

**CITY OF NORWICH  
COMMUNITY DEVELOPMENT BLOCK GRANT • APPLICATION FOR FUNDING  
PUBLIC SERVICES  
PROGRAM YEAR 2022 (PY 48) • SEPTEMBER 1, 2022– AUGUST 31, 2023**

**DUE: THURSDAY FEBRUARY 10, 2022 AT 4 PM AT 23 UNION STREET, NORWICH, 2<sup>ND</sup> FLOOR**  
Office of Community Development  
23 Union Street, 2<sup>nd</sup> 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:** Thames River Family Program

**LEGAL NAME** Thames River Community Service, Inc.  
(if different from Agency)

**ADDRESS:** One Thames River Place  
Norwich, CT 06360

**E-MAIL:** kathya@trfp.org

**EXECUTIVE DIRECTOR:** Kathy W. Allen

**CONTACT NAME AND TITLE:** Kathy W. Allen, Executive Director

**TELEPHONE:** 860-887-3288

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

**PROGRAM OR PROJECT NAME:** Increased Stability for Young Adults Through Enhanced Employment Services

**CDBG REQUEST & AWARD AMOUNTS:**

	<b>REQUEST</b>	<b>AWARD</b>
<b>UPCOMING FISCAL YEAR (This Request)</b> (September 1, 2022 – August 31, 2023)	\$20,000	\$ _____
<b>CURRENT FISCAL YEAR (Prior Year Award)</b> (September 1, 2021 – August 31, 2022)	\$ _____	\$ _____

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.

Kathy W. Allen  
EXECUTIVE DIRECTOR/DEPT. HEAD  
Kathy W. Allen  
Printed Name  
2/8/2022  
DATE

Matthew Lisce  
PRESIDENT, BOARD OF DIRECTORS  
Matthew Lisce  
Printed Name  
2/9/20  
DATE

## **PART II: PROJECT INFORMATION**

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

**A1. Brief History:** The mission of Thames River Community Service, Inc. is to provide safe housing with support services by creating an environment in which families and individuals who are experiencing homelessness pursue goals for self-sufficiency and control over their lives. This mission is accomplished by promoting family and individual wellness, by empowering people to develop an achievable plan for successful independent living, to pursue significant employment, to acquire life skills, and to maintain stability.

Thames River Community Service, Inc. was established in 1992 with the creation of Thames River Family Program (TRFP), which was a response to the rising number of families headed by single women who were homeless and living in poverty. Located in Norwich, CT and serving Southeastern CT, TRFP is a transitional housing program with 24 apartments. Advocates and other supportive staff on all three shifts work closely with families coming from shelters to assist them in becoming employed and/or more employable, helping them to gain financial literacy by learning to budget and improve their credit, to acquire tenancy skills and to overcome trauma. Staff works together with families to establish achievable goals in these areas so that they can leave TRFP for permanent housing in less than a year.

When TRFP opened in 1992, we served single woman 18 years and up with their children. During our nearly 30-year history working with people experiencing homelessness, we have been keenly aware that it's these younger adults who had come through our programs who were among the most vulnerable and had the most barriers to obtaining and maintaining stability. In 2015, we joined the national and state-wide effort to determine resources needed so that when youth were experiencing homelessness it would be a rare occurrence, a brief occurrence and a one-time occurrence. To that end, in 2017, we decided to repurpose our transitional housing program to one that serves only parents (young men and women), 18-24, who are parenting alone or as couples. Funding requirements, however, dictated that the program limit the lengths of stay from two years to one year.

Thames River Family Program is the only Youth Transitional Housing program for families in Connecticut. This Program receives funding from the U.S. Department of Housing and Urban Development, The CT Department of Housing, United Way of Southeastern CT and private grants and donations. In our nearly 30 years, over 975 families with more than 1,500 children have come to Thames River Family Program from shelters and other situations of homelessness.

In 2008, the agency's Supportive Housing Program began with a grant received from the Connecticut Department of Mental Health and Addiction Services (DMHAS). Families receive rental assistance and support from case managers who partner with nine families to provide comprehensive, individualized services in safe and affordable scattered site housing units. Heads of household in these families have mental illness and/or chemical dependency, histories of trauma/domestic violence, are homeless and have incomes at or below 50% of the median income of this area.

In December 2019, our agency was awarded funding through the CT Department of Housing to provide a Rapid Rehousing Program for young adults ages 18 to 24 years of age. The goal of this program is to rapidly move youth from homelessness into permanent housing in the community. Case Managers offer short- to medium-term financial assistance and provide developmentally appropriate case management and services.

**A2. Hours of operation:** 24 hours/day, seven days/week, 365 days/year

**A3. Total Number of persons Employed:** 22

**A4. Name of the person responsible for compliance with Section 504 of Rehabilitation Act of 1973 - Nondiscrimination under Federal Programs:** Kathy W. Allen

**A5. Do you receive more than \$500,000 of Federal Funding through any means, including grants and loans?**  
No.

**B. STATEMENT OF NEED**

**B1. Define the need to be addressed through your program and provide evidence to support the need as well as citing resources for verification of any statistical information provided.**

The Connecticut Coalition to End Homelessness (CCEH) reported that the 2018 Youth Count showed that 54.8% of young adults ages 18 to 24 surveyed reported that they were unemployed. Youth unemployment statistics indicate added barriers to seeking employment due to race, disability, sex, and other identities belonging to protected classes. Unemployment not only induces stress and anxiety but negatively impacts a youth's ability to access and maintain housing.

The goal of Thames River Family Program has been to provide the young adults at this transitional housing program with the support and resources needed to help them to become employed and/or more employable with the goal of leaving our program and maintaining housing and employment stability. We have learned many lessons in the five years since we've transitioned our Program to working solely with families headed by young adults. We know, for example that because of their age (developmentally and chronologically), histories of homelessness and instability, the fact that they are part of a marginalized group, trauma, and the like, they are faced with overcoming many barriers on their journey toward establishing a better life for themselves and their children. We also know that without employment and becoming more financially secure, housing stability is not possible. The longer we work with these young parents, the more we realize that they are truly lacking in workforce readiness as well as soft skills. These also are significant barriers to their obtaining and then keeping the level of employment beneficial for the stability of their family.

As a two-year program, we were quite successful helping young adults gain access to employment through training, educating, mentoring, and assisting with resources. Funding guidelines now require that participants have a one-year maximum stay at Thames River. With that time limit, it is very difficult for our young families to become more self-sufficient. There is a lot of ground to cover during that time for our two Advocates (case managers). While we continue to provide programming which remains successful at helping families to begin to build a foundation for their futures, COVID especially has shown us that young adults would most benefit from having someone who is able to facilitate their access to area employment and educational resources. This person would be dedicated not only to helping them to obtain and maintain a job, but also to secure employment that will move them beyond entry level positions; jobs, that can lead towards advancement in a career that is of interest to them. Furthermore, this person will assist them in becoming more confident in accepting and utilizing area resources on their own. Since very often employers are reluctant to hire young adults with poor work histories and job experience, there also is a tremendous need to establish relationships with area employers in order to develop work experience opportunities.

**B2. Are the services you provide offered by other agencies serving Norwich? If yes, please explain uniqueness.**

Thames River Family Program (TRFP) is the only Youth Transitional Housing Program of its kind in this region. Families live in one of 24, 2 and 3-bedroom furnished apartments. While there are other providers who offer housing assistance, education and employment readiness opportunities and the like, residents of TRFP can acquire individualized life skills training under one roof, where they have case management and 24-hour staff support in a safe and secure building.

**B3. Describe how the program will address the needs of the community and help solve the need.**

All families headed by young adults enter Thames River Family Program from shelters or other situations of homelessness in the Norwich/New London area. Most have extensive histories of homelessness as adults, and many have experienced homelessness with their families as children. On the other hand, our data indicates that more than 95% of those families who leave TRFP begin to build a foundation of stability and sustainability by moving to a permanent housing situation.

This program will address the individual employment needs of young adults, helping them to overcome the barriers that have prevented them from finding and maintaining employment. Becoming employed and/or more employable, in addition to the other life skills training that they receive, will give them a better chance to maintain stability and keep them from being homeless again in our community.

**B4. Does your program have a waiting list? If yes, how many people are on the waiting list?**

No, federal and state funding do not allow us to maintain a waiting list for our programs. When we have an opening, we receive referrals from our region's Coordinated Access Network's (CAN) listing of those young adults experiencing homelessness to fill that vacant apartment. When we do not have openings, other housing resources and assistance are sought for these families and individuals.

**C. PROJECT DESCRIPTION:**

**C1. General Description of Project and Activities:** This project focuses on special staffing and resources aimed at helping to eliminate the unique barriers that young adult participants in our transitional housing program have in finding and maintaining employment, as well as accessing state and local employment and educational resources. With this specific focus, we would be able to support young adults to obtain employment opportunities beyond entry level positions.

Presently, our two Advocates (case managers) provide the employment programming as part of the life skills training that residents receive during their year with us. This training also includes parenting, tenancy and home management skills, communication, and conflict resolution skills as well as financial literacy.

We are looking to hire a part time Youth Employment Specialist who is experienced working with young adults, specifically with those who have experienced homelessness, instability and trauma, and who have either been unable to obtain jobs or who have gone from one job to another, unable to maintain. This person will work collaboratively with our Advocates to identify those persons who would benefit from the individualized employment support offered from this new staffing position. The Youth Employment Specialist will assess our young adults to identify barriers to sustainable employment, discover strategies to overcome those barriers and help them to discover their interests and what best suits their needs and that of their families. This person will support the program participants in meeting their education and/or employment goals based on that information.

We are looking to provide a friendly and accessible environment for youth. To that end, we are looking to create a job center at Thames River in which the Youth Employment Specialist can provide group training with all resources available to participants for filling out applications for area training and certificate programs, creating resumes using creativity and innovation, doing virtual interviews as necessary and the like. Participants will have access to computer tablets and WIFI with support navigating both.

A crucial part of this project will be to establish connections with area employers in order to develop workplace experience for program participants. The Youth Employment Specialist will stay connected with employers who hire these young adults, offering support to them should problems arise, ensuring the employer that they will be actively involved throughout the newly hired person's employment. In essence, the employer will be the "client" as well.

**C1a. Alignment with the 5-Year Consolidated Plan:** This project specifically aligns with the 5-year Consolidated Plan as residents will leave Thames River with the skills to be employed and/or more employable. Besides working with young adults individually and in groups, the specialist also will identify, recruit, and collaborate with employers who are willing to hire young adults who are interested in their line of work and then work with us to support their employment. While there are other programs aimed at helping people to gain employment, having an on-site Youth Employment Specialist staffing an on-site job center, besides offering individual support, will eliminate other huge barriers that our young parents have accessing other services, which are transportation, childcare and the time to travel to these various places. The Youth Employment Specialist will be able to assist them in establishing individual goals they wish to pursue and then work one on one to help them become familiar with the area's employment and education resources.

**C1b. How this program collaborates with programs and organizations:** As the saying goes, "it takes a village". We could not successfully provide the services we do without the support of many of the area providers who also deliver the various services that meet the needs of young adults. Through regularly scheduled Housing Placement Team meetings, we collaborate with the Eastern Coordinated Access Network (CAN) and all of the organizations in Northern and Southeastern Connecticut that provide services and housing resources to persons experiencing homelessness. In the Southeast we work in tandem with TVCCA, Reliance Health, Norwich Human Services, Mental Health Authority, Safe Futures, Noank Community Support Services, Covenant Shelter, New London Homeless Hospitality and in the Northeast with programs within Windham Regional Community Council and the Access Community Council Agency. Activities during those Housing Placement Team meetings include exchanging resources, strategizing ideas and suggestions for individual situations that a client may have and offering peer support during trying times. On the State level, we collaborate with the State Department of Housing, the CT Coalition to End Homelessness, and the Partnership for Strong Communities. Besides support for our individual contracts, these agencies provide our region with information on practices on the State level, national data as well as new policies and procedures required for program operations.

**C1c. Link with local or regional plans:** Besides aligning with the 5-year Consolidate Plan, the project also is aligned with our regional CAN support of the State's Reaching Home Campaign which is made up of a dynamic community of stakeholders coming together around the singular mission of ending homelessness in Connecticut. Specifically for youth, the campaign is dedicated to "making youth homelessness rare, brief and one time". Finding and sustaining employment is key.

**C1d. Possible partnerships:** Partnerships may include Norwich Human Services' Norwich Works Program, the American Jobs Center, Norwich Adult Education, Bureau of Rehabilitation Services, Eastern CT Transportation Consortium (ECTC), The Young Adult Services (YAS) through Sound Community Services, where applicable, AXS Center in New London, a Program of Sound Community Services, DCF, Family Based Recovery (FBR) program where applicable to prepare for employment, WIOA Program @ Three Rivers Community College. One very important partnership will be with area employers.

**C1e. This request for CDBG funding:** is for a new service that expands the employment readiness work that we've done with young adults by hiring a Youth Employment Specialist whose sole purpose is to focus on a more comprehensive, individualized employment program specific to each program participant. This includes the important connection and collaboration with employers.

**C2a. Location of services:** Thames River Family Program, One Thames River Place, Norwich, CT 06360

**C2b. Frequency of Services:** after the initial intake, services will take place two times a week for the first month; after that, services will occur on an as needed basis. There also will be hours attributed to developing and maintaining relationships with employers.

**C2c. Hours of Operation for proposed program:** Hours will vary according to client need and employers' availability but will average 24 hours/week.

**C2d. Anticipated number of Norwich persons:** 45 annually

**C2e. Hours of Operation for Thames River Family Program:** 24 hours; 7 days/week

**C3. Percentage of Requested Grant Funds that will be used for administration and salaries as the total number of employees hired and/or retained as a result.** 22%

**C4. Theory of Change:** Our program has developed consistently over the years because of our understanding of the benefits of outcomes. We use our outcomes to determine which changes might be needed based on past performances and results; we modify our program and plan for and develop future programming. For purposes of this grant, we have utilized this "Theory of Change" to define our long-term goals based on what we have learned from our work with young adults over the last five years. Enhancing our employment services in order to increase the stability of the young adults in our program is a direct result of this methodology. It will allow us to continue to evaluate our programming and make further changes accordingly. In this way, we are constantly evolving to meet the needs of those we serve.

Specifically, as this is the first year of this "enhanced employment services", we cannot compare previous outcome results for employment to what we would anticipate showing after having a dedicated staff person to work with participants on all aspects of employment and employment readiness skills. We strongly believe, however, that we *will* be able to improve on the *percentage* of clients who become employed because of having this position.

#### **OUR OUTCOMES RELATED EXPLANATIONS USED FOR THIS PROJECT:**

**Inputs:** 1 Part-time employee (.5 FTE) will provide employment support for 45 program participants

**Outputs:** We informed 70 TRFP residents about the Program and 45 received services with the Youth Employment Specialist.

**Activities:** 45 Program Participants will receive individual employment support

#### **Outcomes:**

*Short Term:* 100% (70/70) young adults residing at TRFP will be made aware of the opportunity to work with the Youth Employment specialist

*Interim Term:* 64.3% (45/70) program participants will receive individualized employment services

*Long Term:* 60% (27/45) program participants will become employed

C4

<b>OUTCOME: Young Adults Employed</b>				Finish
<i>Long Term Outcome: Young Adults Employed</i>	2021-Actual	Estimated 2022	2023 Anticipated	
Total Number of Participants:	See below	See below	45	
Total Number of Participants Achieving Outcome:			27	
Percent Who Achieved Outcome:			60%	
<i>Interim Outcome: Receive Individualized Employment Services</i>				
Total Number of Participants:	See below	See below	70	
Total Number of Participants Achieving Outcome:			45	
Percent Who Achieved Outcome:			64%	
<i>Short Term Outcome: Residents aware of opportunity to work with YES</i>				
Total Number of Participants:	See below	See below	70	
Total Number of Participants Achieving Outcome:			70	
Percent Who Achieved Outcome:			100%	
<i>Output: Provide outreach to 70 residents</i>				
Total Number of Participants:	See below	See below	70	Start
Total Participants that are Norwich Residents:			70	
Total Number of Participants Achieving Outcome:			70	
Percent Who Achieved Outcome:			100.00%	

Our outcome chart report on the new program anticipates we will be able to provide employment services to residents with the added position of a Youth Employment Specialist.

**E. FUNDING QUESTIONS:**

**E1. If the CDBG funding that you are requesting will leverage funding from another source, please note the amount and source of leveraged funding.** N/A

**E2. 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 would still hire this much needed position, but potentially with reduced hours as necessary and will continue to seek other funding opportunities.

**E3. What items would you reduce/eliminate from your budget if the City wanted to (only) partially fund your application?** None, as we will look for other funding for this essential position.

**F. OTHER**

**F1. 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.** Other agencies include Norwich Human Services' Norwich Works Program, the American Jobs Center, Norwich Adult Education, Bureau of Rehabilitation Services, Eastern CT Transportation Consortium (ECTC), The Young Adult Services (YAS) through Sound Community Services, where applicable, AXS Center in New London, a Program of Sound Community Services, DCF, Family Based Recovery (FBR) program where applicable to prepare for employment, WIOA Program @ Three Rivers Community College. One very important partnership will be with area employers. At some point, we could potentially collaborate with all of them, depending on the needs of the young adults we are working with at a given time. Our service is unique in that our services will be provided in the building where our families reside, thus the Youth Employment Specialist will have the opportunity to establish a rapport with individuals as she will be able to spend the time getting to know them, assessing their needs, and helping them to plan their employment goals based on the needs of their families at TRFP. They will not have to find transportation and transportation funding, locate childcare for their children and we will be able to help them to better understand these other services that might be available to them and help them determine which services would be applicable to their identified goals.

**F2. Is your request for continuation of a previously-funded CDBG program?** No

**F2a** N/A

**F2b. If no, please state the reason(s) why.** Our request is not for continuation of a CDBG program since this is a need that was recently determined to be an additional service that young adults need to more fully realize their employment goals during their one year stay at TRFP.

**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 meal programs.

FY 2021 Income Limits Summary									
FY 2021 Income Limit Area	FY 2021 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 (\$)	\$ 36,050	\$ 41,200	\$ 46,350	\$ 51,450	\$ 55,600	\$ 59,700	\$ 63,800	\$ 67,950
	Extremely Low Income Limits (\$)*	\$ 21,600	\$ 24,700	\$ 27,800	\$ 30,850	\$ 33,350	\$ 35,800	\$ 40,120	\$ 44,660
Median Family Income \$88,600	Low (80%) Income Limits (\$)	\$ 55,950	\$ 63,950	\$ 71,950	\$ 79,900	\$ 86,300	\$ 92,700	\$ 99,100	\$ 105,500

**PROGRAM BENEFICIARY OUTCOME STATISTICS:**

Please see Section C4 within this application.

**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)
Executive Director	\$85,000 - \$95,000	0%	Full-time	N
Program Manager	\$50,000 - \$60,000	0%	Full-time	N
Family Advocate	\$48,000 - \$52,000	0%	Full-time	N
Family Advocate	\$20,000 - \$24,000	0%	Part-time	N
Youth Employment Specialist	\$22,000 - \$26,000	50%	Part-time	N
Financial Manager	\$28,000 - \$32,000	0%	Part-time	N

**PART III: BUDGET INFORMATION**

**A. AGENCY FINANCIAL DATA**

<b>SUPPORT &amp; REVENUE</b>	<b>CURRENT</b>	<b>ANTICIPATED</b>
	<b>FY 21-22</b>	<b>FT 22-23</b>
Program Fees (Resident Rent)	37,775	30,000
Other Grants including foundations	77,015	80,000
Donations	74,991	118,250
CDBG		20,000
General Fund		
State & Federal Grants	553,250	591,415
Other Revenue – United Way, Interest and Dividends, Vending, and Restricted Funds	121,827	136,471
<b>TOTAL REVENUE</b>	<b>864,858</b>	<b>976,136</b>
<b>EXPENSES</b>	<b>Current</b>	<b>Anticipated</b>
	<b>FY 21-22</b>	<b>FT 22-23</b>
Salaries	476,319	590,724
Employee Benefits	66,188	55,185
Payroll Taxes	34,436	43,629
Professional Fees & Services	28,690	25,740
Operations/Phones/Postage	86,380	100,770
Insurance	90,000	98,633
Equipment Rental, Maintenance & Acquisition	33,605	32,605
Printing & Publication	1,445	3,150
Travel/Conferences/Conventions	3,470	3,800
Legal Fees	0	0
Vehicle-Lease/Repair	0	0
Other Expenses – Client Services including education and employment supports, transportation assistance and housing security and supplies	44,325	21,900
<b>TOTAL EXPENSES</b>	<b>864,858</b>	<b>976,136</b>
<b>BALANCE (TOTAL REVENUE LESS EXPENSES)</b>	<b>0</b>	<b>0</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)		20,000	
Donations		10,144	
CDBG	20,000		100%
General Fund			
State Government		14,976	
Federal Government			
Other Revenue (specify) – United Way		23,988	
<b>TOTAL REVENUE</b>	<b>20,000</b>	<b>69,108</b>	<b>22%</b>
EXPENSES	CDBG-Funded Portion	Non-CDBG Funded Portion	% of CDBG Funds used for Program
Salaries	12,400	36,600	25%
Employee Benefits	1,240	7,788	14%
Payroll Taxes	950	2,980	24%
Professional Services (including accounts and attorneys)			
General Operations & Supplies (incl. Overhead and Printing)	3,500	10,500	25%
Travel / Conferences	600	2,500	19%
Vehicle Expense			
Other Expenses (specify) - Client supports including transportation assistance and removal of employment barriers	1,310	6,400	17%
<b>TOTAL EXPENSES</b>	<b>\$20,000</b>	<b>69,108</b>	<b>22%</b>
<b>BALANCE</b> (Total revenue less expenses)	<b>0</b>	<b>0</b>	

**PART IV: SUPPLEMENTAL INFORMATION:** Please see attached

Section 3 Contractor Affidavit

Acknowledgement of HUD Regulation 24 CFR 570.611

EXHIBIT 1 Financial Statement and Audit

EXHIBIT 2 Insurance/Bond/Worker's Compensation

EXHIBIT 3 Non-profit Determination

EXHIBIT 4 List of Board of Directors

EXHIBIT 5 Organizational Chart

EXHIBIT 6 Resumes of Chief Program Administrator and Chief Fiscal Officer

EXHIBIT 7 Conflict of Interest Disclosure

**Section 3 Contractor Affidavit (2021 Final Rule)**

**Section 3 Business Concerns are:**

- At least 51 percent of the business is owned and controlled by low or very low-income persons; or
- At least 51 percent of the business is owned and controlled by current public housing residents or residents who currently live in Section 8-assisted housing; or
- Over 75 percent of the labor hours performed for the business over the prior three-month period are performed by Section 3 workers

This is to certify that Thames River Community Service, Inc. (print Business name)

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

X 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")

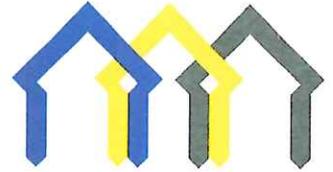
       Is **NOT** a Section 3 Business Concern and the contract for work will **NOT** require my business or sub-contractor to hire, train or educate a new employee. (No further action is necessary unless an employee is hired during the contract period)

Kathy W. Allen  
Authorized Signer

2/8/2022  
Date

Kathy W. Allen, Executive Director  
Print Name

**Thames River Community Service, Inc.**  
One Thames River Place  
Norwich, CT 06360  
(860) 887-3288 | Fax (860) 887-4146  
www.trfp.org



*Together ... Creating Community*

I, Kathy W. Allen, Executive Director of Thames River Community Service, Inc. have read and understand the HUD regulation regarding conflict of interest, 24 CFR 570.611

Signature of Applicant's Representative

Kathy W. Allen  
Kathy W. Allen, Executive Director

February 8, 2022  
Date



A United Way Member Agency

**Thames River Community Services, Inc.  
Accounting Policies and Procedures**

**All transactions are recorded only after receipt of a written source document.**

**Cash**

**Deposits** are recorded through accounts receivable or cash receipts journal based on revenue source

**Disbursements** are entered as payable when invoice is received and paid through accounts payable

**Accounts Receivable**

**Resident Rent**

At the beginning of month fees are entered based on amounts due, utilizing the apartment number and tenant name for accounts receivable balance

Money orders and checks are entered through the AR as received

**United Way Funding**

Receivable for allocations and target are booked when letter is received

AR debited for total letter amount

Net assets credited for total letter amount

Standard monthly entry was developed to move amount posted to net assets into revenue monthly

Net assets debited for 1/12th of letter monthly

United Way allocations/target credited for 1/12th of letter monthly

Designations booked as a credit to revenue and debit to cash account when the checks are received (cash basis)

**Grants receivable-private**

Grants are booked as accounts receivable when award letter is received through an invoice.

Grant revenue credited for award amount

**Grants receivable-federal and state**

Booked as receivable when funds are earned

**Investments**

Record the activity monthly from the investment statement

**Prepaid Expenses**

**Life, health and other insurances**

Insurances being paid monthly and not affecting the year end balances record on the cash basis. (record bill as expense when it comes in). Pre-paid expense adjusted at time of audit.

**Other prepaids**

All other are booked prepaids to one prepaid account.

## **Revenue**

### **Grants-Government**

Grants entered into the class/program for which the grant was given even if there is an administrative element to.

### **Grants-Other**

Other grants are posted to program unless administrative and general expense. This includes grants for capital items.

### **Donations**

Donations are posted to administrative and general if it does not cover a program expense.

Donations that are given to cover a specific program expense are posted to that program/class.

### **Resident Rent**

Resident rent is posted to the associated program/class.

### **Investment Income**

Investment income is posted to administrative and general.

### **Rental Income**

Rental income is posted to administrative and general.

### **Special Events Income**

Income generated through fundraising is posted to fundraising

### **Miscellaneous Revenue**

Revenues generated as a by-product of a program are posted to the program/class

## **Expenses**

### **Salaries and Related Expenses**

Posted to program, admin, fundraising based on time posted on employee timesheets. The related expenses are spread based on the salaries allocations that result from employee timesheets

### **Direct Program Expenses**

Any expenditure that can be specifically tied to a program is posted to that program. Expenditures that benefit several programs but don't apply to administrative and general are allocated to the programs based on the salary spread of each program

### **General Expenses**

Expenses that benefit all cost centers including administrative and general and/or fundraising

Occupancy expenses are allocated to each cost center based on occupancy costs spread by square footage

General expenses are allocated to each cost center based on the salary allocation percentage.

Expenses relating to administrative or fundraising activities are posted solely to those activities.

## **Standard Journal Entries**

The only standard monthly entries each month are:

Depreciation

United Way allocations and target giving

Expensing of prepaid items

Recording payroll from payroll reports

Monthly investment activity taken directly from the statement.

**THAMES RIVER COMMUNITY SERVICE, INC.**

**FINANCIAL STATEMENTS**

**JUNE 30, 2021**

**THAMES RIVER COMMUNITY SERVICE, INC.**

**FINANCIAL STATEMENTS**

**JUNE 30, 2021**

**CONTENTS**

Independent Auditor's Report.....	1
Statement of Financial Position.....	3
Statement of Activities .....	4
Statement of Functional Expenses .....	5
Statement of Cash Flows.....	6
Notes to Financial Statements .....	7



The Board of Directors of  
Thames River Community Service, Inc.  
One Thames River Place  
Norwich, CT 06360

## INDEPENDENT AUDITOR'S REPORT

We have audited the accompanying financial statements of Thames River Community Service, Inc. (a nonprofit organization) which comprise the statement of financial position as of June 30, 2021, and the related statements of activities, functional expenses, and cash flows for the year 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.

### **Auditor's Responsibility**

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

### **Opinion**

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Thames River Community Service, Inc. as of June 30, 2021, and the changes in its net assets and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

- 1 -

Stacey L. Gualtieri, CPA  
Audrey A. Leone, CPA

**Report on Summarized Comparative Information**

We have previously audited Thames River Community Service, Inc.'s 2020 financial statements, and we expressed an unmodified audit opinion on those audited financial statements in our report dated October 20, 2020. In our opinion, the summarized comparative information presented herein as of and for the year ended June 30, 2021 is consistent, in all material respects, with the audited financial statements from which it has been derived.

*Doherty, Beals & Banks, P.C.*  
DOHERTY, BEALS & BANKS, P.C.  
New London, Connecticut

August 25, 2021

**THAMES RIVER COMMUNITY SERVICE, INC.**  
**STATEMENT OF FINANCIAL POSITION**  
AS OF JUNE 30, 2021  
WITH COMPARATIVE TOTALS FOR 2020

<b>ASSETS</b>		<u>2021</u>	<u>2020</u>
<b>CURRENT ASSETS</b>			
Cash	\$	221,194	\$ 166,707
Contributions receivable		76,024	76,184
Grants receivable		54,928	19,144
Account receivable		3,258	4,341
Prepaid expenses		23,890	21,364
<b>TOTAL CURRENT ASSETS</b>		<u>379,294</u>	<u>287,740</u>
<b>PROPERTY AND EQUIPMENT</b>			
Building and improvements		3,120,050	3,100,299
Equipment and furniture		226,819	218,277
		<u>3,346,869</u>	<u>3,318,576</u>
Less: accumulated depreciation		(2,593,164)	(2,504,938)
<b>NET PROPERTY AND EQUIPMENT</b>		<u>753,705</u>	<u>813,638</u>
<b>INVESTMENTS</b>			
Fixed income		<u>130,795</u>	<u>130,326</u>
<b>TOTAL ASSETS</b>	<b>\$</b>	<u><u>1,263,794</u></u>	<u><u>\$ 1,231,704</u></u>
<b>LIABILITIES AND NET ASSETS</b>			
<b>CURRENT LIABILITIES</b>			
Accounts payable	\$	82,967	\$ 5,876
Grant payable		2,174	2,174
Accrued wages		4,615	20,681
Estimated liability for compensated absences		27,354	26,406
Deferred revenue		93,593	84,172
Due to residents		3,350	3,936
<b>TOTAL CURRENT LIABILITIES</b>		<u>214,053</u>	<u>143,245</u>
<b>NET ASSETS</b>			
Without donor restrictions			
Available for general activities		160,261	163,376
Invested in property and equipment		753,705	813,638
Total without donor restrictions		<u>913,966</u>	<u>977,014</u>
With donor restrictions <i>(note 3)</i>		135,775	111,445
<b>TOTAL NET ASSETS</b>		<u>1,049,741</u>	<u>1,088,459</u>
<b>TOTAL LIABILITIES AND NET ASSETS</b>	<b>\$</b>	<u><u>1,263,794</u></u>	<u><u>\$ 1,231,704</u></u>

See notes to financial statements.

**THAMES RIVER COMMUNITY SERVICE, INC.**  
**STATEMENT OF ACTIVITIES**  
**FOR THE YEAR ENDED JUNE 30, 2021**  
**WITH COMPARATIVE TOTALS FOR 2020**

	<u>Without Donor Restrictions</u>	<u>With Donor Restrictions</u>	<u>2021</u>	<u>2020</u>
<b>REVENUE AND SUPPORT</b>				
Grants:				
Government	\$ 592,256	\$ -	\$ 592,256	\$ 597,790
Other	48,464	49,551	98,015	105,320
United Way funding	17,192	76,024	93,216	93,126
Contributions	77,491	-	77,491	60,221
Program fees	37,560	-	37,560	36,252
Rent	7,370	-	7,370	7,242
Interest	491	-	491	975
Net investment income	470	-	470	2,742
Other	1,538	-	1,538	2,261
Special events	14,277	-	14,277	19,373
Net assets released from restrictions:				
Satisfaction of program costs	25,091	(25,091)	-	-
Satisfaction of time restriction	76,154	(76,154)	-	-
<b>TOTAL REVENUE AND SUPPORT</b>	<b>898,374</b>	<b>24,330</b>	<b>922,704</b>	<b>925,302</b>
 <b>FUNCTIONAL EXPENSES</b>				
Family program	606,523	-	606,523	546,010
Supportive housing	124,641	-	124,641	110,909
Youth Homeless Demonstration Program	138,081	-	138,081	115,142
Management and general	69,789	-	69,789	80,661
Fund-raising	22,388	-	22,388	62,446
<b>TOTAL FUNCTIONAL EXPENSES</b>	<b>961,422</b>	<b>-</b>	<b>961,422</b>	<b>915,168</b>
 <b>CHANGE IN NET ASSETS</b>	<b>(63,048)</b>	<b>24,330</b>	<b>(38,718)</b>	<b>10,134</b>
 <b>NET ASSETS- BEGINNING</b>	<b>977,014</b>	<b>111,445</b>	<b>1,088,459</b>	<b>1,078,325</b>
 <b>NET ASSETS- ENDING</b>	<b>\$ 913,966</b>	<b>\$ 135,775</b>	<b>\$ 1,049,741</b>	<b>\$ 1,088,459</b>

See notes to financial statements.

**THAMES RIVER COMMUNITY SERVICE, INC.**  
**STATEMENT OF FUNCTIONAL EXPENSES**  
**FOR THE YEAR ENDED JUNE 30, 2021**  
**WITH COMPARATIVE TOTALS FOR 2020**

FUNCTIONAL EXPENSES	Youth Homeless					2021	2020
	Family Program	Supportive Housing	Demonstration Program	Management & General	Fund-Raising		
Salaries	\$ 273,380	\$ 74,124	\$ 82,929	\$ 43,044	\$ 11,411	\$ 484,888	\$ 451,288
Employee benefits	29,447	11,557	5,576	5,432	710	52,722	40,488
Payroll taxes	22,278	5,947	6,691	3,755	990	39,662	34,431
<b>Total Salaries and Benefits</b>	<b>325,105</b>	<b>91,628</b>	<b>95,196</b>	<b>52,231</b>	<b>13,111</b>	<b>577,272</b>	<b>526,207</b>
Professional fees	6,943	7,517	2,399	5,063	1,607	23,530	29,445
Supplies	5,936	775	1,050	763	382	8,905	11,855
Postage	160	50	141	220	589	1,159	1,720
Printing & advertising	218	-	-	-	3,503	3,721	3,725
Occupancy	124,860	11,108	7,106	5,287	546	148,906	100,833
Insurance	39,888	11,110	13,444	5,595	1,265	71,302	66,950
Transportation	310	519	1,406	632	25	2,892	3,887
Education and training	240	82	14	-	-	336	65
Membership dues	111	-	-	-	336	447	74
Direct assistance-residents	14,525	-	-	-	-	14,525	13,276
Direct assistance-offsite	-	1,851	17,326	-	-	19,177	59,868
Fund-raising- special events	-	-	-	-	1,025	1,025	11,313
Vending machine	-	-	-	-	-	-	43
Depreciation	518,297	124,641	138,081	69,789	22,388	873,196	829,261
	88,226	-	-	-	-	88,226	85,907
<b>TOTAL FUNCTIONAL EXPENSES</b>	<b>\$ 606,523</b>	<b>\$ 124,641</b>	<b>\$ 138,081</b>	<b>\$ 69,789</b>	<b>\$ 22,388</b>	<b>\$ 961,422</b>	<b>\$ 915,168</b>

The organization maintains multiple allocation schedules based on a number of formulas including square footage, percentage of revenue, and estimates of time and effort. In most cases, expenses are allocated directly.

See notes to financial statements.

**THAMES RIVER COMMUNITY SERVICE, INC.**  
**STATEMENT OF CASH FLOWS**  
**FOR THE YEAR ENDED JUNE 30, 2021**  
**WITH COMPARATIVE TOTALS FOR 2020**

	2021	2020
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>		
Change in net assets	\$ (38,718)	10,134
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Depreciation	88,226	85,907
Net realized/unrealized (gain) loss on investments	-	(335)
(Increase) decrease in:		
Contributions receivable	160	(420)
Grants receivable	(35,784)	(18,970)
Account receivable	1,083	2,914
Prepaid expenses	(2,526)	(4,164)
Increase (decrease) in:		
Accounts payable	77,091	(24,326)
Grants payable	-	2,174
Accrued wages	(16,066)	3,139
Estimated liability for compensated absences	948	1,615
Deferred revenue	9,421	2,565
Due to residents	(586)	(929)
	83,249	59,304
<b>NET CASH PROVIDED (USED) BY OPERATING ACTIVITIES</b>		
<b>CASH FLOWS FROM FINANCING ACTIVITIES</b>		
Payments made on notes payable	-	(4,447)
Proceeds from PPP loan	-	47,300
Forgiveness of PPP loan	-	(47,300)
	-	(4,447)
<b>NET CASH PROVIDED (USED) BY FINANCING ACTIVITIES</b>		
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>		
Purchases of investments	(470)	(2,383)
Purchase of fixed assets	(28,292)	(14,930)
	(28,762)	(17,313)
<b>NET CASH PROVIDED (USED) BY INVESTING ACTIVITIES</b>		
<b>NET CHANGE IN CASH</b>	54,487	37,544
<b>CASH - BEGINNING</b>	166,707	129,163
<b>CASH - ENDING</b>	\$ 221,194	\$ 166,707

See notes to financial statements.

**THAMES RIVER COMMUNITY SERVICE, INC.**  
**NOTES TO FINANCIAL STATEMENT**  
**JUNE 30, 2021**

---

**1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

**Purpose**

The mission of Thames River Community Service, Inc. is to provide safe housing with support services by creating an environment in which families and individuals who experience homelessness pursue goals for self-sufficiency and control over their lives. This mission is accomplished by promoting family and individual wellness, by empowering people to develop an achievable plan for successful independent living, to pursue significant employment, to acquire life skills and to maintain stability.

**Method of Accounting**

Thames River Community Service, Inc. uses the accrual method of accounting. Accordingly, revenues are recognized when earned and expenditures are recorded when incurred.

**Financial Statement Presentation**

The Organization follows the reporting requirements of GAAP, which requires that resources be classified for reporting purposes based on the existence or absence of donor-imposed restrictions. This is accomplished by classification of fund balances into two classes of net assets: without donor restrictions and with donor restrictions. Descriptions of the two net asset categories and the types of transactions affecting each category follow:

- Without Donor Restrictions – Net assets that are not subject to donor-imposed restrictions. Items that affect this net asset category principally consist of fees for service and related expenses associated with the core activities of the Organization.
- With Donor Restrictions – Net assets subject to donor-imposed restrictions that will be met either by actions of the Organization or the passage of time. Items that affect this net asset category are for contributions for which donor-imposed restrictions have not been met in the year of receipt. Also included in the category are net assets subject to donor-imposed restrictions to be maintained permanently by the Organization.

**Income Tax Status**

The Organization is exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code, and therefore, has no provision for federal or state income taxes. In addition, the Organization qualifies for the charitable contribution deduction under Section 170(b)(1)(A) and has been classified as an organization that is not a private foundation.

The Organization recognized the tax benefits from uncertain tax positions when it is more-likely-than-not the position would be sustained upon examination by taxing authorities. As of June 30, 2021, the Organization had no uncertain tax positions that qualify for either recognition or disclosure in the financial statements. In the normal course of business, the Organization's tax filings are subject to examination by federal and state taxing authorities. The Organization's tax returns for the last three years remain open for examination.

**THAMES RIVER COMMUNITY SERVICE, INC.**  
**NOTES TO FINANCIAL STATEMENT**  
**JUNE 30, 2021**

---

**1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)**

**Use of Estimates**

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and the disclosure of contingent assets and liabilities as of the date of the financial statements, and support, revenue and expenses during the reporting period. Actual results could differ from those estimates.

**Prior Year Comparative Totals**

The financial information shown for June 30, 2020 in the accompanying financial statements is included to provide a basis for comparison with June 30, 2021 and presents summarized totals only. Such total amounts do not include sufficient detail to constitute a presentation in conformity with U.S. generally accepted accounting principles. Accordingly, such amounts should be read in conjunction with the Organization's financial statements for the year ended June 30, 2020, from which the comparative total amounts were derived.

**Fair Values of Financial Instruments**

The fair values of financial instruments have been determined through quoted market prices or present value techniques to approximate the amounts recorded in the Statement of Financial Position.

**Investments**

The Organization carries investments in marketable securities with readily determinable fair values and all investments in debt securities at their fair values in the Statement of Financial Position. Fair value is generally determined based on quoted prices in active markets. Unrealized gains and losses are included in the change in net assets in the accompanying Statement of Activities.

Generally accepted accounting principles establishes a fair value hierarchy which prioritizes the inputs to valuation techniques used to measure the fair value. The three levels of the fair value hierarchy are described as follows:

Level 1 – Quoted prices (unadjusted) in active markets for identical assets or liabilities where the organization has the ability to access at the measurement date;

Level 2 – Significant other observable inputs other than quoted prices included in level 1, which are observable for the asset or liability, either directly or indirectly (i.e. quoted prices in inactive markets, broker or dealer quotations, or alternative pricing sources with reasonable levels of price transparency);

Level 3 – Unobservable inputs are used to the extent that observable inputs are unavailable due to little, if any, market activity for the asset or liability. Unobservable inputs are developed based on the best information available, which might include the organization's own data that reflects assumptions that market participants would use in pricing the asset or liability.

All investments held by Thames River are Level 1 investments.

The investment policy establishes an achievable return objective through professional management and sufficient portfolio diversification to minimize volatility and to help assure a reasonable consistency of return. The current long-term return objective is to achieve a total rate of return that is above the median performance of similarly

**THAMES RIVER COMMUNITY SERVICE, INC.**  
**NOTES TO FINANCIAL STATEMENT**  
**JUNE 30, 2021**

---

**1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)**

managed funds on a risk-adjusted basis. To satisfy its long-term rate-of-return objectives, the Organization relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The Organization targets a diversified asset allocation by setting a minimum aggregate exposure of 20% in fixed income and a maximum aggregate exposure of 80% in equity-based securities to achieve its long-term return objectives within prudent risk parameters.

**Property and Equipment**

Property and equipment are recorded at cost. Depreciation of property and equipment is charged to income over their estimated lives by using the straight-line method.

**Contributions**

Contributions are recognized when the donor makes a promise to give to the Organization that is, in substance, unconditional. Contributions that are restricted by the donor are reported as increases in net assets without donor restrictions if the restrictions expire in the year in which the contributions are recognized. All other donor-restricted contributions are reported as increases in net assets with donor restrictions depending on the nature of the restriction. When the restrictions expire, net assets with donor restrictions are reclassified to net assets without donor restrictions.

**Expense Allocation**

The costs of providing various programs and other activities have been summarized on a functional basis in the Statement of Activities and in the Statement of Functional Expenses. Accordingly, certain costs have been allocated among the programs and supporting services benefited.

**Subsequent Events**

Management has evaluated subsequent events through August 25, 2021, the date, which the financial statements were available for issue.

**Donated Materials and Services**

Donated materials and services, if of a material amount, are reflected as contributions in the accompanying statements at their fair-market value at date of receipt. Contributed services are recognized if the services create or enhance nonfinancial assets or require specialized skills. No amounts have been reflected in the statements for donated services. However, a substantial number of volunteers have donated significant amounts of their time in the organization's program services and in its fund-raising events.

**2. BUILDING**

The building is located on land owned by the State of Connecticut. The State of Connecticut has agreed to let Thames River Community Service, Inc. lease the land for a forty-year period effective August 1990, at one dollar per year. The period may be extended. At termination of this lease, all improvements to the land shall become the property of the lessor. The fair value of the lease cannot be easily estimated therefore, there is no amount recorded for the contributed rent.

**THAMES RIVER COMMUNITY SERVICE, INC.  
NOTES TO FINANCIAL STATEMENT  
JUNE 30, 2021**

**3. NET ASSETS WITH DONOR RESTRICTIONS**

Net assets with donor restrictions are restricted for the following purpose or periods.

Employment	\$ 15,000
Camp	18,200
United Way future funding	76,024
Housing/Child Development	25,000
Internet	1,551
	<u>\$ 135,755</u>

**4. RETIREMENT PLAN**

A retirement plan has been established under the requirements of IRC 403(b). Employees must work two years and at least 1,000 hours during each year to be eligible for employer contributions. The employer plan contributions are computed up to a 3% match of eligible employees' wages. Employee contributions are optional. The retirement expense charged to operations in 2021 was \$7,522.

**5. NOTES PAYABLE**

The Organization has available for its use a \$50,000 line of credit. Bank advances on the credit line are payable on demand and carry an interest rate at the Bank's prime rate – which was 5.50% as of June 30, 2021. Interest is payable monthly. The credit line is secured by substantially all business assets of the Organization. There was no outstanding balance as of June 30, 2021.

**6. AVAILABILITY OF FINANCIAL ASSETS**

The following reflects Thames River Community Service, Inc.'s financial assets as of the balance sheet date, reduced by the amount not available for general use because of contractual or donor-imposed restrictions within one year of the balance sheet date:

Cash and cash equivalents	\$ 221,194
Contributions receivable	76,024
Government grant receivables	54,928
Accounts receivable	3,258
	<u>\$ 355,404</u>

As part of the Organization's liquidity management, it has a policy to structure its financial assets to be available as its general expenditures, liabilities, and other obligations come due. Although the Organization does not intend to spend from any other than amounts appropriated for general expenditure as part of its annual budget approval and appropriation process amounts from other sources could be made available if necessary. The Organization treats its investments as a quasi-endowment fund with a balance of \$130,795. Disbursements from this fund are only done with authorization from the Board of Directors.

**Thames River Community Service, Inc.**  
*One Thames River Place*  
*Norwich, CT 06360*  
*(860) 887-3288 | Fax (860) 887-4146*  
*www.trfp.org*



**Exhibit 2 – Insurance/Bond/Worker’s Compensation**  
(Please see attached Certificate of Liability Insurance for coverage amounts)

Thames River Community Service, Inc. has liability insurance coverage through Berkley Regional Insurance.

Thames River Community Service, Inc. pays all payroll taxes through our payroll processing agent, CSC Paymaster. A worker’s compensation policy is also maintained through the Worker’s Compensation Trust.

Thames River Community Service, Inc. has fidelity bond coverage through Berkley Regional Insurance.



THAMRIV-02

AGAGNON

# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)  
12/21/2021

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

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

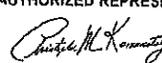
<b>PRODUCER</b> Smith Brothers Insurance, LLC. 68 National Drive Glastonbury, CT 06033	<b>CONTACT NAME:</b> Amanda Gagnon <b>PHONE (A/C, No, Ext):</b> (860) 430-3371 <b>FAX (A/C, No):</b> <b>E-MAIL ADDRESS:</b> agagnon@smithbrothersusa.com																				
	<table border="1"> <tr> <th colspan="2">INSURER(S) AFFORDING COVERAGE</th> <th>NAIC #</th> </tr> <tr> <td>INSURER A :</td> <td>Berkley Regional Insurance</td> <td>29580</td> </tr> <tr> <td>INSURER B :</td> <td>Workers Compensation Trust</td> <td></td> </tr> <tr> <td>INSURER C :</td> <td></td> <td></td> </tr> <tr> <td>INSURER D :</td> <td></td> <td></td> </tr> <tr> <td>INSURER E :</td> <td></td> <td></td> </tr> <tr> <td>INSURER F :</td> <td></td> <td></td> </tr> </table>	INSURER(S) AFFORDING COVERAGE		NAIC #	INSURER A :	Berkley Regional Insurance	29580	INSURER B :	Workers Compensation Trust		INSURER C :			INSURER D :			INSURER E :			INSURER F :	
INSURER(S) AFFORDING COVERAGE		NAIC #																			
INSURER A :	Berkley Regional Insurance	29580																			
INSURER B :	Workers Compensation Trust																				
INSURER C :																					
INSURER D :																					
INSURER E :																					
INSURER F :																					
<b>INSURED</b>  Thames River Community Service, Inc. One Thames River Place Norwich, CT 06360																					

**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 type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR  GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER:			HHS 8525846-15	12/31/2021	12/31/2022	EACH OCCURRENCE \$ 1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 100,000 MED EXP (Any one person) \$ 5,000 PERSONAL & ADV INJURY \$ 1,000,000 GENERAL AGGREGATE \$ 3,000,000 PRODUCTS - COMP/OP AGG \$ 3,000,000
A	AUTOMOBILE LIABILITY <input type="checkbox"/> ANY AUTO OWNED AUTOS ONLY <input checked="" type="checkbox"/> HIRED AUTOS ONLY <input checked="" type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> NON-OWNED AUTOS ONLY			HHS 8525846-15	12/31/2021	12/31/2022	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$
A	<input type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR <input checked="" type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED \$ <input checked="" type="checkbox"/> RETENTION \$ 0			HHS 8525846-15	12/31/2021	12/31/2022	EACH OCCURRENCE \$ 5,000,000 AGGREGATE \$ 5,000,000
B	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory In NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N	N/A	01192-09	3/3/2021	3/3/2022	<input checked="" type="checkbox"/> PER STATUTE <input type="checkbox"/> OTH-ER E.L. EACH ACCIDENT \$ 2,500,000 E.L. DISEASE - EA EMPLOYEE \$ 2,500,000 E.L. DISEASE - POLICY LIMIT \$ 2,500,000

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

<b>CERTIFICATE HOLDER</b>  City of Norwich, Office of Community Development 23 Union Street, 2nd Floor Norwich, CT 06360	<b>CANCELLATION</b>  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 
--	---

INTERNAL REVENUE SERVICE  
DISTRICT DIRECTOR  
6-P.D. BOX 1490  
BROOKLYN NY 11202

Date: FEB 05 1982

THAMES RIVER COMMUNITY SERVICE INC.  
C/O JAMES J. DUTTON JR.  
BRUSH JACOBSON ET AL  
22 BENT THORSE SQUARE  
MORRISCHES CT 06240

DEPARTMENT OF THE TREASURY

THAMES RIVER COMMUNITY SERVICE INC

Employer Identification Number:  
22-3095914  
Contact Person:  
TESAR A SHAWROD  
Contact Telephone Number:  
(718) 780-4833  
Accounting Period Ending:  
December 31  
Foundation Status Classification:  
509 (a) (2)  
Advance Ruling Period Begins:  
February 21, 1971  
Advance Ruling Period Ends:  
December 31, 1995  
Addendum Applies:  
Yes

Dear Applicant:

Based on information you supplied, and assuming your operations will be as stated in your application for recognition of exemption we have determined you are exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code as an organization described in section 501(c)(13).

Because you are a newly created organization we are not now making a final determination of your Foundation status under section 507(a) of the Code. However we have determined that you can reasonably expect to be a publicly supported organization described in section 507(d)(2).

Accordingly during an advance ruling period you will be treated as a publicly supported organization and not as a private foundation. This advance ruling period begins and ends on the dates shown above.

Within 90 days after the end of your advance ruling period you must send us the information needed to determine whether you have met the requirements of the applicable support test during the advance ruling period. If you establish that you have been a publicly supported organization we will classify you as a section 501(c)(1) or 501(c)(3) organization as long as you continue to meet the requirements of the applicable support test. If you do not meet the public support requirements during the advance ruling period we will classify you as a private foundation for future periods. Also if we classify you as a private foundation we will treat you as a private foundation from your beginning date for purposes of section 507(d) and 4948.

Members and contributors may rely on our determination that you are not a private foundation until 90 days after the end of your advance ruling period. If you need us the required information within the 90 day period and contributors may continue to rely on the advance determination until we have a final determination of your foundation status.

If we publish a notice in the Internal Revenue Bulletin stating that we

will no longer treat you as a publicly supported organization, members and contributors may not rely on this determination after the date we publish the notice. In addition if you lose your status as a publicly supported organization, a grantor or contributor was responsible for or was aware of the action or failure to act, that resulted in your loss of such status that person may not rely on this determination from the date of the act or failure to act. Also if a grantor or contributor learned that we had given notice that you would be removed from classification as a publicly supported organization, then that person may not rely on this determination as of the date he or she acquired such knowledge.

If you change your sources of support, your purposes, character, or method of operation, please let us know so we can consider the effect of the change on your exempt status and foundation status. If you amend your organizational document or bylaws, please send us a copy of the amended document or bylaws. Also let us know all changes in your name or address.

As of January 1, 1984, you are liable for social securities taxes under the Federal Insurance Contributions Act on amounts of \$100 or more you pay to each of your employees during a calendar year. You are not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the private foundation excise taxes under Chapter 43 of the Internal Revenue Code. However, you are not automatically exempt from other federal excise taxes. If you have any questions about excise taxes, employment, or other federal taxes, please let us know.

Donors may deduct contributions to you as provided in section 170 of the Internal Revenue 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, 2104, and 2522 of the Code.

Donors may deduct contributions to you only to the extent that their contributions are gifts, with no consideration received. Ticket purchases and similar payments in conjunction with fundraising events may not necessarily qualify as deductible contributions, depending on the circumstances. Revenue Ruling 67-246, published in Cumulative Bulletin 1967-2, on page 204, gives guidelines regarding when taxpayers may deduct payments for admission to, or other participation in, fundraising activities for charity.

Contributions to you are deductible by donors beginning February 21, 1991.

You are not required to file Form 990, Return of Organization Exempt From Income Tax, if your gross receipts each year are normally \$25,000 or less. If you receive a Form 990 package in the mail, simply attach the label provided. Check the box in the heading to indicate that your annual gross receipts are normally \$25,000 or less, and sign the return.

If you are required to file a return you must file it by the 15th day of

October 1985 (00/00)

THAMES RIVER COMMUNITY SERVICE INC

-4-

THAMES RIVER COMMUNITY SERVICE INC

of the Code that your exemption is effective February 21, 1991, the date your completed application was filed.

This determination is based on evidence that your funds are dedicated to the purposes listed in section 501(c)(3) of the Code. To assure your continued exemption you should keep records to show that funds are spent only for these purposes. If you distribute funds to other organizations, your records should show whether they are exempt under section 501(c)(3). In cases where the recipient's organization is not exempt under section 501(c)(3), you must have evidence that the funds will remain dedicated to the required purposes and the recipient will use the funds for these purposes.

If we said in the heading of this letter that an addendum applies, the addendum enclosed is an integral part of this letter.

Because this letter could help us resolve any questions about your exempt status and foundation status, you should keep it in your permanent records.

We have sent a copy of this letter to your representative as indicated in your power of attorney.

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

Sincerely yours,

*Eugene W. Alexander*  
Eugene W. Alexander  
District Director

Enclosure(s):  
Addendum  
Form 972-C

-5-

THAMES RIVER COMMUNITY SERVICE INC

Letter 198-00776

However, you have been determined to be exempt from Federal income tax under section 501(c)(4) of the Internal Revenue Code from the date of your application to Feb. 20, 1991, after which your exempt status under section 501(c)(3) of the Code takes effect.

the fifth month after the end of your annual accounting period. We charge a penalty of \$10 a day when a return is filed late, unless there is reasonable cause for the delay. However, the maximum penalty we charge cannot exceed \$5,000 or 5 percent of your gross receipts for the year, whichever is less. We may also charge this penalty if a return is not completed. So please be sure your return is complete before you file it.

You are not required to file federal income tax returns unless you are subject to the tax on unrelated business income under section 511 of the Code. If you are subject to this tax, you must file an income tax return on Form 990-T, Exempt Organization Business Income Tax Return. In this letter we are not determining whether any of your present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

You need an employer identification number even if you have no employees. If an employer identification number was not entered on your application, we will assign a number to you and advise you of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

In accordance with section 508(a) of the Code, the effective date of this determination letter is February 21, 1991.

Section 508(a)(2) of the Internal Revenue Code states we will not treat an organization as organized after October 9, 1989, as an organization described in section 501(c)(3) for any period before it gives notice that it is applying for recognition of exempt status if it gives such notice after the time prescribed in the regulations.

Section 1.508-1(a)(2)(7) of the Income Tax Regulations states that an organization seeking exemption under section 501(c)(3) must file the notice described in section 508(a) within 15 months from the end of the month in which it was organized. The notice is filed by submitting a properly completed Form 1023, exemption application, with the key district director.

Our records show that your notice was postmarked February 21, 1991, which is more than 15 months from the end of the month in which you were organized. Since the provisions of section 508(a)(2) apply to you, the effective date of your exemption is February 21, 1991. Contributions made after you or after this date are tax deductible.

Revenue Ruling 77-208, published in Cumulative Bulletin 1977-1, on page 123, states that if an organization does not apply within 15 months of its formation we will not consider financial information for the period prior to the date of its application for recognition of exempt status. We will not consider the date in determining an organization's private inurement or self-dealing rules. However, the period beginning and ending on the date of your advance ruling covers the period beginning and ending on the date of your advance ruling shown in the heading of this letter. Contributions made during the period shown in the heading of this letter are tax deductible. You have agreed on your application for exemption under section 501(c)(3)

**Board of Directors  
Thames River Community Service, Inc.**

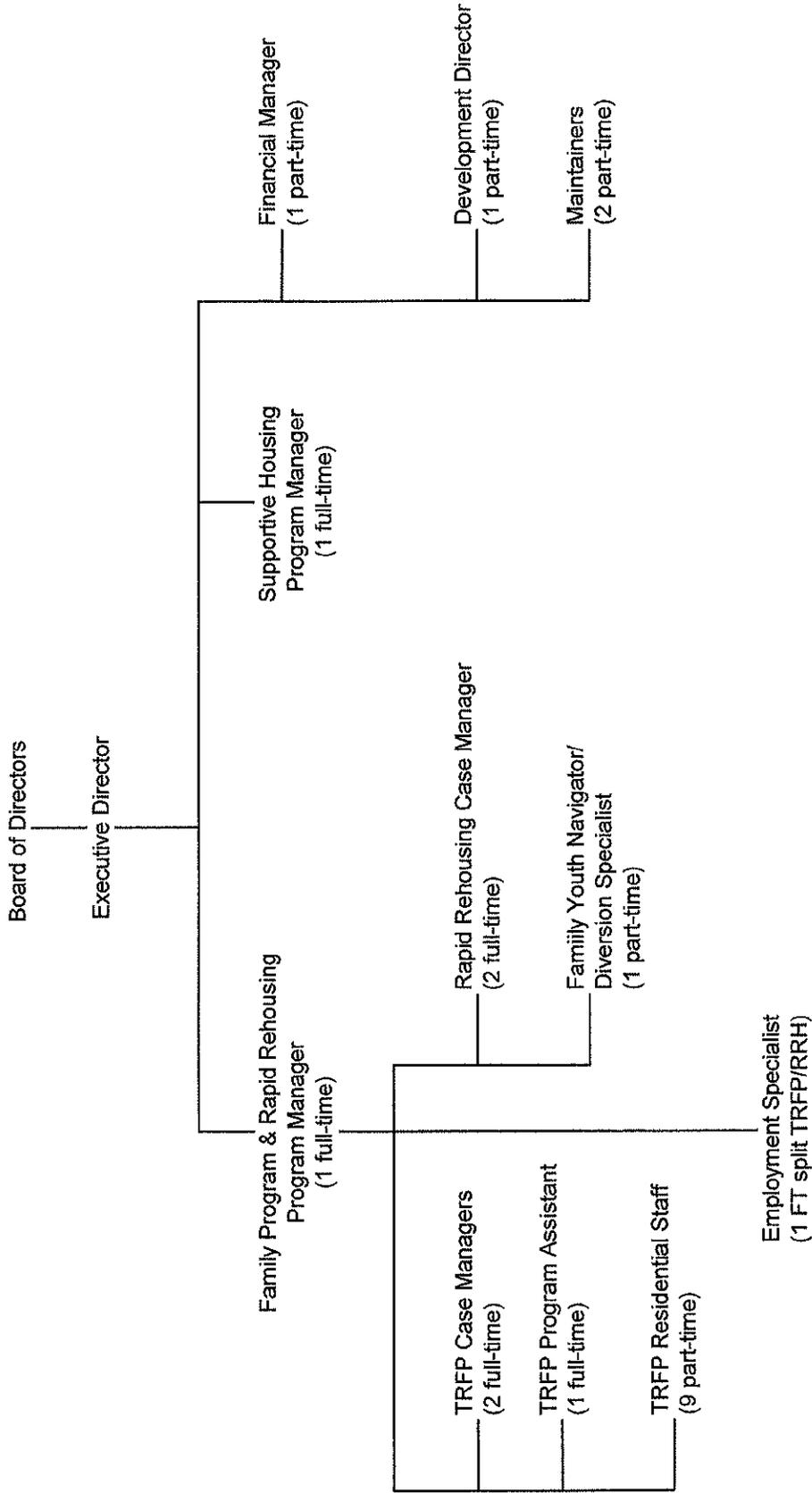
OFFICERS TITLE/NAME	BUSINESS ADDRESS	RESIDENCE ADDRESS
<b>Pres.</b> Mathew Lisee 860 319-0055 ext. 3 (W)	Capital Property Group, LLC 70 Main Street Jewett City, CT 06351	106 Main Street Sprague, CT 06330
<b>V. Pres.</b> Eric McDermott 860 823-4557 (C)	Norwich Public Utilities 16 Golden Street Norwich, CT 06360	4 York Court Ledyard, CT 06339
<b>Sec.</b> Debbie Eskra 860 460-0940 (C)	Retired	12 Cottage Place Groton, CT 06340
<b>Treas.</b> Gayle O'Neill 860 303-0404 (C)	Three Rivers Community College 574 New London Turnpike Norwich, CT 06360	150 Butlertown Road Waterford, CT 06385

DIRECTORS	BUSINESS ADDRESS	RESIDENCE ADDRESS
Sheila D. Coleman 860 335-2192 (C)	Aware Recovery Care 556 Washington Avenue, #201 North Haven, CT	111 Hollywood Avenue West Hartford, CT 06110
Elle Crichton 860 501-7747 (C)		80 Gill Street Colchester, CT 06415

<b>DIRECTORS</b>	<b>BUSINESS ADDRESS</b>	<b>RESIDENCE ADDRESS</b>
Keith Lee 860 514-1211	Restructure Massage 22 Pennsylvania Avenue Niantic, CT 06357	137 Wilbur Avenue Meriden, CT 06450
Courtney MacNeill 860 395-7229 (C)	Aware Recovery Care 556 Washington Avenue, #201 North Haven, CT	107 Trolley Crossing Lane Middletown, CT 06475
Marilynn St. Onge 860 208-3638 (C)	ECSU Foundation, Inc. 83 Windham Street Willimantic, CT 06226	159 South Bedlam Road Mansfield, CT 06250
Louise Summa (on leave of absence) 860 933-7374 (C)	Fiberoptics Technology, Inc. One Quassett Road Pomfret, CT 06258	P. O. Box 274 Brooklyn, CT 06234

THAMES RIVER COMMUNITY SERVICE, INC.

ORGANIZATIONAL CHART



**Kathy W. Allen  
68 Lake View Avenue  
Salem, CT 06420**

**EDUCATION**

BA. Sociology, University of Connecticut, Storrs, CT, May 1975.

M.A. Early Childhood Education, Educational Center for Human Development. Hartford, CT, November 1979.

**PROFESSIONAL EXPERIENCE**

**Thames River Community Service, Inc. Norwich, CT 06360**

**Executive Director:** Responsible for management and administration of the agency, including financial, personnel and operations management; providing the leadership necessary to achieve the mission and vision; attaining financial stability through fundraising and donor relations; and building stakeholder relationships.

**January 2016-present**

**Director of Services & Operations:** Responsible for daily operation of transitional living program, and Supportive Housing Program for homeless families and children. Development of program policies and procedures as well as coordination of programs to meet needs of families and goals of each of the three programs. Responsible for selection, training, supervision and evaluation of all staff and recruitment; admission to and discharge from programs as necessary. Responsible for preparation of program reports as required by funding sources, Board and oversight of financial policies and cash procedures.

**July 2002-December 2015**

**Madonna Place, Inc. Norwich, CT**

**Assistant Director/Program Coordinator:** Assist the Executive Director in the day-to-day operations of the total agency; responsible for the program development and management of the Family Support Center, including facilitating parenting, anger management and other support groups. Provide informal counseling, mentoring, and some case management of center participants. Work closely with the Department of Children and Families, the legal community, as well as other state and local agencies, on behalf of our clients. Supervise the child care worker in her duties as the playroom organizer, and oversee the Fatherhood Initiative Program. Represent and provide information about the agency throughout the community.

**November 1998-August 2002**

**Pooh Corner on the Thames. Norwich, CT**

**Child Care Center Director:** Responsible for daily operation of 45 child daycare program and supervision of 11 - 13 full and part time staff members, under the direction of the owner and Executive Director. Provided overall program development and worked with staff in planning and implementing developmentally appropriate curriculum for children enrolled in our program from 6 months to school age. Worked closely with parents to insure that lines of communication with staff were developed and maintained for the best interests of their children.

**October 1990-September 1998.**

**Three Rivers Community and Technical College. Norwich, CT**

**Adjunct Teacher:** Taught 3 different, 3 credit classes in the Early Childhood Education Department, including Child Development, Anti-Bias Curriculum, and Health, Safety and Nutrition.

**June 1990-June 1997.**

**Mohegan Community College. Norwich, CT**

**Class Instructor:** Participated in the Minority Fellowship Program for two semesters. Developed the curriculum and then taught the first "Anti-Bias Curriculum" class at the college. Course was designed to teach students how to create a curriculum for young children to help them to better understand and appreciate diversity.

**August 1989-June 1990.**

**Three Rivers Community and Technology College. Norwich, CT**

**Evening Administrator:** Acted as the liaison between the day-time administrative personnel in the Student Services Offices and those students and faculty who participated in the evening classes at the college; intervened when problems or crises arose during the evening; assisted with various projects and tasks which were an integral part of the daily functioning of the Student Services/Admissions Office. **October 1988-May 1990.**

**Mount Olive Day Care Programs, Inc. Hartford, CT**

**Executive Director:** Administered program consisting of 432 children in 7 centers and 3 home sites and a staff of 85. Provided professional assistance to the Board of Directors; implemented program philosophy and goals, and provided leadership for program planning; kept abreast of and implemented when necessary, current laws and regulations affecting children, families and education; supervised each Department's functioning within the total Program; worked with appropriate administrative staff in recruiting, employing and training staff; prepared annual budget and insured that Program operated within that budget; sought additional funds when necessary and wrote grant for the acquisition of these funds; represented and promoted the Program throughout the community.

**May 1981-August 1983.**

**Mount Olive Day Care Programs. Hartford, CT**

**Assistant Director:** Assisted the Executive Director in the overview of each Department within the Administrative staff; recruited and interviewed personnel for various staffing positions, supervised building maintenance and auxiliary services; assisted the Executive Director in business with the Board of Directors, supplying information and representing the Director in her absence; assisted Director with budget preparations; worked with appropriate administrative staff in disciplining or terminating when necessary; represented the Program in the community along with or instead of the Director; performed workshops at in-service staff training sessions; acted on the Director's behalf when necessary. **January 1980-May 1981.**

**Fox Day Care Center/Educational Center for Human Development Laboratory School, Hartford, CT**

**Director:** Supervised overall operation of 30 child, day care program, which included staff of 5; prepared curriculum, daily record and bookkeeping and supervised P.T.A. group. Integral part of job included preparing and implementing workshops for other day care center staffs. **June 1979-Dec. 1980.**

**Center City Churches Day Care Centers, Inc. (Central Baptist Day Care Center). Hartford, CT**

**Head Teacher:** Responsible for daily operation of 40 child center in conjunction with central administration, supervised teaching staff of 7, prepared and implemented curriculum, held regular staff meetings, trained inexperienced volunteer staff, prepared and implemented parent meetings and workshops, prepared progress reports on children and staff.

**October 1978- May 1979**

**Center City Churches Day Care Centers, Inc. (St. Monica's Day Care Center). Hartford, CT**

**Teacher:** Prepared daily lesson plans and activities for group of between 15 and 25 four-year olds. Supervised teacher aides and teacher assistants.

**May 1976-October 1978**

**Hartford Courant. Hartford, CT**

**Reporter:** Responsible for reporting and writing all news occurring within assigned town. Attended town meetings and met with various town personnel.

**June 1975-February 1976**

Astrid Aalund  
114 Baltic Hanover Road, Unit 1  
Baltic, CT 06330

## EXPERIENCE

### **Martin House Inc. /**

**Thames River Community Service, Inc.,** Norwich, Connecticut 1998-Present

Financial Manager for two non-profit organizations in a shared, full-time position.

Primary duties include accounts payable and receivable, revenue and expense allocations and classifications and producing organization and program budgets and reports for agency funders, management and board of directors. Other responsibilities include maintaining donor records, assisting in monitoring both private and government grants and supporting fundraising events.

**Manpower Temporary Services,** New London, Connecticut 1993-1996

### **Tiffany Award Winner**

Provided office services in word processing, bookkeeping, data entry and data base design for area employers which included Pfizer, Fleet Bank and Millstone.

**Colony Auction Gallery,** New London, Connecticut. 1992-1993

Office manager of small retail business. Responsible for sales, customer service, and bookkeeping.

**Trade Winds Gallery,** Mystic, Connecticut 1987-1993

Managed and provided office services for retail establishment. Responsible for sales, bookkeeping, inventory, data base design, and word processing.

**Mystic Color Lab,** Mystic, Connecticut. 1985-1986

Data entry clerk. Performed entry of customer orders and initial film sort.

### **Programs:**

Proficient in Word, Excel and Access. Adept in QuickBooks, MYOB, Works and WordStar. Type 60 w.p.m.

### **Equipment:**

Computer, Dictaphone, 10-key adding machine, cash register, point of sale retail computer, credit card processing terminal.

## EDUCATION:

Stonington High School, Pawcatuck, Connecticut.

New London School of Business, New London, Connecticut.



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

**APPLICANT CONFLICT OF INTEREST QUESTIONNAIRE  
 2022-2023 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