

**NORWALK REDEVELOPMENT AGENCY obo CITY OF NORWALK
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG-CV) PROGRAM
APPLICATION FORM FOR CDBG-CV FUNDS**

Applicant Agency/Organization Name: Family & Children’s Agency, Inc.

President/CEO/Executive Director’s Contact Information: Robert Cashel, President & CEO

Type of Organization: 501c3 non-profit social service organization

Applicant Mailing Address: 9 Mott Avenue Norwalk CT 06850

Project Location Address: 9 Mott Avenue Norwalk CT 06850 / 140 Water Street Norwalk CT 06854

Age of Building (Public Facility/Housing Applications Only): Not applicable

Contact Person (designated contact person for the project/proposal):

Name: Mary Ellen Hass

Title: COO

Phone #: (203) 855-8765

Email Address: MHass@FCAgency.org

Proposed Project/Activity Name: PPE and sanitation products to safely serve Norwalk’s most vulnerable residents in light of COVID-19.

Brief Description of the Proposed Project/Activity: Family & Children’s Agency is seeking \$26,000 in CDBG-CV funding to purchase Personal Protective Equipment (PPE) and EPA approved sanitation supplies to continue delivering a public service through programs that work with some of our community’s most vulnerable residents.

I certify that all information provided is correct to the best of my knowledge.



May 19, 2020

Name, Title & Signature

Date

Important: If your organization is submitting multiple requests within the same category, a prioritized list (of the activities) must be included with the applications.

PART 1. GENERAL INFORMATION

ORGANIZATION

1. Provide in the space below (or on a separate page) a brief description of your organization. Indicate if your organization has prior experience in carrying out a federally funded project/activity.

Based in Norwalk, Family & Children’s Agency (FCA) is a leading nonprofit, 501(c)(3) human service organization based in that is committed to increasing the social and emotional well-being of our clients. FCA was established in 1942 as the Family Service Bureau of Norwalk. The initial focus was on counseling women and families as they sought to cope with stress, separation and loss during World War II. Today, the Agency has over 200 employees who deliver more than 30 programs aligned with our mission: Building better lives and strengthening our community by providing essential human services to children, families, adults, and seniors.

2. Identify the “core” programs of your organization. Use the space below or a separate page. Core programs can be considered as services for which the greatest portion of your operating budget is allocated. Example: A homeless shelter’s “core” program might be its basic overnight shelter service, while it’s counseling or job placement services are “support” programs.

FCA works to build better lives by offering more than 30 programs that meet needs across the lifespan. We work to build families through our Foster Care and Adoption programs. We work to strengthen families through our Family Support, Child & Family Development and after school (ASPIRE) programs. We work to stabilize families through our Behavioral Health services and, for individuals experiencing homelessness, we offer a safe space to help them rebuild their lives through our Community Connections programs. Finally, we support families and the elderly with services to assist them throughout the aging process in our Home Care programs.

3. Check “YES” or “NO” to the following questions.

- A. Does your organization have a Board of Directors? YES NO
- B. Is your organization exempt under IRS Code 501(c) (3)? (If yes, provide documentation*) YES NO
- C. Are your organization’s services available to Norwalk residents? YES NO
- D. Does your organization have an EEO Policy? (Include a copy*) YES NO
- E. If a housing provider, does your organization have a written Fair Housing Policy including accessibility (504) requirements? YES NO
N/A
- F. Does your organization have a written Procurement Policy? YES NO
(Include a copy*)
- G. Is your organization considered a Faith-Based Organization? YES NO
- H. Include a copy of your written Policy on Personal Property Maintenance, Protection and Disposal* *Not applicable*
- I. Include a copy of your written Policy on Record Keeping*
- J. Include a copy of your most current audited Financial Statements

****Please note that requested documentation (from above) must be submitted to the Norwalk Redevelopment Office only if you are a new applicant or if there have been any changes to a previously filed documentation.***

PART 2. PROPOSED PROJECT/ACTIVITY**GENERAL DESCRIPTION**

1. In the space below or on a separate page provide a description of the proposed project you are applying for CDBG-CV funding to complete. Include in your description: user/client population (# served, elderly, children, etc.); client/user fees and/or rents (if any) for proposed service; membership requirements (if any); other restrictions (if any, for your proposed project/activity); and how the activity directly meets the objective of preventing, preparing for and/or responding to the COVID-19 outbreak. Omission of requested information may be a cause to reject application.

Each year, FCA works with over 13,000 clients of which 50% reside in Norwalk, approximately 7% are elderly and 17% are children. We provide an essential public service to prevent or respond to child abuse/neglect (Family Support and Foster Care), promote kindergarten readiness (Child & Family Development), close the opportunity gap among Norwalk's students (ASPIRE), work with the homeless to become self-sufficient (Community Connections), promote mental wellbeing (Behavioral Health) and support the elderly to live safely and independently (Home Care). To ensure these vulnerable client populations have a low barrier to accessing services, over 70% of our services are delivered in the home. In response to the COVID-19 epidemic, the Agency moved all of its staff to working remotely in mid-March and we continue to provide services using telehealth.

Now, as the state of Connecticut begins to enact its reopening plans, FCA is identifying its core programs that provide services that are essential to be delivered in person/in office and *not* via telehealth. One such core program is Community Connections. Here, FCA serves adults who are unsheltered or marginally housed, 100% of whom have "resided" in Norwalk for at least a portion of the year and 100% are LMI. For over 300 clients per year, the Community Connections Center provides: assistance securing state and federal benefits, case management, housing advocacy, on-site skill building workshops and referrals to additional supportive services (e.g. mental health; domestic violence) throughout the community. While Community Connections offers these support programs, an additional benefit of the Center is that it offers a safe, indoor location for adults who are homeless to be during the day, out of the extreme weather, which is more critical now than ever with little to no places to go, including local shelters. In response to the COVID-19 pandemic, when the Center reopens, we will have to follow safety protocols which will include providing employees and clients with appropriate PPE, sanitizing the Center daily and limiting capacity. These efforts are geared toward preventing the spread of the virus while also responding to the current reality we are living in and providing a public service for some of Norwalk's most vulnerable adults.

Similarly, our substance abuse program for women (Project REWARD) is a service that is critical to be provided in person. While telehealth has worked well for individual therapy, we are not able to offer groups which is a central piece of the substance abuse treatment modality. Additionally, taking into consideration that more than 85% of women in substance abuse treatment have histories of trauma, the hallmark work of Project REWARD – integrating trauma therapy into addiction treatment – is challenging to do in an emotionally safe way via telehealth and thus is a barrier to women beginning to heal from trauma and achieve sobriety. Each year, Project REWARD works with approximately 70 women, 75% of whom reside in Norwalk, 96% are LMI and the majority of whom are mothers. As FCA begins to plan to re-start in-person treatment in Project REWARD, we will need to follow similar protocols as those described for Community Connections Center: providing employees and clients with appropriate PPE, sanitizing the Center daily and using a large enough space to ensure proper social distancing. This, too, is an effort to

prevent the spread of COVID-19 while continuing to provide a public service to end addiction and the associated consequences that tend to strain our legal and child protective systems.

2. Check the box that best describes the proposed project/activity.

- Public service activity
- Rehabilitation activity
- New construction activity
- Real property acquisition activity (i.e. land/building).
- Other (explain) _____

3. Check the box that applies to the proposed project/activity.

- New "core" program
- Expansion of existing "core" program
- Support of existing "core" program (with no expansion)
- New "support" program
- Expansion of existing "support" program
- Existing "support" program (with no expansion)
- Other (explain) _____

4. Is the proposed project/activity located on property owned by a church or entity having a primarily religious purpose? YES NO

5. How many persons or families (unduplicated #s) will the proposed project/activity serve? Indicate one as follows: # _____ Week
_____ Month
370 / Year

- | | | |
|----|--|--|
| 6. | How many persons or families (unduplicated #s) in Question 7, above will qualify as CDBG-CV income-eligible (using the CDBG-CV table on Page 2 of this application)? | # _____ Week
_____ Month
<u>367</u> Year |
| 7. | How many persons or families (unduplicated #s) are Norwalk residents and qualify as CDBG-CV income eligible (using the CDBG-CV income guidelines on Page 2 of this application)? | # _____ Week
_____ Month
<u>349</u> Year |

*** Failure to answer Questions 6 – 9 may disqualify application.**

- | | | |
|----|--|---|
| 8. | What kinds of client records does or will your organization require from applicants/users of the proposed project/activity? <u>Check more than one box, if necessary</u> . Note that the organization must be able to prove the income eligibility of beneficiaries. | <input checked="" type="checkbox"/> Name
<input checked="" type="checkbox"/> Address
<input checked="" type="checkbox"/> Income
<input type="checkbox"/> Other |
| 9. | Of the categories listed, check (below) which best describes the low and moderate-income (LMI) client benefit of the proposed project/activity. Indicate that you have provided documentation with the application evidencing the below qualification. Examples: Client In-take forms (no names), proposed rents, etc. | |

Note: Failure to provide such documentation may disqualify the application for the CDBG-CV award.

- Area Benefit.** Activity meets needs of LMI persons residing in an area where at least 51% of the residents are LMI. Note: An Area Benefit activity is available to all persons in the neighborhood or community regardless of income. However, the area where the activity is located must qualify as an LMI neighborhood.
Documentation Attached:
- Limited Client Benefit.** Activity benefits a specific group of people who qualify as LMI persons. The activity must meet one (1) of the criteria below. If your proposed project/activity qualifies under one of the subcategories, check the applicable number.
Documentation Attached:
 - (1) Project/activity maintains client records on income and family size records documenting that such persons qualify as LMI.
 - (2) Project/activity has income eligibility requirements that limit the activity exclusively to LMI persons.
 - (3) Project/activity is of such a nature and location that it may be concluded the clientele are primarily LMI persons.
 - (4) Project/activity clientele are presumed (by HUD) to be principally LMI persons (i.e. homeless, handicapped, etc.)

PART 3. PROJECT/ACTIVITY FUNDING

1. Have you requested other funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? Yes No

If yes, please explain:

Not applicable.

Is your organization receiving other/additional funding (independent of CDBG-CV) related to the prevention, preparation and/or response to the COVID-19 pandemic? Yes No.

If yes, please explain below and include any letter(s) of commitment for ongoing funds or approved funds from other source(s) to assist with the proposed project that you are requesting.

If yes, what funding source?	Amount Requeste	Amount Approve	Amount Pending	Amount
NOT APPLICABLE		NOT	APPLICABLE	

2. What is the total cost of the proposed project? Attach a copy of the budget summary for the proposal. Use it to estimate all costs directly related to the proposed project. If approved, you may be required to further itemize the costs. Rehabilitation/construction project/activities must include copies of contractor and/or architect/engineer estimate.

The total cost of the project is \$26,077 as detailed in the attached budget.

3. Describe your organization’s fiscal management, including financial reporting, payment procedures, accounting systems, and audit requirements.

FCA’s Board of Directors determines the present and future direction of the Agency by: setting overall policy; establishing goals and objectives with regular feedback and appraisal; hiring and evaluating the President & CEO; stewardship of assets; resource development; monitoring financial practices; and serving as ambassadors to the community. FCA’s Finance Committee monitors the finance functions and provides accurate and timely financial information to the Board of Directors. The Committee also reviews the annual financial statements completed by independent auditors and provides advice to management and the Board of Directors to assure that the financial structure of the Corporation is adequate for current and long-term needs. This committee meets six (6) times per year and provides written financial reports to Committee members during months when meetings are not held.

The Agency follows operational procedures that address internal auditing controls. We have a comprehensive and descriptive chart of accounts that was approved by our auditor and is the basis of our general ledger. All reports generated for Agency monitoring follow the chart of accounts. To the extent possible, the Agency separates the duties of the fiscal management team. Revenues and expenses are recorded daily by our Bookkeeping Department and bank deposits are made daily. All expenses are pre-approved by department managers or supervisors and checks are signed by the pre-approved signatories listed with our bank. Checks of more than \$5,000 require any two approved signatures. No staff financial personnel are signatories. All Agency assets are managed by the Board of Directors and require Board approval for any changes.

Additionally, each year, an independent audit firm evaluates FCA's accounting practices and financial statements. For over 20 years, the Agency has been issued a "clean audit", with the external auditor finding no material deficiencies in internal accounting practices.

4. Attach an explanation on how the proposed project will affect your administrative budget (example: additional personnel, maintenance, office space, etc.) Include an explanation on long- term plans for funding/sustaining the proposed project.

While FCA is a large organization, PPE and sanitation to simply bringing two core programs back into the office will cost the Agency over \$25,000 annually. As we create out FY21 budget, this will be included and we anticipate our budgetary gap will grow. FCA has a robust Development Department what is responsible for raising over \$2.5M each year. They will continue to actively pursue all public and private philanthropy opportunities to support this increase in our maintenance and G&A line items going forward.

5. Attach a timetable/schedule for the proposed project, including anticipated dates (start to finish).

As long as guidance from state and local officials indicate it remains appropriate to do so, beginning in July 2020 FCA will begin to enact its plans to move the above mentioned programs back to in-office work, using the PPE, sanitation procedures and capacity limitations noted. We anticipate having to continue doing so until this public health crisis is over. As a result, as of May 2020, FCA has already begun to procure the requisite PPE and sanitation supplies needed to safely have clients and staff in the Community Connections Center and Project REWARD.

PART 4. ORGANIZATIONAL EFFICIENCY

1. How many staff members will be directly associated with the proposed project?

	Professional	Support	Volunteer
Full-Time Staff	6	1	
Part-Time Staff	1	2	

Include a list of those involved in completing the project. The list must include: each person’s name and a brief summary of job duties in relation to the proposed project.

See attached.

2. If your organization has an elected or appointed board, complete the questions below.

NAME OF BOARD/COMMITTEE: Family & Children’s Agency’s Board of Directors

List the names of the individuals on the board and the position they may hold on the board.

Please see attached Board list.

a. **Number of voting board members as of January 1, 2020** 30 **Vacancies?** 0

b. **How many board members reside within the City of Norwalk?** 6

c. **How are the board members chosen?**

The Board Governance Committee develops and modifies the criteria for Board membership and then uses this criterion to nominate proposed Officers and Directors. The committee is also responsible for Board orientation and Board succession planning. The committee’s list of prospective Board members is presented in writing to the Board of Directors no later than 30 days preceding the annual meeting. This committee meets two to three (2-3) times per year.

d. **Does your organization provide any board training and/or orientation?** yes no
If so, how often is training provided?

Orientation is provided for Board members once they have been voted onto the Board of Directors. This covers FCA’s program array, fundraising activities and Board Committee opportunities (e.g. Finance Committee; Board Governance Committee etc.). Each year, Board members sign a Conflict of Interest form and are provided with on-going education around the Agency’s programs and shifting community needs at Board meetings.

e. **How long is a term?** 3 years **How many consecutive terms may be served?** Unlimited

PART 5. DUPLICATION/COORDINATION/COOPERATION

1. **Has the organization attempted to coordinate the project with other agencies to avoid duplication of services?** Yes no **If yes, please explain.**

Through the various collective impact (Opening Doors Fairfield County; Norwalk ACTS) and community collaborations (e.g. South Western Area Agency on Aging) that FCA participates in, we have worked to identify cost-effective ways to procure PPE and sanitizing products. While we were fortunate to connect with the Grace Farms Foundation to receive some PPE (including disposable

facemasks and gloves) and a limited amount of PPE from the City of Norwalk through Deanna D'Amore (Director of Health), the Agency has prioritized this to be used by our Home Care caregivers who are working in the homes of elderly clients. We have not yet found a source of support to purchase PPE and sanitizing products for our in-office programs like the Community Connections Center and Project REWARD so that FCA can safely begin to deliver these services in person again this summer.

2. Identify other agencies in Norwalk (including non-profit and government) that provide services similar to your proposed project. How do the programs differ? How do they overlap? Is there collaboration with the other agencies?

FCA knows its community partners providing services to people experiencing homelessness or recovering from addictions (e.g. Open Door Shelter; Liberation Programs; Connecticut Renaissance etc.) are each endeavoring to define internal policies and procedures to begin delivering in-person services again. Since each organization is unique, our proposed project is geared specifically toward FCA's clients and employees. Having said that, FCA leadership actively participate in collective impact efforts (e.g. Opening Doors Fairfield County) and, if a collaborative opportunity to procure PPE and/or sanitizing products, we would be happy to participate. Additionally, our program leadership continually communicates with community partners to identify what other organizations are doing to adapt service delivery in the face of COVID-19 so we can share lessons learned and best practices. Finally, FCA's Executive Team regularly communicates with Lamond Daniels (Chief of Community Services) and Deanna D'Amore (Director of Health) to ensure our plans are aligned with city recommendations and that FCA can collaborate with local government, where applicable.

3. Identify other agencies in Norwalk that provide services directed toward the same target beneficiaries of your proposed project/service. Do you provide interagency referrals to other agencies serving the same target beneficiaries?

While some shelters now remain open during the day, the majority of our clients are unsheltered or marginally housed and *not* engaged in the shelter system, which makes the Center their only resource. The individuals we serve at the Community Connections Center have very limited resources and often struggle to cope with day-to-day expectations. In fact, of the 320 clients served in FY19, 84% came to the Center multiple times, demonstrating what a critical community resource it is for individuals who are homeless or marginally housed.

Similarly, other organizations provide addiction treatment services (e.g. Liberation Programs) but *no* other program is **only** for women, providing substance abuse treatment at the Intensive Outpatient and Outpatient levels of care. This is essential due to the previously noted high co-occurrence of trauma and substance abuse where, oftentimes, women have been victimized by men. Having a gender-specific program provides a level of safety and security other programs cannot provide, even if they offer gender-specific groups within their programs.

While our programs are unique, FCA values collaborations and partnerships and absolutely refers to and works closely with these other providers.

PART 6. DISCLOSURE OF INTERESTS

To assist the City of Norwalk in determining whether there may be a potential conflict of interest related to the expenditure of Community Development Block Grant - CV funds we request the following information be provided by applicants:

ORGANIZATION NAME: Family & Children’s Agency

Organization is:

- 1. Corporation ()
- 2. Non-Profit 501(c)(3) (**X**)
- 3. Partnership ()
- 4. Sole Owner ()
- 5. Association ()
- 6. Other () _____

If additional space is necessary, please attach a separate sheet.

1. State the names of each employee of the City of Norwalk having a financial or personal interest in the above-mentioned organization or project proposed.

Name, Job Title and Norwalk Redevelopment Agency Department

Not applicable.

2. State the name(s) of any current or prior elected or appointed official of the City of Norwalk having a potential "financial interest" in the organization or project.

Name/Title

Not applicable.

NOTE: If the applicant has provided names in question 1 or 2, please provide details regarding any known potential conflicts of interest in an attached narrative.



Department of the Treasury
Internal Revenue Service

P.O. Box 2508
Cincinnati OH 45201

In reply refer to: 0248325826
Nov. 24, 2008 LTR 4168C E0
06-0970985 000000 00 000
00019300
BODC: TE

FAMILY & CHILDRENS AGENCY INC
% S RICH
9 MOTT AVE
NORWALK CT 06850



7783

Employer Identification Number: 06-0970985
Person to Contact: Ms. Fox
Toll Free Telephone Number: 1-877-829-5500

Dear Taxpayer:

This is in response to your request of Nov. 13, 2008, regarding your tax-exempt status.

Our records indicate that a determination letter was issued in February 1994, that recognized you as exempt from Federal income tax, and discloses that you are currently exempt under section 501(c)(03) of the Internal Revenue Code.

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

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

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

Sincerely yours,

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

Equal Employment Opportunity

POLICY

It is the policy of Family & Children's Agency, Inc. (FCA) that applicants for employment are recruited, selected, and hired on the basis of individual merit and ability with respect to positions being filled. An integral part of this policy is to provide equal employment opportunity for all persons. FCA will administer hiring, working conditions, benefits, compensation practices, training, employment functions (including, but not limited to promotion, demotion, transfer, termination and reduction in force), and FCA-sponsored educational, social, and recreational programs, without regard to race, creed, color, religion, national origin, ancestry, alienage or citizenship status, age, disability or handicap, sex, marital status, familial status, veteran status, sexual orientation, gender identity or expression, genetic information or any other protected status.

In accordance with applicable law, and to ensure equal employment opportunities to qualified individuals with disabilities, FCA will endeavor to make reasonable accommodations for the known physical or mental disabilities of an otherwise qualified employee to enable the employee to perform the essential functions of his or her position unless the accommodation would impose an undue hardship on FCA's operations.

PROCEDURE

FCA will administer hiring, working conditions, benefits, compensation practices, training, employment functions (including, but not limited to promotion, demotion, transfer, termination and reduction in force), and FCA-sponsored educational, social and recreational programs, without regard to race color, religion, national origin, gender, age, mental or physical disability, sexual orientation, marital status, veteran status, or any other proscribed basis.

FCA shall maintain a plan for positive action to achieve equal employment for all persons in the filling of its staff positions. The Director of Human Resources shall be assigned to act as an Affirmative Action Officer for the agency.

Family & Children's Agency, Inc

Administration and Management

MANUAL SECTION: RISK PREVENTION & MANAGEMENT REVISED: January 2017

POLICY: CASE RECORD CONTENT AND MAINTENANCE

Policy

It is the policy of Family & Children's Agency to maintain case records for all clients that contain complete, sufficient and factual documentation of services provided.

Procedure

Staff providing direct services to the Agency's clients and their supervisors are considered "authorized personnel" and are the only staff able to enter information into FCA's Electronic Health Record (EVOLV). These authorized personnel are responsible for maintaining accurate client records. Work with clients is expected to be documented in a way that identifies the client, supports the services/interventions used and documents service delivery from intake to discharge.

To do so:

- A record is opened for each primary client served at the Agency. Family members of the primary client are also entered into EVOLV if they are engaged in the Agency's services.
- Case records include demographic information of all clients served (primary clients and their family members engaged in services)
- Staff maintain case records in compliance federal/state laws (including HIPAA privacy laws) and, where applicable, adhere to contractual expectations with funders and/or billing requirements. As such, case records include:
 - Reason for referral
 - Intake and subsequent assessments
 - Legal, medical and psychiatric information (as applicable)
 - Intake documents including (but not limited to) Consent for Services and Release of Information documents signed by the client or guardian in cases where the client is a minor
 - Service plans that have been co-signed by the client (either electronically or on paper) demonstrating the client's active involvement in service planning and the development of mutually agreed upon goals
 - Progress notes documenting ongoing services at a frequency that meets the legal/contractual/billing requirements for the service

- Electronic staff signatures on all case notes, with co-signatures by a supervisor where appropriate
- Documentation of collateral contact and coordination of care (as applicable)
- Discharge and aftercare planning as appropriate
- A discharge summary
- At case closure, un-summarized notes and personal observations/impressions are removed, as needed.

To ensure case records are maintained accurately and appropriately, each quarter a representative sample of client cases are reviewed through the Agency's PQI process. Each program area has a record review tool specifically designed for their records, which not only ensures consistency across reviewers but also identifies program-specific items needed to maintain compliance and high-quality content.

Family & Children's Agency, Inc.

Administration and Management

MANUAL SECTION: ETHICAL PRACTICE

REVISED: August 2013

POLICY: CLIENT RECORD RETENTION AND DESTRUCTION

Page 1 of 1

Policy:

All client records are safely retained by Family and Children's Agency for a specified period of time in accordance with state and federal laws.

Procedure

1. Unless dictated by specific state statute, all closed paper records are routinely kept in a locked file or secured area for seven (7) years. Electronic records continue to be maintained as a closed record in FCA's Electronic Health Record. If there has been no contact at all during that 7-year period, written and electronic records may be destroyed.
2. In the case of foster care records, they will be kept for a period of 25 years.
3. In the case of adoption records in which FCA is the child placing agency, records will be kept in perpetuity. Records in which an adoption has occurred are kept permanently in locked files or on CD's (archived). Those cases of couples or individuals who applied for adoption or a birthparent who was counseled regarding adoption, but no adoption ever occurred, will be destroyed after seven (7) years.
4. If services resume during the 7-year period, the records remain in our possession, the record will be reactivated and appropriately updated with new intake data.
5. All paper client records will be destroyed through shredding after the aforementioned time periods have expired. The Agency's Electronic Health Record has the capacity to securely store client records in perpetuity.

Family & Children's Agency, Inc

Human Resources

POLICY: PERSONNEL RECORDS

REVISED: August 2017

PAGE 1 OF 1

POLICY

Personnel records are the property of FCA. The information they contain is considered confidential and is disclosed only to those who have a business need to see the information they contain. Employees may view and obtain copies of their personnel records by submitting a written request to Human Resources. Human Resources will handle all requests in accordance with Connecticut state law.

Any employee who views, accesses or shares information from a personnel record without authorization is subject to disciplinary action, up to and including discharge.

PROCEDURE

Personnel files will not be permitted to be removed from agency premises, employee requests to view personnel files shall be submitted to Human Resources in writing and will be responded to in accordance with Connecticut's personnel file law.

Section: **ACCOUNTING**

Last Revision Date: 01/20/2017

POLICY Description: **INTERNAL CONTROLS Management**

Policy Page 1 of 5

The Agency follows operational procedures that address internal auditing controls. We have a comprehensive and descriptive chart of accounts that was approved by our auditor and is the basis of our general ledger. All reports generated for Agency monitoring follow the chart of accounts.

Summary

1. Revenues and expenses are recorded daily by our Accounting Department and bank deposits are made daily. All expenses are pre-approved by department managers or supervisors. Checks are signed by the pre-approved signatories listed with our bank and no staff financial personnel are signatories. Checks of more than \$5,000 require any two approved signatures.
2. The Agency is always very careful to maximize its resources. FCA always uses our tax-exempt status for all purchases, gets at least three bids for any large purchases or contracts, and has a centralized purchasing person who buys for all the departments. All purchase requisitions must be approved by the director of the program.
3. All Agency assets are managed by the Board of Directors and require Board approval for any changes. To the extent possible, the Agency separates the duties of the fiscal management team. An Administrative Assistant opens and distributes the mail, placing all checks in the safe. The Accounting Clerk receipts money and make deposits. Accounts Payable clerk enters cost-center manager-approved vouchers into the system for payment (Refer to Accounts Payable procedures); system-printed checks are signed and mailed (Refer to Signatories policy). The Accountant reconciles the bank statements. As stated previously, the Accountant does not sign the checks.
4. All payments to the IRS and other taxing authorities are made on a timely basis and the payroll reports are filed directly for us by ADP, the vendor who handles our payroll. During the year, the Agency operates on a modified accrual system. At the end of each fiscal year we report the final audit on the accrual method. Records of bank statements, receipts and disbursements, and monthly updating of the general ledger can be examined on site. Bank reconciliation is done monthly by the Accountant, reviewed by the Director of Finance and annually by our auditor.

Signature Authorities

Type of Expenditure or Transaction	Authority Amount by Position	
A. <i>Business Commitments and Authorizations</i>		
1. Proposals/grants	any	President
2. Contracts	any	President
B. <i>Banking and Financing</i>		
1. Password access to bank accounts	na	Vice President/CFO Director of Finance
2. Authorized to negotiate and commit the Corporation to financing arrangement (with approval of the full Board of Directors upon recommendation of the Finance Committee)	any	President
3. Authorized to execute investments	any	Endowment Committee
C. <i>Personnel Matters</i>		
1. New hires of the President	Director of HR with approval	
2. Temporary employees or contract labor personnel	Vice Presidents with approval of the President	
3. Transfers or changes in labor classification (direct to indirect and vice versa)	Program Vice President	
4. Employment agency fees and/or employment advertising	Program Manager, Vice President and Director of HR	
5. Salary action, transfer, promotion and termination	Vice President with approval of the President	
6. Job descriptions	Program Manager and Vice President	
7. Leave of absence	President	
8. Education authorization and refund	Senior Management Committee	
D. <i>Expenditures for:</i>		
1. Major investments (capital and construction-in-progress; sale/lease-back arrangements; major modifications or betterment; intangible assets)	Over \$100,000 Board of Directors	
2. Capital asset purchases:		
As budgeted and approved by the Board of Directors	\$25,000--\$99,999	President
	Up to \$24,999	Vice President/CFO
3. Overhead expenses		
These are common operating costs and occupancy expenses that can include rent, common fees, utilities, insurances, benefits, general office		

- | | | |
|--|---|-----------------------------|
| supplies (paper, etc.), etc. | up to \$4,999 | Program Mgr. |
| | \$5,000 and over | VP/CFO |
| 4. Consultants and representatives and executive search agreements | any | President |
| 5. Legal fees and retainers | any | President |
| E. Other Costs | | |
| 1. Time sheet (electronic) approvals | Direct supervisor/Program Manager for each area worked in | |
| 2. Non-Exempt overtime authorization | In advance by Program Manager | |
| 3. Association dues – Agency Membership | | President |
| 4. Expense reports | Direct supervisor/Program Manager | |
| F. Other Matters | | |
| 1. Disposal of capital assets | | Vice President/CFO |
| 2. Write-off of accounts receivable | | Program Director and VP/COO |

Endorsement Requirements for Agency Checks

- A. All checks issued by the Agency over \$5,000 must be signed by **two** authorized officials, each of whom is independent of the control of the other person. Any one authorized signer can sign checks under this amount. The authorized signers are the:
Board Chair, Treasurer, President and/or any authorized Vice President
- B. The practice of pre-signing blank checks is a specific violation of the Organization's internal control structure.

Security of Financial Data

- A. The organization's automated accounting system will have sufficient built-in general controls and application controls to preclude unauthorized access to data.
- B. Access to any computer-based financial data will be granted on a need-to-know basis and will be restricted by a series of passwords to be revised periodically.
- C. The system's accounting data will be backed up after use and stored in a safe location (data and system files are backed-up locally and offsite); paper records are stored in locked file cabinets.

Security of Corporate Documents

Originals of the following important corporate documents will be maintained at the indicated location and its presence verified on a periodic basis (electronic versions – PDF files – are usually maintained as files in secured directories):

<u>Document</u>	<u>Location</u>	<u>Frequency of Inventory</u>
Minutes of the Board of Directors	President's Office	Bi-Monthly
Banking agreements	Finance Files	Annually

Financing documents	Finance Files	Annually
Leases	Finance Files	Annually
Insurance policies	Finance Files	Annually
Contracts and subcontracts	Finance Files	Annually

Use of Company Credit Cards

Scope of Policy

Company Credit cards may be issued to senior management based upon need and at the determination of the President/CEO and the V.P./CFO. A card will be issued to an individual only if there is a significant and ongoing requirement for the benefits provided by its usage. The President/CEO will approve all expenditures and the Finance Department will maintain close oversight and control over company credit card usage to reduce the risk of fraud.

Credit Card Usage

1. The credit card may only be used for business-reimbursable expenses. These expenses may include items such as miscellaneous purchases, travel expenses, hotel accommodations, books, subscriptions, seminars, etc., where the issuance of a check is not practicable, or where a credit card is required as the means of payment or it is needed for a deposit or to make a reservation.
2. Detailed transaction receipts supporting the credit card statement must be provided to accounting to enable payment processing by the statement due date and to serve as backup to the employee's expense report or request for reimbursement.
3. The employee may not use the credit card for cash advances or check writing privileges.
4. The credit card expenditures made by the President/CEO may be reviewed by board, finance committee, and/or audit committee chairs at any time.
5. Violations of this policy will result in termination of corporate credit card privileges and may result in disciplinary action up to and including termination of employment.
6. The Finance Committee will review periodically the list of cardholders and the individual card limits.

Credit Card Payment Processing Procedure

The agency receives one consolidated invoice for the charges on all US Bank agency credit cards. Since it is our policy to pay the entire balance to avoid interest charges, the consolidated bill allows us to make one payment (usually via ACH payment through the bank's website upon receipt of the statement (bill)) by the due date to additionally insure that late fees are eliminated.

Each card holder will receive a monthly statement – a 'pro-forma' or memo statement of the individual account / card transactions.

Processing procedure:

1. Apply the proper account code for each transaction on the statement (in the 'notation' column)
2. Attach all receipts and transaction documentation to the statement
3. Sign your statement (this signifies that all charges are proper business expenses)
4. Submit to the President for approval signature
5. President submits to Accounts Payable department for payment processing
6. Each memo statement will be matched to the official consolidated statement by A/P department.
7. Consolidated payment request will be reviewed and approved by the CFO
8. A/P prepares payment, insuring adequate time for US Bank's receipt by the due date

Credit Cardholders List

Per the Company Credit Card Usage Policy, the Finance Committee will review periodically the list of cardholders and the individual card limits.

At December, 2016, the following cards are authorized and issued:

Rob Cashel	President & CEO	\$30,200.
Rocky Rossetti	Vice President & CFO	\$25,000.
Mary Ellen Hass	Executive Vice President & COO	\$20,000.
Kathy Seiden	Vice President	\$10,000.

The Agency has a combined \$30,200 credit limit (USBank.Visa.Business).

Family & Children's Agency, Inc.

Service Delivery Administration Standards

MANUAL SECTION: RISK PREVENTION & MANAGEMENT

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POLICY: ESTABLISHING AND MONITORING CONTRACTS

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Policy

It is the policy of Family & Children's Agency, Inc. to use written contracts and purchase of service agreements that contain all significant terms and conditions in accordance with applicable law. The organization has a standardized system for contracting practices and conducts due diligence in all of its contracting activities.

Procedure

1. When it is determined that the agency wishes to contract with outside vendors for services needed a purchase of service (POS) agreement will be executed. Information to be included in the agreement will be:

- Description of the services to be provided
- Length of time of the contract
- Cost for services rendered
- Conditions for termination

All POS agreements will be reviewed and approved by the Executive Vice President and when necessary, the Chief Financial Officer. Ongoing monitoring and compliance with POS agreements will be the responsibility of the Human Resource & Facility Supervisor and the Chief Operating Officer/Executive Vice President.

2. When it is determined that a sub-contract is necessary in order to provide a service to our client population, the Program Director of the service identifies potential agencies with the capability and expertise to provide the service. Also considered is whether contractors meet applicable licensing standards and/or national accreditation standards. The organization must further have sufficient human and financial resources to fulfill the terms of the contract.
3. This is discussed with the COO/Executive Vice President and a decision is made based on prior experience with the agency and discussions with the Director of the potential collaborating and contracting agency.

Family & Children's Agency, Inc.

Service Delivery Administration Standards

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4. These discussions are wide ranging and cover all aspects of service delivery and contracting procedures including:
 - a. administrative and programmatic accountability
 - b. reporting on the quantity and quality of services delivered under the contract
 - c. performance evaluation
5. The terms of compensation and the payment method are discussed and agreed upon.
6. Once all the terms of the service have been agreed upon, the COO/Executive Vice President will review the contract. The contract will include, among other items:
 - a. Description of the roles and responsibilities of the participating organizations
 - b. Description of the services to be provided
 - c. Eligibility criteria
 - d. Target population
 - e. Length of time of the contract
 - f. Procedure for sharing information
 - g. Conditions for termination
 - h. Expected outcomes
 - i. Cost for services rendered
7. The Executive Vice President reviews each agreement, ensures that all the terms of the agreement are consistent with what was negotiated between the Agency and the vendor, ensures compliance by the Agency to all reporting requirements, both programmatic and financial, and that the Agency can meet all statutory requirements. If necessary, the agreement is reviewed by the CFO/Vice President of Finance to review the budget and all other financial aspects of the contract. All contracts must comply with the Agency's mission and purpose. Upon satisfactory review the Executive Vice President and the CFO/Vice President of Finance, the contract is presented to the President/CEO for signature.

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8. After the service begins, meetings are held between the Program Directors of the two collaborating agencies monthly for the first quarter and then quarterly thereafter. At these meetings the agency monitors the terms of the contract, progress toward outcome measures are discussed, human resource issues are resolved, and the effectiveness of the collaboration is discussed and evaluated.
9. If, during the monitoring and evaluation activities, deficiencies are discovered, the collaborating agencies develop a corrective action plan and follow up to ensure remediation has occurred.
10. At the end of the contract year an evaluation meeting is held which covers
 - a. Administrative and programmatic accountability
 - b. Reporting on the quantity and quality of services delivered under the contract
 - c. Performance evaluation
11. If corrective action is needed, it is outlined in writing, shared with the sub-contractor, and followed up on in the quarterly meetings.

Family & Children's Agency, Inc.

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MANUAL SECTION: RISK PREVENTION & MANAGEMENT

REVISED: Sept. 2009

POLICY: COLLABORATIVE SERVICE AGREEMENTS

Page 1 of 1

Policy

Family & Children's Agency, Inc. has numerous collaborative service agreements for each of its services. When the Agency enters into a collaboration to provide a service to a family or individual, we sign an agreement that lists:

- The services exchanged or provided
- The goals and objectives of the collaborative
- The roles and responsibility of each organization, including reporting responsibilities
- Procedures for sharing information
- Confidentiality protections, including signed written consent forms

These service collaborative agreements are signed by both agency executives and kept on file in the contract storage room at the administrative offices at Mott Avenue as well as at the program office.



9 Mott Ave. | Norwalk, CT 06850 | (203) 853-8763
www.FamilyandChildrensAgency.org

Family And Childrens Agency Client Personal Information v3

Client: **DOB:** **Gender:** **ID#**

Name

Last Name: _____
 First Name: _____
 Name Suffix: _____
 Salutation: _____
 AKA: _____
 Maiden Name: _____
 Gender: _____
 Anonymous: _____

Address Information

Personal Address:

Type Type of Residence Care of Name ZIP Code Street Address 1 Street Address 2 City State Community District County Landlord Address Date Mailing Address? GeoCode Zipcode Zone Home Phone Directions

Emergency Contact Info

Add Emergency Contact:

Relationship	Emergency Team	Treatment Member	Post Discharge Incident Follow Up	Notify? Contact?	Can Handle Caregiver Affairs	Can Consent to Personal Information	Has Release Area(s) of Medical Assistance	Frequency of Interactions	Eligible Off Campus	On Campus	Can Pick Up Client	Day Overnight To	From Collateral	Calls to from Client	Allow Access to Portal?	Remarks				
<u>Collateral To</u>	<u>Effective Contact</u>	<u>Member</u>	<u>Notify? Contact?</u>	<u>Caregiver Affairs</u>	<u>to</u>	<u>Assistance</u>	<u>Consenter</u>	<u>Interactions</u>	<u>Visitor</u>	<u>Campus</u>	<u>Campus</u>	<u>Client</u>	<u>Pass</u>	<u>Pass</u>	<u>Collateral</u>	<u>Collateral</u>	<u>allowed</u>	<u>allowed</u>	<u>Portal?</u>	<u>Remarks</u>

Family Information

Family Structure: _____
Family Size: _____
 # of Dependents: _____
 Family Employed: _____
Annual Family Income Range: _____
 Primary Language: _____

Demographic Information

Date of Birth: _____
 State of Birth: _____
 City Of Birth: _____
 Birth Certificate Attachment: No document attached
 City of Birth Other: _____
 Country of Birth: _____
 Country of Birth: _____
 Country of Birth (Other): _____
 Birth Last Name: _____
 Birth First Name: _____
 Birth Middle Name: _____
 Birth Suff Name: _____
 Mothers First Name: _____
 Special Population: _____
 Deceased: _____
 Date of Death: _____
 Blood Type: _____
 Declined to Provide Ethnicity: _____
 Ethnicity: _____
 Ethnicity Detail: _____
 Declined to Provide Race: _____

Race - Select Only One Option:

Race	Detail	Other Designation	Priority
Religion:	_____		
Citizenship:	_____		
Is Veteran:	_____		
Veteran Status:	_____		

Marital History:

Marital Status	Start Date	End Date	Reason for Ending
_____	_____	_____	_____

Disabilities:

Disability	Other Description	Accommodation Needed
_____	_____	_____

Identifying Information

Social Security Number: _____
 SSN Card Attached: _____
 Social Security Attachment: No document attached
 SSI Number: _____
 Drivers License: _____



Line Item	Cost	Narrative
KN95 Masks	\$ 3,160	One year supply of KN95 masks for 10 staff; Employees will use KN95 masks for up to five days in alignment with what hospitals (e.g. Yale New Haven Health Systems) are having medical staff do.
Disposable surgical masks	\$ 15,818	One year supply of disposable surgical masks for Community Connections Center and Project REWARD clients, based on FCA's COVID-19 site capacity limits for both programs.
Gloves (Size S,M&L)	\$ 2,420	One year supply of disposable gloves in sizes small, medium and large for clients and staff in both programs, assuming both clients and staff will need at least 3 pairs of gloves/day (e.g. after eating at the Center; after giving a urinalysis sample in Project REWARD.)
Viking Pure (Pure SAN; Pure Clean)	\$ 4,680	One year supply of EPA-approved sanitizing solution applied via fogger in Community Connections Center and Project REWARD after daily use.
TOTAL	\$ 26,077	



STAFF LIST

Community Connections Center

Name	Title	Licensure	Description of duties
Chris Jachino	Director of Community Connections	MSW, LCSW	Administrative oversight of program and supervision of Manager; establishes plans to mitigate COVID-19 risk to
Brooke Pantaleo	Coordinator, Community Connections Center	N/A	Responsible for day to day program operations, including ensuring adequate supply orders of PPE
Jodi Wesley	Program Assistant	N/A	Work with clients at the Center on weekdays; distributes PPE to clients
Adriana Fuchs	Case Manager	N/A	Support clients with information and referrals for housing, employment, behavioral health etc.; Distributes PPE to clients
Michelle Nelson	Program Aide	N/A	Work with clients at the Center on weekends; distributes PPE to clients
Tatum Miller	Program Aide	N/A	Work with clients at the Center on weekends; distributes PPE to clients

Project REWARD

Name	Title	Licensure	Description of duties
Elizabeth Murdoch	Director of Behavioral Health	MSW, LCSW	Administrative oversight of program and supervision of Manager; establishes plans to mitigate COVID-19 risk to



Keith Lepp, MD	FCA Medical Director	MD	Medical oversight of program, collaborates with staff and provides psychiatric care to clients
Jessica Vivenzio	Manager, Project Reward	MSW, LCSW, CAC,	Responsible for day to day program operations, including ensuring adequate supply orders of PPE; maintains a caseload of clients for group and individual therapy
Sheila Sneed	Clinical Coordinator, S.A. Counselor	LADC, CAC	Providing individual and group therapy to women in treatment for substance abuse disorders; distributes PPE to clients for individual and group therapy