

March 18, 2020

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

RECEIVED

MAY 21 REC'D



Dear Ms. Crees:

Thank you for giving us the opportunity to submit an application for funding for PPE as a result of the COVID-19 pandemic and the Norwich's CDBG program's response to it.

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

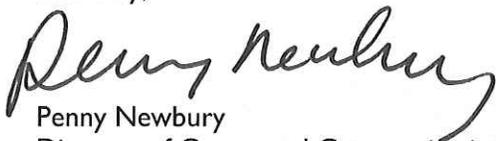
Please note that the original hard copy is not two-sided.

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

PUBLIC SERVICE CDBG-CV

CITY OF NORWICH
CORONAVIRUS AID RELIEF & ECONOMIC SECURITY (CARES ACT) FUNDING
COMMUNITY DEVELOPMENT BLOCK GRANT - CDBG-CV
APPLICATION FOR FUNDING - PUBLIC SERVICE
AMENDED PROGRAM YEAR 2019-2020 (PY 45)

DUE: May 21st 2020 4:00 PM IN OFFICE OF COMMUNITY DEVELOPMENT

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-MAIL: info@thearcct.org

EXECUTIVE DIRECTOR: Kathleen Stauffer, CEO

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

TELEPHONE: (860) 889-4435 x 103 EMAIL: pnewbury@thearcct.org

AGENCY FISCAL YEAR: July 1 June 30
Begin End

PROJECT NAME: PPE for staff and residents of 22 supported group homes for people with IDD

CDBG REQUEST & AWARD AMOUNTS:

Table with 2 columns: REQUEST, AWARD. Rows for UPCOMING FISCAL YEAR (September 1, 2020 - August 31, 2021) and 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.

EXECUTIVE DIRECTOR/DEPT. HEAD (SIGN)
Kathleen Stauffer

PRINT NAME
DATE: May 18, 2020

PRESIDENT, BOARD OF DIRECTORS (SIGN)
Linda Rhodes

PRINT NAME
DATE: May 18, 2020

## **PART II: PROGRAM INFORMATION**

### **A. INTRODUCTION/AGENCY INFORMATION**

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

The Arc Eastern Connecticut was established 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. The Arc Eastern Connecticut provides advocacy and supports to over 800 people with IDD and their families across the eastern CT region.

**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?**

When fully operational (outside of the pandemic):

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.**

Elizabeth Korineck, 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 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. Of the funds we receive from the state, then, 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.**

Due to the COVID-19 pandemic, all our programs except for residential services have been suspended. This is an extreme hardship for the people we support and their families, as well as residents and staff in our 22 group homes. **Adequate PPE for staff and participants is essential.** To keep our day programs as functional as possible, and to insure that our residents and round-the-clock staff are safe and healthy, the COO and administrative staff searched nationally and internationally and pieced together a supply of PPE that includes masks, gowns and gloves, which is distributed to each of our 22 group residences. Additionally, we have been providing in-home supports to people with IDD who are living at home with their families or caregivers; adequate PPE is also essential, especially for staff going into living environments that, being private, do not need to follow as strict guidelines regarding safety and cleaning protocols.

The Department of Developmental Services requires that in group supported residences (as in hospitals and nursing homes), masks and gowns **must be discarded after each use**. With 93 residents, 70 people with IDD receiving in-home supports, and over 250 staff working around the clock seven days per week, we will be needing far more PPE than we have already purchased. **We are requesting \$6,000 for masks, \$3,500 for gloves, and \$3,000 for gowns.**

PPE is not the only expense The Arc ECT has incurred and will continue to incur. To keep our day programs as functional as possible, and to insure that our residents and round-the-clock staff are safe and healthy, we invested in technology that keeps everyone connected to their families, peers and their caregivers through what is a confusing and difficult time for everyone. Our goal is to **maintain as close to people's daily routine as possible, offering structure and support** to both participants and overwhelmed family members who now must care for their loved ones during the day or are now unable to visit the group homes where they live. Additionally, we have taken steps to insure adequate communication between staff, programs, and off-site managers during day-to-day operations as well as in the event of medical or other emergencies. We are not requesting funding for our IT needs from the CDBG allocation; however, we have requested it from other sources.

Over 30% of our residents and staff come from the Norwich area, and our main offices are located on Sachem Street. **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

**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.**

Maintaining the health and safety of the people we support and their families, as well as our direct care staff, addresses the current needs of the community in terms of helping stop/mitigate the spread of COVID-19. Working with people for whom the concept of needing to stay home, not going to work, etc. is confusing and frustrating is a challenge for everyone, including loved ones. Keeping the most vulnerable of our citizens safe and preventing transmission to anyone in the community is our top priority. We've instituted protocols and procedures to address both staff concerns and ensure that the people we support are receiving the highest quality programming possible.

- In addition to making sure that everyone follows all state and agency guidelines regarding the use of PPE and additional safety measures throughout the residence, all House Managers do daily "triaging" of staff to make sure that people who are sick or who may be sick do not come to work
- Weekly bulk food is purchased and divided by a team of five to provide the 22 homes food and supplies
- Weekly special dinner or lunch delivery is coordinated and delivered to the homes as a fun and festive alternative to cooking—a "restaurant experience" that keeps everyone safe
- iPads have been delivered to the homes to allow for virtual visits with family, day programs and meetings.
- The COO sent a survey to all front line workers, giving them an opportunity to provide comments or suggestions on their work environment, things they need, things they are afraid of, procedures that are working and those that are not, what they like about the way the agency is handling the crisis and what needs improvement. Except in cases where the respondent preferred to remain anonymous, all surveys received personal responses and all issues were reviewed and addressed.
- Leaders and Direct Support Professionals have access to mental health supports coordinated by the agency.
- The agency developed the COVID-19 Update page, with a resource list and continually updated links to engaging and fun activities for both staff and the people we support.

### **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

**1. 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](http://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**

The Arc Eastern Connecticut's 22 Community Living Arrangements (CLA) and Continuous Residential Supports (CRS) are **homes to 93 people throughout eastern Connecticut**. Each of these houses are designed around the people who live in them, providing environments that support **choice, personal growth, and community relationships**.

The Arc ECT's homes are part of the communities in which they are located, and allow residents to develop relationships with neighbors, frequent neighborhood businesses, and participate in community events. People living in these homes are **an integral part of the fabric of their community**.

Support levels are **assessed annually for every person**. Along with the assistance of the support team, the resident reviews housing options as well as annual goals for the coming year.

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 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 project aligns with the 5-year Consolidated Plan (2015-19 as much as it can, given that the pandemic couldn't have been foreseen when the Plan was created. The Arc ECT serves the region's most vulnerable people, the vast majority of whom are low income and whose families are also low income due to the excess funds required for their care that are not covered by any state or federal programs, and the loss of income families incur from having to stay home and care for their loved one instead of working full time. Our priority is the health and safety of individuals, including Norwich residents.
- 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. **We are currently part of a network of providers that meets weekly to share information and updates regarding PPE, the CARES act, ancillary services, etc.**

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 concentrate its expenses on the provision of direct service, through **assisting us by covering part of the cost of PPE for the residential and in-home supports programs.** Many partnerships with area nonprofit agencies, municipalities and other chapters of the Arc have been formed and/or strengthened as a result of this pandemic. Regular workgroups comprised of leaders from all across the region have formed to share information, notify each other of available services, shelter opportunities, food sources, and other forms of assistance for the people we serve.

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**

Services are provided at our supported residences (Norwich, Groton, Gales Ferry, Colchester, Waterford, Niantic, Brooklyn, Putnam, Danielson, Colchester) as well as 80 private homes throughout the area.

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

24 hours/day, 7 days/week

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

100

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

Day 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). Residential supports are 24/7.

**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.**

	2019 Actual	2020 Anticipated
<b>OUTCOME:</b> Staff and residents will remain safe and healthy during the pandemic	NA	250 participants and staff
<b>Long Term Outcome:</b> After programs have reopened, procedures, guidelines, policies and equipment will be in place to handle future outbreaks of this or other infectious diseases of this type.	NA	800 participants and staff
<b>Short Term Outcome:</b> Residents and staff will have all the PPE they need to remain safe and healthy while in the residences and in the vans, and staff will remain safe and healthy when they return home to their families	NA	250 participants and staff
Percent who achieved outcome	NA	100%
Percent who are Norwich residents (staff and participants)	NA	30%

**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 continue to apply to other foundations or donors for funding, as will all other nonprofit agencies who are spending programmatic funds on PPE. The requested amount represents only a fraction of what the agency has spent and will need to spend to address the pandemic—from PPE to additional IT/connectivity to hazard pay for our front-line workers.

**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?**

We welcome any assistance the CDBG funds can provide., and will continue to struggle to insure that everyone in our care remains safe throughout this crisis.

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

As mentioned above, any amount that the City could assist us with would be most appreciated. Masks and gowns, as mentioned before, must be discarded after every single use per DDS regulations, which requires us to purchase an inordinate and continuing amount for the foreseeable future. These are the items that are most needed, and which comprise \$8,000 of our request.

**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.**

The Arc ECT is the only full-service agency in Norwich providing supports for people with IDD. Including these services are three 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.

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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 collaborates with all programs serving people with IDD in the region, as well as with our ancillary support partners such as UCFS, Safe Futures, UCP, Reliance Health, Backus Hospital, and a variety of service organizations such as the local VFWs and American Legions.

The Arc ECT's **unique programs** include, as mentioned, [WHEN WE ARE FULLY OPERATIONAL] 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%.

**2. Is your request for continuation of a previously funded CDBG program?**

NO

a. If yes, indicate if you have pursued funding from other sources, who those sources are/were and what are/were the results

**b. If no, please state the reason(s) why**

This particular allocation is for COVID-19 relief only and as such would not be a continuation of any funded CDBG program. Additionally, The Arc ECT has never received CDBG funds from the City of Norwich, except in 2018 when we withdrew the request due to receiving funds sooner from another donor.

**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 2020 Income Limit Area	FY 2020 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	\$35,950	\$41,050	\$46,200	\$51,300	\$55,450	\$59,550	\$63,650	\$67,750
	Extremely Low Income Limits	\$21,600	\$24,650	\$27,750	\$30,800	\$33,300	\$35,750	\$39,640	\$44,120
	Low (80%) Income Limits	\$54,950	\$62,800	\$70,650	\$78,500	\$84,800	\$91,100	\$97,350	\$103,650

**PROGRAM 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)
COO		0	FT	N
CFO		0	FT	N
Residential Managers (22)		0	FT	N

**PART III: BUDGET INFORMATION**

**A. AGENCY FINANCIAL DATA**

<b>SUPPORT &amp; REVENUE</b>	<b>Current</b>	<b>Anticipated</b>
	<b>FY 19-20</b>	<b>FY 20-21</b>
Program fees	871,220	897,357
Other Grants including foundations	77,144	79,458
Donations	75,477	77,741
CDBG		11,500
General Fund		
State & Federal Grants	17,364,248	17,885,175
Other Revenue (specify)	1,565,897	1,612,874
sales to public, room and board, investment income		
<b>TOTAL REVENUE</b>	<b>19,953,986</b>	<b>20,564,105</b>
<b>EXPENSES</b>	<b>Current</b>	<b>Anticipated</b>
	<b>FY 19-20</b>	<b>FY 20-21</b>
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	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	1,089,257	1,121,935
Other expenses (specify)	822,338	847,008
	167,051	22,331
<b>TOTAL EXPENSES</b>	<b>167,051</b>	<b>20,407,886</b>
<b>BALANCE (total revenue less expenses)</b>	<b>162,185</b>	<b>167,051</b>

**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	11,500	0	100%
General Fund			
State Government			
Federal Government			
Other Revenue (specify)	11,500	0	100%
<b>TOTAL REVENUE</b>			
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)	11,500		100%
Travel / Conferences			
Vehicle Expense			
Other Expenses (specify)			
<b>TOTAL EXPENSES</b>	11,500		100%
<b>BALANCE (total revenue less expenses)</b>	0	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.

**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.

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

**PART IV: SUPPLEMENTAL INFORMATION:** All 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.

**Attached**

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 New London County has comprehensive commercial general liability insurance coverage, with 1,000,000 and 3,000,000 limits, and automobile liability with 1,000,000 limits and a 5,000,000 umbrella liability policy. The insurers are Philadelphia Indemnity Insurance and the Workers' Compensation Trust, with which the agency has a 2,500,000 limit (each occurrence) liability policy.

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

The Arc New London County 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 New London County has fidelity bond coverage for principal staff who handle the agency's accounts, in the amount of \$90,000 with the Travelers Insurance agency.

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

EXHIBIT 3 Non-profit Determination

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

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. **Attached.**

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. **Attached.**

EXHIBIT 6 Resumes of Chief Program Administrator and Chief Fiscal Officer **Attached**

EXHIBIT 7 Conflict of Interest Disclosure **Form attached**

## **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.**

### **Exhibit 1: 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:

**Account Codes:**

In order to organize transactions, accounts are labeled with a 4-digit code. Account codes are assigned according to the following chart:

Assets- 1001 thru 1999

Liabilities- 2000 thru 2999

Net Assets- 3000 thru 3999

Revenue- 4000 thru 4999

Expenses- 5000 thru 9999

Each Transaction must be coded using an account from the current approved chart of Accounts (current chart attached).

Account Codes will be added at the discretion of the CFO and/or the Board Finance Committee.

Codes not in use will be made inactive, but not deleted.

**Department Codes:**

All transactions posted to a revenue and expense account must also be assigned a department code (or class). Departments represent individual cost centers which must be tracked for state and internal reporting purposes. A list of current classes is attached to this document.

Department Codes will be added at the discretion of the CFO and/or the Board Finance Committee.

Codes not in use will be made inactive, but not deleted.

**Cost Allocations:**

For any transactions that require the use of resources that are shared between departments, there must be a written Cost Allocation Plan. A journal entry is made at the end of the month to allocate shared expenses to their appropriate cost centers. This plan must be updated annually and approved by the Board of Directors to reflect current ratios (Cost Allocation Plan Attached).

**Billing & Payments:**

On a monthly basis, The Arc will summarize and produce invoices for all Fee for Service Programs. The Arc uses software (Therap) to capture this data. Each fee for service contract will have a corresponding authorization. The authorization will describe the customer, the units which are authorized, and the unit

rate. Direct care staff will enter time in and time out into the system on a daily basis. Supervisors will review these entries at the end of the day for completeness and accuracy. At the end of the month, this data will be downloaded by the Billing Clerk and itemized invoices will be prepared for each customer.

These invoices will be reconciled to the Therap data.

Monthly Invoices will be reviewed and approved by the CFO. Once approved, they will be distributed to customers.

**Aging and Reconciliation:**

Accounts receivable will be reviewed by the CFO on a monthly basis. Unpaid invoices are aged to determine the likelihood that they will be collected. Any amounts which remain unpaid for more than 90 days should be reviewed and attempts to collect the amounts should be made. If the amounts are determined to be uncollectible, then they will be written off. An allowance for doubtful accounts has been set up. This amount is reviewed annually.

**Procedures for Cash Receipts:**

Cash receipts will be accepted in several forms:

- Cash & Check Payments
- Direct Deposit
- Online Payments

**Payments by Cash and Check:**

All payments will be received by the Billing Clerk. He/She will log these into the general ledger.

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.

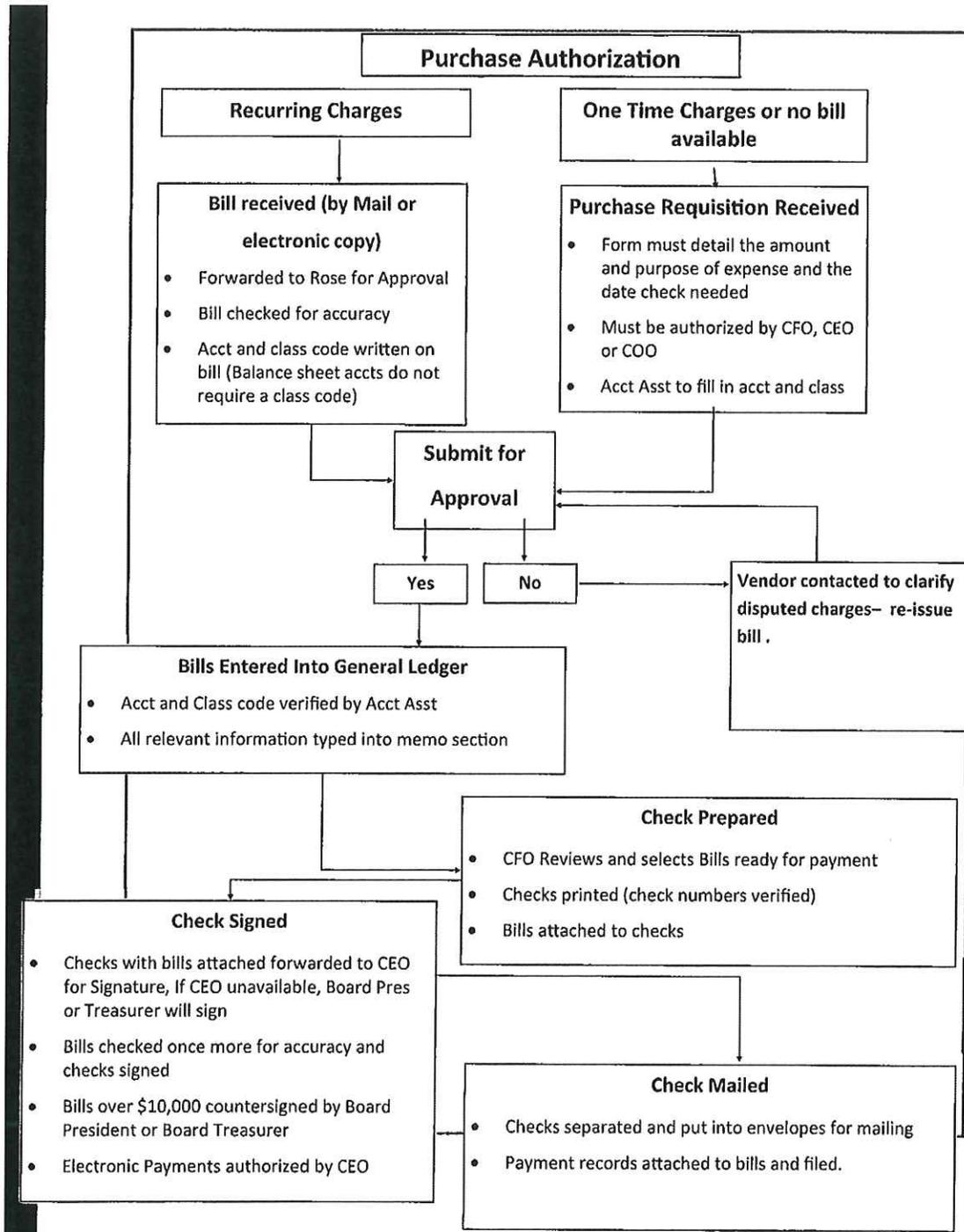
- **State whether or not the agency has fidelity bond coverage for principal staff who handle the agency's accounts, in what amount and with what insuring agency.**

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.

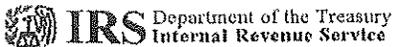
- **Provide a copy of your current insurance certificate, NOT YOUR POLICY.**

Attached.

## Cash Disbursement Flow Chart







OGDEN UT 84201-0029

In reply refer to: 4077950277  
Aug. 12, 2019 LTR 4168C 0  
06-6010477 000000 00  
00025769  
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](http://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  
06-6010477 000000 00  
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, ED Rulings & Agreements





**The Arc Eastern Connecticut  
Board of Directors as of June 2019**

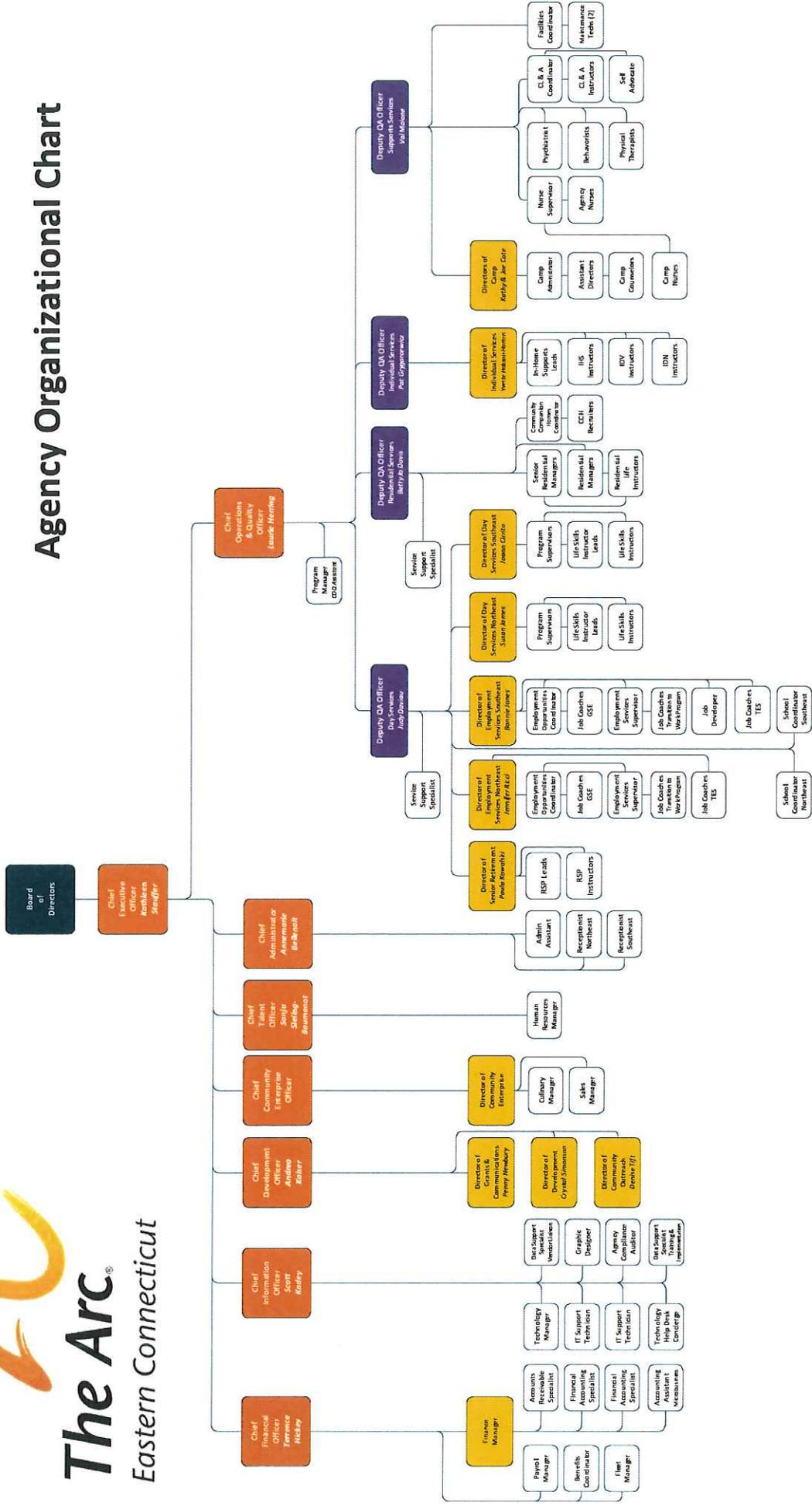
<b>Office</b>	<b>Name</b>
<b>President</b>	<b>Linda Rhodes</b>
<b>Vice President</b>	<b>Diane Aubin</b>
<b>Secretary</b>	<b>Ray Baribeault</b>
<b>Treasurer</b>	<b>Gene Michael Deary</b>
<b>Client Rep</b>	<b>Abby Snyder</b>
<b>Director</b>	<b>Shannon Aiello</b>
<b>Director</b>	<b>Paul Formica</b>
<b>Director</b>	<b>Mary Ellen Snyder</b>
<b>Director</b>	<b>Michele Scott</b>
<b>Director</b>	<b>Emily Morrison</b>
<b>Director</b>	<b>Jeffrey Rawson</b>
<b>Director</b>	<b>Alan Messier</b>
<b>Immed Past Pres</b>	<b>Enrico DeMatto</b>



The Arc

Eastern Connecticut

# Agency Organizational Chart



# Kathleen Stauffer *kstauffer8737@sbcglobal.net*

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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

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## **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.

Confidential

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*

**CDBG-CV-19 CITY OF NORWICH, CONNECTICUT APPLICANT CONFLICT OF INTEREST QUESTIONNAIRE (cont.)**

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	Indicate type of tie (Family or Business)	If family, indicate relationship

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

**Kathleen Stauffer, CEO**  
 \_\_\_\_\_  
 NAME OF APPLICANT REPRESENTATIVE

  
 \_\_\_\_\_  
 SIGNATURE OF ABOVE REPRESENTATIVE

**May 18, 2020**  
 \_\_\_\_\_  
 DATE