

CITY OF NORWICH
COMMUNITY DEVELOPMENT BLOCK GRANT • APPLICATION FOR FUNDING
NON-PUBLIC SERVICE

PROGRAM YEAR 2023 (PY 49) • SEPTEMBER 1, 2023 – AUGUST 31, 2024

DUE: Friday February 10th, 2023 AT 4 PM AT 23 UNION STREET, NORWICH, 2ND FLOOR

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

E-mail addresses:

sphelps@cityofnorwich.org (Sydney Phelps, Community Development Director)

tcurtis@cityofnorwich.org (Tianne Curtis, Program Assistant)

PART I: GENERAL INFORMATION

AGENCY: Thermos On The Thames Unit Owner's Association, Inc.

LEGAL NAME
(If different from Agency)

ADDRESS:

68 Thermos Ave, # 315
Norwich, CT 06360

E-MAIL:

~~Sr. Property Manager~~
~~EXECUTIVE DIRECTOR~~

gdillenbeck@sbcglobal.net
Kristin Davis, kristind@neproperty.com

CONTACT NAME & TITLE:

Ryan Eley, Association Treasurer

TELEPHONE:

(413) 867-9419

AGENCY FISCAL YEAR:

1/1 12/31
Begin End

PROJECT NAME:

Parking Area Renovation Project

CDBG REQUEST & AWARD AMOUNTS:

	REQUEST	AWARD
UPCOMING FISCAL YEAR (This Request) (September 1, 2023 – August 31, 2024)	\$ <u>75,000.⁰⁰</u>	\$ _____
CURRENT FISCAL YEAR (Prior Year Award) (September 1, 2022 – August 31, 2023)	\$ _____	\$ _____

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.

n/a
EXECUTIVE DIRECTOR/DEPT. HEAD

G Dillenbeck
PRESIDENT, BOARD OF DIRECTORS

Printed Name

Gerald Dillenbeck
Printed Name

Date

2/9/2023
Date

PART II: PROJECT INFORMATION

A. INTRODUCTION/AGENCY INFORMATION:

Thermos on the Thames (TOT) is a condominium association located at 68 Thermos Avenue in Norwich. The building is of historical significance and served as a manufacturing facility before being converted into a residential community hosting 88 units and the Integrated Day Charter School in the 1990's.

The TOT Condominium Association elects a Board of Directors, which is responsible for serving the interests of the community. The Board generally holds 1 meeting per month, but additional meeting times as needed.

TOT does not employ any full-time employees. Board positions are volunteer. TOT hired Northeast Property Group of New London, CT to manage the day-to-day financial and building maintenance services. TOT engaged Ayars & Associates, L.L.C. for legal services.

The residential community at Thermos on the Thames has not been a recipient of Federal Funding in excess of \$500,000. The Integrated Day Charter School, which occupies a portion of the property, has likely received Federal Funding greater than this amount. Those funds do not benefit the Residential Community.

B. STATEMENT OF NEED

The Residential Parking Structure for TOT partially collapsed in 2021 and it's use has been restricted by order of the City of Norwich. The deterioration of our parking area is causing significant hardship within our community, especially for those who require greater accessibility. In addition to the collapse, the stairways have deteriorated and are no longer safe to use. Lighting for the parking area is insufficient too.

This takes place within a larger issue of resilience and proactive planning to preserve this expensive historical industrial building now at a critical fifty year renewal threshold, since heating, electrical, plumbing, and energy inefficient window systems were installed during the condo renovation.

The Board received overwhelming support from Residential Unit Owners to move forward with a project to make critical improvements to Residential Parking and Exterior Preservation.

Success will be measured by the realization of physical improvements to this residential exterior demolition and preservation process. The Parking Area Renovation Project will be inspected by engineers at the City of Norwich Zoning Department.

C. PROJECT DESCRIPTION:

Project improvements shall include, in Phase I

- demolition of the overhead parking structure
- reconfiguration of the parking layout
- addition of new fencing and guard rails
- rehabilitation of the existing stairways

In Phase II

- improvements to the "cat-walk" from the Lobby to the Residential Building
- new exterior lighting
- roof repair
- exterior repointing and sealing
- health/safety improvements to recycling/trash facility

The Parking Area will be restricted during construction for a period of 4-6 weeks. The Residential Unit residents have been informed of the planned improvements and a committee was created of Resident/Owners to develop a plan for

this period. The plan includes the relocation of most of the residential parking to a lot on TOT property further from the building and along the side of roadways leading to the property. All HC parking will be relocated to Level 1, which will remain unimpacted during construction.

No funds will be used for salaries of TOT because TOT does not have employees and all Board members or active Resident/Owners are volunteers and unpaid.

D. TARGET POPULATION/AREA OF BENEFIT

The physical improvements will significantly improve health, safety, and resilience for the low- and moderate-income residents of Thermos on the Thames, which falls within the Norwich Urban Enterprise Zone.

E. IMPLEMENTATION SCHEDULE

TOT plans to begin work on the project in 2023. Several bidders submitted proposals for the work and a contractor has been selected for the Phase I work. Design development is in the process to finalize the scope of work.

F. REDUCED FUNDING QUESTIONS

TOT received \$200,000 in debt financing from First-Citizens Bank & Trust Company to begin the work in 2023. The project is being contracted and TOT plans to submit for construction permits in 2023.

G. PROJECT FEASIBILITY

Our existing financing will be sufficient to perform the work needed to make critical improvements, and also leave us with a level of debt to income that will preclude timely completion of Phase II exterior preservation objectives.

Without additional funding, TOT will be unable to make structural and accessibility improvements to the “catwalk” and the scope of work for lighting improvements will be significantly reduced. There is a desire to make additional improvements to add sidewalks, handrails, accessible routes, refuse area improvements, and security cameras.

H. CITY SUPPORT

TOT has received support from City Zoning Enforcement Office to develop the project improvements as scheduled. TOT Board members have met with City Fire Department about planned improvements, which will significantly improve access for Fire and other Emergency vehicles. We are also working with the Norwich Planning and Neighborhood Services Department toward a plan to repurpose the Brownfield industrial pollution site immediately adjacent to our parking area and residences.

COMMUNITY DEVELOPMENT NATIONAL OBJECTIVE

Does your project:

Address the needs of low- and/or moderate-income residents?
 (At least 51% of your clients must not exceed the income guidelines below or if your project is not client based it must be located in a census tract that is at least 51% low to moderate income) see chart

OR

Eliminate Slums or Blight?

OR

Improve a Low-Income census tract?

FY 2022 Income Limits Summary									
FY 2022 Income Limit Area	FY 2022 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 (\$)	\$ 39,450	\$ 45,050	\$ 50,700	\$ 56,300	\$ 60,850	\$ 65,350	\$ 69,850	\$ 74,350
	Extremely Low Income Limits (\$)*	\$ 23,700	\$ 27,050	\$ 30,450	\$ 33,800	\$ 36,550	\$ 39,250	\$ 41,950	\$ 46,630
Median Family Income \$102,700	Low (80%) Income Limits (\$)	\$ 62,600	\$ 71,550	\$ 80,500	\$ 89,400	\$ 96,600	\$ 103,750	\$ 110,900	\$ 118,050

PART III: BUDGET INFORMATION

CONSTRUCTION BUDGET

Construction/Clean-up Costs		\$250,000
Pre-Development Soft Costs:		
Legal	\$5,000	
Architectural & Engineering	\$15,000	
Survey	\$2,500	
Environmental testing	\$2,500	
Estimated total soft costs		\$25,000
Total Development Costs (construction & soft costs)		\$275,000

Sources of Funds (list all sources of funding for this project including other government funds, agency cash, private funds, CDBG, etc.)

SOURCE	AMOUNT
First-Citizens Bank & Trust Company	\$200,000
CDBG	\$ 75,000
	\$
	\$

USE	AMOUNT
Parking Area Renovation Project Phase 1	\$150,000
Exterior Renovation Phase II	\$125,000
	\$

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

Northeast Property Group, Inc. receives, records and deposits in the Association's bank account all common fees and other payments. They maintain payment histories of all unit owners showing all payments and charges. Prepare late notices and delinquency lists. NPG prepares for the Board of Directors the following Financial Reports on a monthly basis: Balance Sheet, Budget Comparison Report depicting Profit & Loss, Delinquency Report, Account Payables Report, General Ledger and Bank Statements. Audits are not required but recommended. Thermos on Thames last audit was 2006.

EXHIBIT 2 Insurance/Bond/Worker's Compensation

Thermos on the Thames has liability coverage in the amount of \$1,000,000 per occurrence, \$1,000,000 personal injury and \$2,000,000 general aggregate, held with Bouvier Insurance out of Waterford, CT. Thermos on the Thames holds a Workmen's Comp Policy, while not having its own employees. No payroll taxes are paid as Thermos on the Thames has no paid employees. Northeast Property Group insures all Property Managers under its own Fidelity Bond held with Bouvier Insurance as well. Please see Certificate of Insurance, attached.

Floyd Ozeck & Company, P.C.

Certified Public Accountants

Exhibit 1

INDEPENDENT AUDITORS' REPORT

Board of Directors
Thermos on the Thames Unit Owners Association, Inc.
Norwich, Connecticut

We have audited the accompanying balance sheet of Thermos on the Thames Unit Owners Association, Inc. as of December 31, 2006, and the related statements of revenue, expenses, and changes in fund balances, cash flows, and schedules for the year then ended. These financial statements are the responsibility of the Association. Our responsibility is to express an opinion on these financial statements based on our audit. The prior year summarized comparative information has been derived from the Association's December 31, 2005 financial statements and, in our report dated November 13, 2006 we expressed an unqualified opinion on those financial statements.

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 includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion. The budget was not audited by us and is presented for management purposes only.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Thermos on the Thames Unit Owners Association, Inc. as of December 31, 2006, and the results of its operations and its cash flows for the year then ended, in conformity accounting principles generally accepted in the United States of America.

Thermos on the Thames Unit Owners Association, Inc. has not estimated the remaining lives and replacement costs of the common property and, therefore, has not presented the information on future major repairs and replacements that the American Institute of Certified Public Accountants has determined is required to supplement, although not required to be a part of, the basic financial statements.

Floyd Ozeck & Company P.C.

Hamden, Connecticut
November 23, 2009



ADDITIONAL REMARKS SCHEDULE

AGENCY Bouvier Insurance		NAMED INSURED Thermos On The Thames Unit Owners Association, Inc. c/o Northeast Property Group 150 Eugene O'Neill Dr. New London, CT 06320	
POLICY NUMBER SEE PAGE 1			
CARRIER SEE PAGE 1	NAIC CODE SEE P 1	EFFECTIVE DATE: SEE PAGE 1	

ADDITIONAL REMARKS

THIS ADDITIONAL REMARKS FORM IS A SCHEDULE TO ACORD FORM,
FORM NUMBER: ACORD 25 FORM TITLE: Certificate of Liability Insurance

Building limits are scheduled as follows:
 - Main Residential/Commercial Building - \$23,217,835
 - 2-Unit Residential Building - \$601,183
 - Carport #1 Limit - \$300,000
 - Carport #2 Limit - \$300,000

Coverage is written on a special form, Replacement Cost, Agreed Value basis.
 Subject to \$15,000 deductible.
 Subject to \$15,000 per unit water damage deductible (\$75,000 minimum per occurrence)
 Subject to \$25,000 sewer/drain backup deductible.
 Subject to \$25,000 per occurrence Wind/Hail deductible.
 Subject to \$500 per-claim General Liability deductible.

Building coverage is All-In, including unit owner improvements and betterments.

No Coinsurance.
 No Inflation Guard.
 Equipment Breakdown is included.
 Ordinance & Law is included.
 Wind/Hail is included.
 Separation of insureds is included.
 Waiver of Subrogation included.

The Hartford - Employee Dishonesty \$500,000 limit, \$500 deductible, Property Manager Fidelity included.

EXHIBIT 3 Non-profit Determination
TOT is a non-profit housing association; not a 501c(3)

EXHIBIT 4 List of Board of Directors
Gerald Dillenbeck, President
Ryan Eley, Treasurer
Cynthia Hronis, Secretary
Ellen Retelle
Joanne Lund

EXHIBIT 5 Organizational Chart

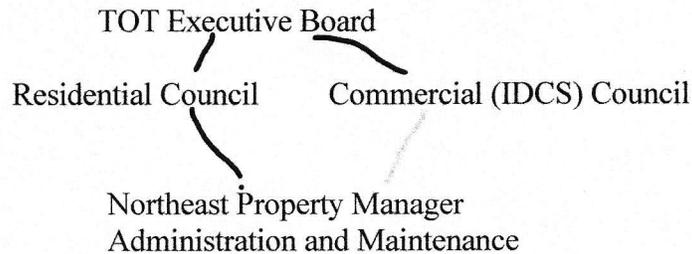


EXHIBIT 6 Resumes of Chief Program Administrator and Chief Fiscal Officer

RESUME pertaining to Gerald Dillenbeck, MPA, MDiv

Employment Background:

In Home Residential Services Contract Management, Dept. of Developmental Services
Retired in 2012 yet continue to train direct care providers, adapting nonviolent communication to exploring differences between win/lose competitive debates between empowered "professionals" and disempowered "consumers" with cognitive/affective challenges. Mediating win/win cooperative dialogue, creating a deep listening and learning culture supporting inclusive, multicultural, compassionately therapeutic communication.

Covenant to Care for Children, CT Dept. for Children and Families (DCF) contractor
Grant and contract management for this 35-year DCF contractor providing non-residential services to children with special needs. During five years of this time was also a licensed therapeutic care provider for medically complex children. Developed principles of compassion therapy in dialogue with win/win game theory, and cooperative empowerment models for public health administration.

Eddy Shelter, Middletown, CT: Residential Program Manager
Supervised case managers for chronically homeless adults, some with intellectual disabilities, most receiving housing and employment support services. Considerable multicultural communication experience Mediating disputes between "professionals" and "clients" who felt they were being neglected by service models confining them to the role of compliant consumers, to play a competitive game of win/lose capitalism which had become toxic and often triggered environmental "unsafe" cues, predicting further dehumanizing failure.

Education:

Double Master of Public Administration in Community Development, Southern Illinois University, Carbondale, Illinois; 1991. Organizing cooperative multicultural public health administration structures supporting open dialogue, curious about creative tensions between oppositional/appositional perceptions of bipolar defiance v dipolar contrast.

Master of Divinity, St. John's Seminary, Brighton, Massachusetts; 1987. Social and environmental justice, principles of nonviolence, cooperative parish administration.

Bachelor of Arts, University of Michigan, Ann Arbor, Michigan; 1975.

Double Major in Psychology and Communication. Redundancy of attitude change and persuasion through debate v dialogue.

Multicultural Community Mediation Certification, BRDGS Academy, May, 2021

Volunteer:

Norwich Youth Services Advisory Board
Thermos on the Thames Executive Board

Ryan Eley**cv****Work Experience**

Kiewit Infrastructure, Construction Engineer, 2009-2011

Boston Capital, Construction Risk Manager, 2012-2015

Tetra Tech, Haiti Project Engineer, 2016-2018

RWE Construction Services, President/Owner, 2018-Present

Education

Waterford High School, Class of 2005

Worcester Polytechnic Institute, BS in Civil & Environmental Engineering, 2009

Sawyer School of Business, Suffolk University, Masters in Business Admin, 2015

Licenses:

MA Construction Supervisors License #CS-117089

EXHIBIT 7 Conflict of Interest Disclosure

Form attached

- EXHIBIT 3 Non-profit Determination
Non-profit organizations must submit tax-exemption determination letters from the Federal Internal Revenue Service.
- EXHIBIT 4 List of Board of Directors
A list of the current board of directors or other governing body of the agency must be submitted. The list must include the name, telephone number, address, occupation or affiliation of each member; and must identify the principal officers of the governing body.
- EXHIBIT 5 Organizational Chart
An organizational chart must be provided which describes the agency's administrative framework and staff positions, which indicates where the proposed project will fit into the organizational structure and which identifies any staff positions of shared responsibility.
- EXHIBIT 6 Resumes of Chief Program Administrator and Chief Fiscal Officer
- EXHIBIT 7 Conflict of Interest Disclosure
Form attached

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

**APPLICANT CONFLICT OF INTEREST QUESTIONNAIRE
2023-2024 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 person, or CDAC member

**NORWICH COMMUNITY DEVELOPMENT BLOCK GRANT
 APPLICANT CONFLICT OF INTEREST QUESTIONNAIRE
 2023-2024 PROGRAM YEAR**

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 person, or CDAC member

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

**NORWICH COMMUNITY DEVELOPMENT BLOCK GRANT
APPLICANT CONFLICT OF INTEREST QUESTIONNAIRE
2023-2024 PROGRAM YEAR**

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

Name of Applicant: Thermos on the Thames Condominium Assn.

Signature of Applicant's Representative G. Dillenback

Title President, Executive Board Date 2/9/2023

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

§570.611 Conflict of interest.

(a) Applicability

(1) In the procurement of supplies, equipment, construction, and services by recipients and by subrecipients, the conflict of interest provisions in 2 CFR 200.317 and 200.318 shall apply.

(2) In all cases not governed by 2 CFR 200.317 and 200.318, the provisions of this section shall apply. Such cases include the acquisition and disposition of real property and the provision of assistance by the recipient or by its subrecipients to individuals, businesses, and other private entities under eligible activities that authorize such assistance (e.g., rehabilitation, preservation, and other improvements of private properties or facilities pursuant to §570.202; or grants, loans, and other assistance to businesses, individuals, and other private entities pursuant to §570.203, 570.204, 570.455, or 570.703(i)).

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

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

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

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 Thermos on the Thames Condo Association (print Business name)

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

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

 ✓ 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)

G Dillenbeck
Authorized Signer

2/9/2023
Date

Gerald Dillenbeck
Print Name