the year-ending June 30, 2018 or 2017.

Grants and Other Receivables

Grants and other receivables are stated net of an allowance for doubtful accounts, which approximates those assets fair value. Allowances for grants and other receivables are determined by management based on an assessment of their collectability. Management considers past history, current economic conditions and overall viability of the third party. Receivables are written off only when management believes amounts will not be collected. Based on this assessment, management considers grants and other receivables to be fully collectible; accordingly, no allowance for doubtful accounts has been recorded at June 30, 2018 or 2017.

Property and Equipment

The Organization capitalizes expenditures for furniture, office equipment, computers and purchased software that are in excess of \$1,000. Fixed assets are recorded at cost. Donations of property and equipment are recorded as support at their estimated fair value. Depreciation of property and equipment is calculated using the straight-line method over the estimated useful lives of the related assets. Expenditures for maintenance and repairs are charged to expense as incurred. The estimated useful lives of the Organization's assets are as follows:

Building.....	40 years
Furniture and equipment.....	5-10 years
Building improvements.....	14-20 years

Deferred Financing Costs

Deferred financing costs, net of accumulated amortization, are reported as a direct deduction from the face amount of the long term notes to which such costs relate. Amortization of deferred financing costs is reported as a component of interest expense and is computed using an imputed interest rate on the related loan.

Revenue Recognition

Revenues are reported as increases in net assets without restrictions unless use of the related asset is limited by donor-imposed restrictions. Donor-imposed contributions whose restrictions are met in the same reporting period are reported as support without donor restrictions in the statements of activities.

Opportunities Industrialization Center of New London County, Inc.
Notes to Financial Statements (continued)

3. Summary of Significant Accounting Policies (continued)

Revenue Recognition (continued)

Grants and Contracts - Grants and contracts are generally considered to be exchange transactions in which the grantor or contractor requires the performance of specified activities. Entitlement to cost reimbursement grants and contracts is conditioned on the expenditure of funds in accordance with grant restrictions and, therefore, support is recognized to the extent of grant expenditures. Entitlement to performance based grants and contracts are conditioned to the attainment of specific performance goals and, therefore, support is recognized to the extent of performance achieved. Grant and contract receipts in excess of support recognized are presented as deferred revenue.

Contributions - Contributions are defined as voluntary, non-reciprocal transfers. In accordance with the recommendations of ASC 958, *Not-for-profit Entities*, unrestricted and unconditional contributions are recognized as support when received or pledged, if applicable. Contributions are reported restricted support if they are received with donor stipulations that limit the use of such assets. When a restriction expires, that is, when a stipulated time restriction ends or purpose restriction is accomplished, net assets with donor restrictions are reclassified to net assets without donor restrictions and reported in the statement of activities as net assets released from restrictions.

Donated Assets - Donated assets (including the usage of assets such as rent) are recognized at their estimated fair market value. The Organization reports gifts of land, buildings, and equipment as unrestricted support unless explicit donor stipulations specify how the donated assets must be used. Gifts of long-lived assets with explicit restrictions that specify how the assets are to be used and gifts of cash or other assets that must be used to acquire long-lived assets are reported as net assets with donor restricted support. Absent explicit donor stipulations about how long-lived assets must be maintained, the Organization reports expirations of donor restrictions in full when the donated or acquired long-lived assets are placed in service.

Donated Materials, Equipment and Services

Donated materials and equipment are reflected as contributions in the accompanying statements at their estimated values at date of receipt. Donated services are reflected as contributions at their estimated values if they create or enhance nonfinancial assets or require specialized skills and would typically be purchased if not provided by donation. No amounts have been reflected in the statements for other donated services because they do not meet the criteria for recognition or there is no objective basis is available to measure the value of such services.

Opportunities Industrialization Center of New London County, Inc.
Notes to Financial Statements (continued)

3. Summary of Significant Accounting Policies (continued)

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual amounts could differ from those estimates.

4. Property and Equipment

Property and equipment are summarized as follows:

	June 30,	
	2018	2017
Building and improvements	\$ 607,971	\$ 575,771
Land	10,719	10,719
Office furniture and equipment	262,163	262,163
	880,853	848,653
Accumulated depreciation	(517,491)	(480,741)
Net property and equipment	\$ 363,362	\$ 367,912

Depreciation expense amounted to \$36,750 and \$36,467 for the years ended June 30, 2018 and 2017, respectively.

5. Long-Term Debt

During the year ended June 30, 2013 the Organization entered into a 20 year mortgage for \$80,000 which was used to purchase the administrative office and program facilities at 106 Truman Street, New London, Connecticut. The mortgage note bears an interest rate of 5% per annum on the unpaid principal balance and is subject to adjustment every 5 years at a rate of 3.25% over the Federal Home Loan of Boston's 5-year classic advance rate. Interest expense on the mortgage was \$3,401 and \$3,357 for the years ended June 30, 2018 and 2017, respectively. The total outstanding principal balance on the mortgage as of June 30, 2018 and 2017 was \$67,049 and \$69,743, respectively. Deferred financing, net of accumulated amortization, totaled \$2,152 and \$2,295 as of June 30, 2018 and 2017, respectively, and are related to the mortgage. Deferred financing costs are shown net of long term debt on the statement of financial position.

Opportunities Industrialization Center of New London County, Inc.
Notes to Financial Statements (continued)

5. Long-Term Debt (continued)

During the year ended June 30, 2015, the Organization entered into a financing agreement to renovate and retrofit the administrative office and program facilities at 106 Truman Street, New London, Connecticut with the primary purpose of reducing energy consumption and installing renewable energy systems. The total amount borrowed under the financing agreement was \$127,386. The financing agreement requires the Organization to repay the funds borrowed over a term of 14 years, bearing an interest rate of 5.40% per annum on the unpaid principal balance, with semiannual payments commencing in January of 2016. Under the terms of the financing agreement a benefit assessment lien has been placed on the administrative office and program facilities of the Company. Interest expense for the years ended June 30, 2018 and 2017 was \$7,018 and \$7,071, respectively. The total outstanding principal balance, which includes capitalized interest and fees of \$6,631, as of June 30, 2018 and 2017, was \$116,955 and \$123,738, respectively.

Future maturities of long-term debt at June 30, are as follows:

2019	\$	10,626
2020		11,201
2021		11,793
2022		12,449
Thereafter		<u>137,935</u>
		184,004
Less: deferred financing net		<u>(2,152)</u>
Total	\$	<u><u>181,852</u></u>

6. Income Tax Status

The Organization has received an exemption from the Internal Revenue Service (IRS) from federal income taxes under Section 501(c)(3) of the Internal Revenue Code. The Organization is required to make the appropriate tax payments on any income considered unrelated to its exempt purpose. The Organization files Form 990, *Return of Organization Exempt from Income Tax*, which is subject to examination by the IRS until the applicable statute of limitation expires. The Organization is no longer subject to review for years ended prior to June 30, 2014.

7. Concentrations and Risks

Credit Risk

The Organization maintains its cash and cash equivalents in financial institution accounts that, at times during the year, may exceed federally insured limits. The cash balances in the financial institutions are insured by the Federal Deposit Insurance Corporation (FDIC) up to \$250,000, at June 30, 2018 and 2017.

Opportunities Industrialization Center of New London County, Inc.
Notes to Financial Statements (continued)

7. Concentrations and Risks (continued)

Source of Revenue

During the years ended June 30, 2018 and 2017, the Organization received approximately 43% and 38%, respectively, of its revenue from federal and state grants and 79% and 87% respectively, of all revenues from federal, state and local sources. The loss of these revenue sources would have a material adverse effect on the Organization. All such revenue is for specific purposes and is subject to review and audit by grantor agencies. Such audits could lead to requests for reimbursement to the grantor agency for any expenditure disallowed under the terms of the grant. Management believes no such disallowances will occur.

8. Commitments and Contingencies

From time to time, the Organization may be involved in various litigation matters, which arise in the ordinary course of business. There is currently no litigation that management believes will have a material impact on the financial position of the Organization.

9. Rental Income

The Organization also leased office space in their main facility in New London, Connecticut to various unrelated non-profit organizations on a daily or monthly basis. Total rental income amounted to \$26,900 and \$25,033 for the years ended June 30, 2018 and 2017, respectively.

10. Defined Contribution Plan

The Organization has a defined contribution salary deferral plan covering all full-time employees. The benefit plan funds are invested in mutual funds purchased from New England Funds. There were no contributions during the years ended June 30, 2018 and 2017.

11. Information About Liquidity

The operations and programs of the Organization are primarily funded through annual grants and contributions. The revenues allow the Organization to provide mission-related services while maintaining a positive working capital position, however because the resources are annual there are limited resources for future years. New grants have been contracted for the year ending June 30, 2019.

Opportunities Industrialization Center of New London County, Inc.
Notes to Financial Statements (continued)

12. Availability of Financial Assets

The following reflects the Organization's financial assets as of the financial position date, reduced by amounts not available for general use within one year of the financial position date because of contractual or donor imposed restrictions or internal designations.

	<u>2018</u>
Financial assets:	
Cash and cash equivalents	\$ 50,370
Grants and other receivables	<u>37,177</u>
	<u>87,547</u>
Less:	
Amounts unavailable for management:	
Funds subject to donor restrictions	<u>50,024</u>
	<u>50,024</u>
Total financial assets available within one year	<u>\$ 37,523</u>

13. Subsequent Events

The Organization has evaluated events occurring between June 30, 2018 and July 10, 2019, the date the financial statements were available to be issued.

Supplementary Information

Opportunities Industrialization Center of New London County, Inc.

Schedule of Federal, State and Local Grants

For the Year Ended June 30, 2018

Federal Grants

Department	Program	Revenues
City of New London - Community Development Block Grant	Job Training	\$ 6,250
Total Federal Grants		\$ 6,250

State Grants

Department	Program	Revenues
Connecticut Judicial Branch	Domestic Violence Administration	\$ 15,821
Connecticut Department of Labor	CNA Adult	10,996
Connecticut Department of Labor	Culinary Arts	35,503
Connecticut Department of Labor	Job Training	27,558
Connecticut Department of Social Services	CNA Adult	20,943
Connecticut Department of Social Services	Culinary Arts	27,300
Connecticut Department of Social Services	Job Training	12,350
Connecticut Department of Social Services	Job Training	25,480
Connecticut Department of Social Services	Administration	24,903
State Education Resource Center of Connecticut	Voices for Families	10,095
Total State Grants		\$ 210,949

Local Grants

Agency	Program	Revenues
United Way	CNA Adult	\$ 35,954
United Way	Culinary Arts	17,010
United Way	Job Training	61,805
United Way	Domestic Violence	19,298
United Way	Project Employment	19,499
United Way	Administration	915
EWIB	Job Training	5,600
Liberty Bank Foundation	Culinary Arts	5,000
Community Foundation	Domestic Violence	10,000
Peoples United Bank Foundation	Job Training	5,000
Bodenwein Foundation	Job Training	3,000
Chelsea Groton Bank	CNA Adult	1,250
Chelsea Groton Bank	Culinary Arts	1,250
Chelsea Groton Bank	Job Training	2,750
Chelsea Groton Bank	Construction	1,250
Charter Oak Credit Union	Job Training	1,294
Total Local Grants		\$ 190,875

See Independent Auditors' Report

OIC of New London County, Incorporated
CDBG Grant Proposal 20 20

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.
OIC of New London County, Incorporated has liability insurance coverage brokered through CDR Insurance Group, Waterbury, CT 06705 in the amount of \$1,000,000.

- State whether or not the agency pays all payroll taxes and worker's compensation as required by Federal and State Law.
OIC of New London County, Incorporated 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.
OIC of New London County, Incorporated does not have fidelity bond coverage for principle who handle the agency's accounts.

- Provide a copy of a current insurance certificate, not a policy.



CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)
3/11/2020

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 OWNED BY THE INSURED. 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		CONTACT NAME:	
CDR INSURANCE GROUP INC 211 SCHRAFFTS DR		PHONE (A/C, No, Ext): 203-754-3156	FAX (A/C, No):
WATERBURY CT 06705-3247		E-MAIL ADDRESS:	
		INSURER(S) AFFORDING COVERAGE	
		INSURER A: SELECTIVE INS CO OF AMERICA	
		INSURER B:	
		INSURER C:	
		INSURER D:	
		INSURER E:	
		INSURER F:	
		NAIC # 12572	

COVERAGES **CERTIFICATE NUMBER:** **REVISION NUMBER:**

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

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY	<input checked="" type="checkbox"/>		S 2394327	9/12/2019	9/12/2020	EACH OCCURRENCE	\$ 1,000,000
	<input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR						DAMAGE TO RENTED PREMISES (Ea occurrence)	\$ 1000,000
							MED EXP (Any one person)	\$ 20,000
							PERSONAL & ADV INJURY	\$ 1,000,000
	GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input checked="" type="checkbox"/> LOC						GENERAL AGGREGATE	\$ 2,000,000
	OTHER:						PRODUCTS - COMP/OP AGG	\$ 2,000,000
	<input type="checkbox"/> AUTOMOBILE LIABILITY						COMBINED SINGLE LIMIT (Ea accident)	\$
	<input type="checkbox"/> ANY AUTO OWNED AUTOS ONLY						BODILY INJURY (Per person)	\$
	<input type="checkbox"/> HIRED AUTOS ONLY						BODILY INJURY (Per accident)	\$
	<input type="checkbox"/> SCHEDULED AUTOS NON-OWNED AUTOS ONLY						PROPERTY DAMAGE (Per accident)	\$
	<input type="checkbox"/> UMBRELLA LIAB						EACH OCCURRENCE	\$
	<input type="checkbox"/> EXCESS LIAB						AGGREGATE	\$
	<input type="checkbox"/> DED <input type="checkbox"/> RETENTION \$							\$
	<input type="checkbox"/> WORKERS COMPENSATION AND EMPLOYERS' LIABILITY						<input type="checkbox"/> PER STATUTE <input type="checkbox"/> OTH-ER	
	<input type="checkbox"/> ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH)						E.L. EACH ACCIDENT	\$
	<input type="checkbox"/> If yes, describe under DESCRIPTION OF OPERATIONS below						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)

This Certificate of Liability Insurance was created by Selective on behalf of the agent.

City of Norwich is included as additional insured with respect to General Liability as required by written contract or agreement.

CERTIFICATE HOLDER	CANCELLATION
City of Norwich 23 Union Street 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 <i>Red C. [Signature]</i>

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AGENCY CUSTOMER ID: _____

LOC #: _____



ADDITIONAL REMARKS SCHEDULE

Page 2 of

AGENCY CDR INSURANCE GROUP INC		NAMED INSURED OPPORTUNITIES INDUSTRIALIZATION CENTER OF 106 TRUMAN ST	
POLICY NUMBER S 2394327		NEW LONDON CT 06320-5680	
CARRIER SELECTIVE INS CO OF AMERICA	NAIC CODE 12572	EFFECTIVE DATE: 9/12/2019	

ADDITIONAL REMARKS

THIS ADDITIONAL REMARKS FORM IS A SCHEDULE TO ACORD FORM,
FORM NUMBER: ACORD 25 FORM TITLE: CERTIFICATE OF LIABILITY INSURANCE

JOB #

JOB LOCATION



Department of the Treasury
Internal Revenue Service
P.O. Box 2508
Cincinnati, OH 45201

In reply refer to: 0248226132
May 01, 2008 LTR 4168C E0
23-7066023 000000 00 000
00016486
BODC: TE

Attachment #6

OIC OF NEW LONDON COUNTY
106 TRUMAN ST
NEW LONDON CT 06320-5632



11158

Employer Identification Number: 23-7066023
Person to Contact: John Kennedy
Toll Free Telephone Number: 1-877-829-5500

Dear Taxpayer:

This is in response to your request of Apr. 22, 2008, regarding your tax-exempt status.

Our records indicate that a determination letter was issued in April 1970, that recognized you as exempt from Federal income tax, and discloses that you are currently exempt under section 501(c)(3) of the Internal Revenue Code.

Our records also indicate you are not a private foundation within the meaning of section 509(a) of the Code because you are described in section(s) 509(a)(1) and 170(b)(1)(A)(vi).

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

If you have any questions, please call us at the telephone number shown in the heading of this letter.

Sincerely yours,

Michele M. Sullivan, Oper. Mgr.
Accounts Management Operations I

Opportunities Industrialization Center of New London County, Incorporated
BOARD OF DIRECTORS LIST

Officers

Christina Ann Nocito (2020) – Chairperson

25 Walden Avenue
New London, CT 06320
860-705-2179
cnocito0196@att.net
Chelsea Groton Bank

Priscilla Melecio (2020)- Vice Chairperson

308 Ocean Avenue
New London, CT 06320
860-460-7427
pmelecio@ymail.com
City of New London Youth Services Bureau

Ralph Hightower, M.B.A (2021) – Treasurer

1-O Lakeside Drive
Ledyard, CT 06339
860-460-5599
ralph.hightower1970@gmail.com
Retired, Senior Human Resource Generalist

Beth A. Hogan (2021)- Secretary

10 Wildwood Drive
Niantic, CT 06357
860-418-9116/860-739-3617 (H)
bethhogan1214@gmail.com
Project Manager, The Connection

Members:

Kevin Booker, Jr (2020)

234 Nautilus Drive, 106
New London, CT 06320
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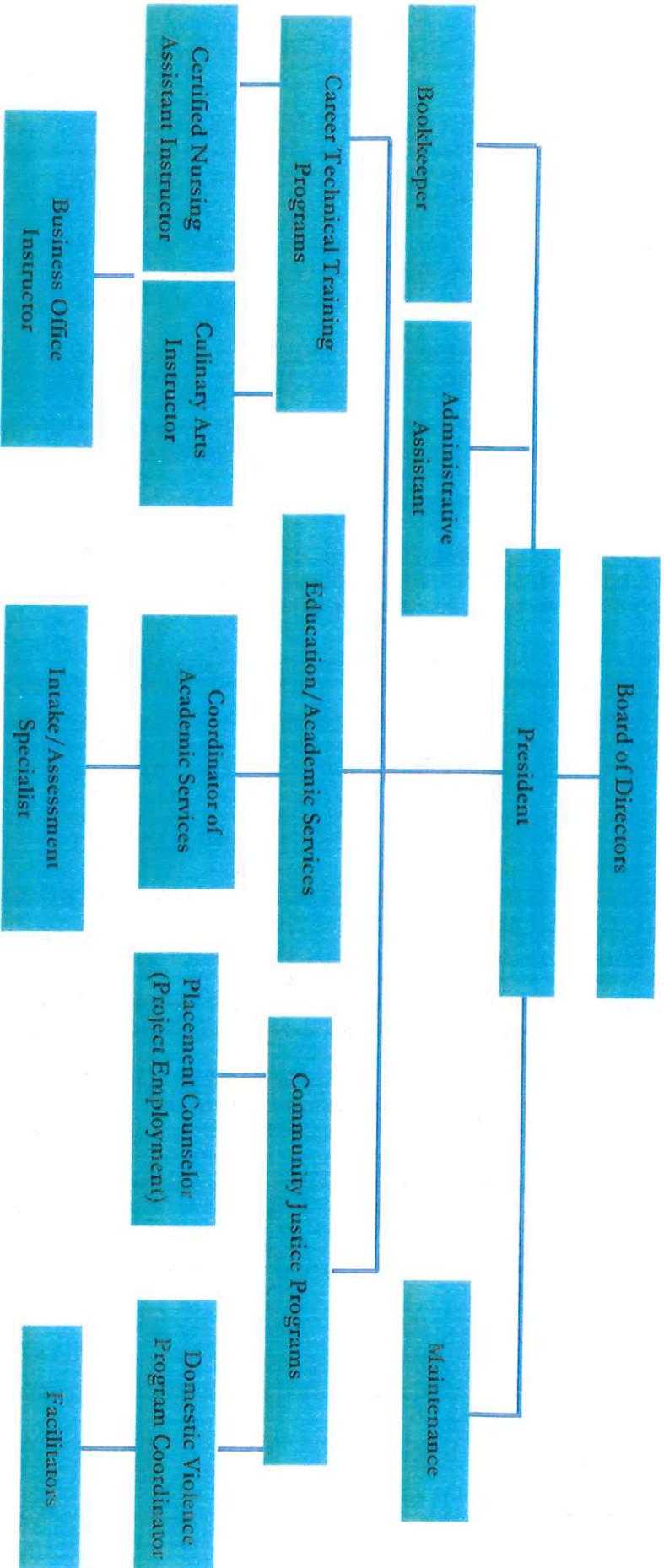
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Opportunities Industrialization Center of New London County, Incorporated
Organizational Chart



Qualifications Summary:

Administrative professional experienced in working in the field of social services specializing in workforce development for approximately twelve years. Committed to superior customer service with a strong managerial focus on delivering services effectively and efficiently. Seeking to obtain employment that will allow me to continue to contribute to the overall mission and vision of an organization that fosters personal and professional growth and development.

Experience Highlights:**Management & Supervision (6 years-100% full time commitment)**

- Responsible for the administrative and supervisory oversight of vocational programs within the states of New York and Connecticut.
- Managed employment services provided to targeted populations which include youth, adults, individuals with co-occurring disorders, criminal justice offenders, WIA special population groups, and individuals with mental, emotional, physical, and learning disabilities.
- Tracked employment outcomes and information on individual consumers and analyzed on-going placement data.
- Established and collaborated with state agencies, other non-profits, and businesses to promote employment opportunities and services for targeted populations.
- Marketed program offerings and services of various agencies to the general public to maintain program and agency consumer capacity.
- Analyzed information from interviews, educational and medical records, consultation with other professionals, and diagnostic evaluations to assess clients' abilities, needs, and eligibility for services.
- Ensured that agencies maintained and kept abreast of its placement and outreach quotas on a monthly basis to ensure contract compliance.

Career Services & Employability Training (6 years-100% full time commitment)**Job Development (35 Hours per week for 4 years)**

- Maintained caseloads of consumers (varied between 10-65 consumers on a caseload) to assist them with obtaining full-time and part-time competitive employment within the community as a full-time job developer.
- Responsible for ensuring that placed consumers remained in employment for approximately one year after separation from the program by performing follow-up services such as phone calls, case management sessions, and meetings with employers.
- Met with local employers to develop employment opportunities for consumers to ensure that opportunities were available.
- Conducted on-site and off-site job coaching to ensure that adults with disabilities and part-time youth workers were appropriately acclimated to their work environment.
- Maintained close contact with clients during job training and placements to resolve problems and evaluate placement adequacy.

Case Management (35 Hours per week for 1 year)

- Worked in collaboration with other departments to ensure that students/consumers identified as having a learning disability were placed in appropriate work settings conducive to their needs.
- Developed Personal Career Readiness Plans that fit clients' aptitudes, education levels, physical abilities, and career goals.
- Arranged for physical, mental, academic, vocational, and other evaluations to obtain information for assessing clients' needs and developing employment plans.
- Identified barriers to client employment such as inaccessible work sites, inflexible schedules, and transportation problems and worked with clients to develop strategies for overcoming these barriers.
- Maintained regular contact with external agency representatives, including referral sources, service authorization contacts, and ancillary service providers.
- Responsible for working collaboratively with medical, psychiatric, and vocational staff to arrange for appropriate services.
- Provided clinical services (i.e. individual, group, and family counseling) as directed and as credentialed and appropriately supervised.
- Conducted monthly chart reviews, secured relevant releases of information, and completed paperwork and documentation of changes as they occurred.

Vocational Instructor (35 Hours per week for 1 year)

- Supervised and monitored students' use of tools and equipment.
- Observed and evaluated students' work to determine progress, provide feedback, and make suggestions for improvement.
- Determined training needs of students or workers.
- Administered oral, written, or performance tests to measure progress and to evaluate training effectiveness.
- Conduct on-the-job training classes or training sessions to teach and demonstrate principles, techniques, procedures, or methods of designated subjects.
- Integrated academic and vocational curricula so that students can obtain a variety of skills.
- Developed curricula and plan course content and methods of instruction.

Nekeisha A. Grant

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nekeishajones@yahoo.com

Employment History:

- 12-10/13 **BHcare**
Program Manager, Branford, CT
- 05/07-07/12 **New Haven Job Corps Center**
OA/CTS Manager, New Haven, CT
- 12/05-05/06 **APT Foundation/DAYTOP**
Care Manager, Bridgeport, CT
- 05/00-12/05 **New York Bilingual Institute**
Various Positions Held (Job Developer, Case Manager, Vocational Instructor, etc.), New York, NY

Education & Training:

Metropolitan College of New York (9/02-9/03- One Year Accelerated Program)
Master in Business Administration in General Management

Virginia State University (9/96-5/00)
Bachelor of Science in Psychology

Skills:

Microsoft Office Applications (Word, Access, PowerPoint, Excel)
Research Capabilities- Trained Grant Writer (2010 Course provided by the Foundation Center)
Public Speaking and Presentation Skills
Excellent Team Building Skills

REFERENCES FURNISHED UPON REQUEST

what insuring agency.

- State whether or not the agency 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.
- Provide a copy of your current insurance certificate, NOT YOUR POLICY.

EXHIBIT 3 Non-profit Determination

Non-profit organizations must submit tax-exemption determination letters from the Federal Internal Revenue Service.

EXHIBIT 4 List of Board of Directors

A list of the current board of directors or other governing body of the agency must be submitted. The list must include the name, telephone number, address, occupation or affiliation of each member; and must identify the principal officers of the governing body.

EXHIBIT 5 Organizational Chart

An organizational chart must be provided which describes the agency's administrative framework and staff positions, which indicates where the proposed project will fit into the organizational structure and which identifies any staff positions of shared responsibility.

EXHIBIT 6 Resumes of Chief Program Administrator and Chief Fiscal Officer

EXHIBIT 7 Conflict of Interest Disclosure
Form attached.

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? Yes No

If yes, please list the name(s) and information requested below:

Name of person	Job Title of person	Indicate City employee, consultant, City Council member, CDAC member or other official (named)

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? Yes No

If yes, please list the name(s) and information requested below:

Name of person	Job Title of person	Indicate City employee, consultant, City Council member, CDAC member or other official (named)

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? Yes No

If yes, please identify below the City employee, consultant, or Council member with whom each individual has family or business ties.

Name of member	Name of City employee, Consultant, City Council member, CDAC member or other official (named)	Indicate type of tie (Family or Business)	If family, indicate relationship

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

Name of Applicant: Nekeisha Grant

Signature of Applicant's Representative 

Title President/CEO Date March 11, 2020

**HUD REGULATION REGARDING CONFLICT OF INTEREST
(NOT REQUIRED TO BE SUBMITTED WITH APPLICATION)**

24 CFR § 570.611 Conflict of interest

(a) Applicability. (1) In the procurement of supplies, equipment, construction, and services by recipients and by sub recipients, the conflict of interest provisions in 24 CFR 85.36 and 24 CFR 84.42, respectively, shall apply. (2) In all cases not governed by 24 CFR 85.36 and 84.42, the provisions of this section shall apply. Such cases include the acquisition and disposition of real property and the provision of assistance by the recipient or by its subrecipients to individuals, businesses, and other private entities under eligible activities that authorize such assistance (e.g., rehabilitation, preservation, and other improvements of private properties or facilities pursuant to Sec. 570.202; or grants, loans, and other assistance to businesses, individuals, and other private entities pursuant to Sec. 570.203, 570.204, 570.455, or 570.703(i)).

(b) Conflicts prohibited. The general rule is that no persons described in paragraph (c) of this section who exercise or have exercised any functions or responsibilities with respect to CDBG activities assisted under this part, or who are in a position to participate in a decision-making process or gain inside information with regard to such activities, may obtain a financial interest or benefit from a CDBG-assisted activity, or have a financial interest in any contract, subcontract, or agreement with respect to a CDBG-assisted activity, or with respect to the proceeds of the CDBG-assisted activity, either for themselves or those with whom they have business or immediate family ties, during their tenure or for one year

thereafter. For the UDAG program, the above restrictions shall apply to all activities that are a part of the UDAG project, and shall cover any such financial interest or benefit during, or at any time after, such person's tenure.

(c) Persons covered. The conflict of interest provisions of paragraph (b) of this section apply to any person who is an employee, agent, consultant, officer, or elected official or appointed official of the recipient, or of any designated public agencies, or of subrecipients that are receiving funds under this part.

(d) Exceptions. Upon the written request of the recipient, HUD may grant an exception to the provisions of paragraph (b) of this section on a case-by-case basis when it has satisfactorily met the threshold requirements of (d)(1) of this section, taking into account the cumulative effects of paragraph (d)(2) of this section.

(1) Threshold requirements. HUD will consider an exception only after the recipient has provided the following documentation:

- (i) A disclosure of the nature of the conflict, accompanied by an assurance that there has been public disclosure of the conflict and a description of how the public disclosure was made; and
- (ii) An opinion of the recipient's attorney that the interest for which the exception is sought would not violate State or local law.

(2) Factors to be considered for exceptions. In determining whether to grant a requested exception after the recipient has satisfactorily met the requirements of paragraph (d) (1) of this section, HUD shall conclude that such an exception will serve to further the purposes of the Act and the effective and efficient administration of the recipient's program or project, taking into account the cumulative effect of the following factors, as applicable:

- (i) Whether the exception would provide a significant cost benefit or an essential degree of expertise to the program or project that would otherwise not be available;
- (ii) Whether an opportunity was provided for open competitive bidding or negotiation;
- (iii) Whether the person affected is a member of a group or class of low- or moderate-income persons intended to be the beneficiaries of the assisted activity, and the exception will permit such person to receive generally the same interests or benefits as are being made available or provided to the group or class;
- (iv) Whether the affected person has withdrawn from his or her functions or responsibilities, or the decision-making process with respect to the specific assisted activity in question;
- (v) Whether the interest or benefit was present before the affected person was in a position as described in paragraph (b) of this section;
- (vi) Whether undue hardship will result either to the recipient or the person affected when weighed against the public interest served by avoiding the prohibited conflict; and
- (vii) Any other relevant considerations.

OUTCOME RELATED DEFINITIONS

Inputs

Inputs are resources dedicated to or consumed by the program. They are “what we invest – Time, Money, Partners, Equipment, Facilities, etc.

Ex: 1 Full-time equivalent (FTE) will be required to counsel X clients.

Outputs

Outputs are direct products of program activities and usually are measured in terms of the volume of work accomplished. “What we do or Who We Reach” Workshops, Publications, Field days, Equipment; Customers, Participants, etc.

Ex: We trained X participants (activity) and Y (output) graduated.

Activities

Activities are what the program does with the inputs to fulfill its mission. Activities include the strategies, techniques and types of treatment that comprise the program’s service methodology.

Ex: Recruit X participants, Train X employees, Open X Bank Accounts, X people are screened for public benefits, X% of clients are screened, X% of participants are trained, etc.

Outcomes

Outcomes are the benefits for participants during and after program activities.

Ideal outcomes include changes in:

Short Term: Knowledge, Skills, Attitude, Motivation, Awareness

Interim Term: Behaviors, Practices, Policies, Procedures

Long Term: Environment, Social Conditions, Economic Conditions, Political Conditions,

Ex: We trained X participants (activity), Y (output) graduated and Z increased income through employment (outcome)

Please note that short, interim and long term outcomes may be subjective to your program. A short term for one program could be a long term for a different program. Be sure to explain in narrative C4 how your program measurement is classified using industry standards or better.

EXAMPLE:

OUTCOME: People Gain Employment				Finish
<i>Long Term Outcome: Attain Employment</i>	2019- Actual	Estimated 2020	2021 Anticipated	
Total Number of Participants:	N/A	80	80	
Total Number of Participants Achieving Outcome:	N/A	60	65	



Percent Who Achieved Outcome:	N/A	75%	81%	
<i>Interim Outcome: Graduate from Training</i>				
Total Number of Participants:	N/A	80	80	
Total Number of Participants Achieving Outcome:	N/A	60	65	
Percent Who Achieved Outcome:	N/A	75%	81%	
<i>Short Term Outcome: People Enroll in Training</i>				
Total Number of Participants:	N/A	80	80	
Total Number of Participants Achieving Outcome:	N/A	60	65	
Percent Who Achieved Outcome:	N/A	75%	81%	
<i>Output: People Screened for Program</i>				
Total Number of Participants:	N/A	80	80	Start
Total Participants that are Norwich Residents:	N/A	80	80	
Total Number of Participants Achieving Outcome:	N/A	60	65	
Percent Who Achieved Outcome:	N/A	75%	81%	

Section 3 Contractor Affidavit

A Section 3 Business Concern is a business or organization that:

- Is 51 percent or more owned by section 3 residents; or
- Has permanent, full-time employees at least 30 percent of whom are currently Section 3 residents, or within three years of the date of first employment with the business concern were section 3 residents; or
- Has a commitment to subcontract in excess of 25% of the dollar award of all subcontracts to be awarded to such businesses describe above

This is to certify that OIC of New London County, Incorporated
Business Name (Print)

 Is a Section 3 Business Concern (Please read, review and implement necessary items in document entitled "Section 3 Requirements")

 Is NOT a Section 3 Business Concern but the contract for work will require my business or sub-contractor to hire, train, or educate a new employee. (Please read, review and implement necessary items in document entitled "Section 3 Requirements")

X Is NOT a Section 3 Business Concern and the contract for work will NOT require my business or sub-contractor to hire, train or educate a new employee. (No further action is necessary unless an employee is hired during the contract period)

Nekeisha Grant
Authorized Signer

March 11, 2020
Date

Nekeisha Grant, President
Print Name