



# 2015 S.L. Gimbel Foundation Fund Grant Application

Internal Use Only:  
Grant: 20150638

## Organization / Agency Information

<b>Organization/Agency Name:</b> Housatonic Valley Association, Inc. <span style="float: right; color: purple;">19989</span>		
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<b>Mailing Address:</b> P.O. Box 28, Cornwall Bridge, CT 06754 ✓		
<b>CEO or Director:</b> Lynn A. Werner, Executive Director ✓		
<b>Phone:</b> (860) 672-6678	<b>Fax:</b> (860) 672-0169	<b>Email:</b> lynn hva@hotmail.com
<b>Contact Person:</b> Dennis Regan, Berkshire Director		
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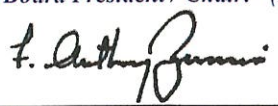
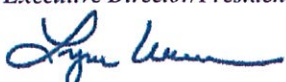
## Program / Grant Information

**Interest Area:**  Animal Protection  Education  Environment  Health  Human

Dignity

<b>Program/Project Name:</b> West Branch River Access Project—Pittsfield, Massachusetts		<b>Amount of Grant Requested:</b> \$24,000 <span style="color: blue; font-size: 1.5em;">75,800</span>	
<b>Total Organization Budget:</b> \$1,809,388	<b>Per 990, Percentage of Program Service Expenses (Column B/Column A x 100):</b> 88.3%	<b>Per 990, Percentage of Management &amp; General Expenses Only (Column C/Column A x 100):</b> 5.4%	<b>Per 990, Percentage of Management &amp; General Expenses and Fundraising (Column C+D/Column A x 100):</b> 11.7%
<b>Purpose of Grant Request (one sentence):</b> Partnering with the City of Pittsfield, HVA will install a safe, new public river paddling access site in an urban neighborhood on the West Branch of the Housatonic River.			
<b>Gimbel Grants Received: List Year(s) and Award Amount(s)</b> 2013 \$ 9,566 2014 \$17,075			

## Signatures

<b>Board President / Chair:</b> (Print name and Title) F. Anthony Zunino, President, Board of Directors 	<b>Date:</b> 6/30/2015
<b>Executive Director/President:</b> (Print name and Title) Lynn Werner, Executive Director 	<b>Date:</b> 6/30/2015

## 2015 S.L. Gimbel Foundation Fund -- Application Narrative

### **I. Organization Background; Target Population:**

Housatonic Valley Association (HVA) is a watershed conservation organization whose mission is to protect the natural character and environmental health of the Housatonic River watershed for this and future generations. Founded in 1941, HVA is the sole group dedicated to protecting the 150 mile-long Housatonic River and its entire 2,000 square-mile watershed that encompasses parts of 83 communities and 850,000 people from western Massachusetts through western Connecticut and a small part of eastern New York State to Long Island Sound. HVA fulfills its mission by establishing partnerships with agencies and organizations; conducting research, education, and advocacy; and providing technical assistance to communities and neighborhood groups. HVA operates from offices in Cornwall Bridge, CT; Lee, MA; and Wassaic, NY. We achieve our mission through three major programs and associated projects: 1) Land Protection, 2) Water Protection, and 3) Community Education and Events.

Recent accomplishments: We have worked to restore fish and wildlife habitat by targeting more than 200 road culvert crossings for replacement; organized the first Zebra Mussel Task Force; removed tons of garbage from rivers and streams; installed four new paddling access sites; conserved 39 acres of undeveloped riverfront land and 341 acres of forest; worked with municipalities to reduce polluted runoff; published paddles guides; held workshops, trail walks and paddle trips; and brought watershed science education to 100's of elementary school students.

### **II. Project Information: West Branch Access Project--A proposal for the installation of a public river paddling access site on the Housatonic River in Pittsfield, Mass.**

Partnering with the City of Pittsfield, HVA proposes to extend the Housatonic River water trail system by installing a safe public paddling access site. The Housatonic flows through the center of Berkshire County in western Massachusetts and is both a natural treasure and scenic resource. This West Branch project is a critical component of an overall, river-long initiative to urge people to get out and enjoy the river. HVA finds that once people experience the river, they appreciate it and tend to protect this beautiful resource. With more people on the river, riverside communities becomes more informed and active in being local river stewards. This project will allow hundreds of paddlers of all ages to enjoy serene and scenic river trips.

**A) Statement of Community Need:** For decades, people have been afraid to 'come down to' the Housatonic River in Pittsfield because of former industrial pollution. The river passes through a typical urban area of houses, businesses and roadways. Despoiled decades ago by the dumping of toxic PCB's, for many years the river was unfit for paddling. Today, as the result of a US EPA settlement with the industrial polluter and a massive 20-year clean-up effort, the river is both safe to paddle upon and a treasure to be explored. The Massachusetts Executive Office of Energy and Environmental Affairs (EOEEA) describes the West Branch as "a hidden asset" providing "a beautiful natural environment in the heart of the city – a place to walk beside, to enjoy from a canoe, or from which to see the local wildlife that also live within the community." It encourages Westside residents to "share in making the River a safer, healthier, more attractive place for all to

enjoy” and urges the city to “work with HVA to assess the suitability of stretches of the river for recreational use; confirm the best sites for canoe and kayak access, including nearby parking.”

The river here, shaded and hidden from the city environment, has the potential to become a premier town attraction, available for recreation and scenic enjoyment, and a boon for local tourism. Now is the time to re-introduce the public to this natural resource.

There is only one other public access site on the whole West Branch of the river. The proposed site lies half-way between the next upstream and downstream access locations (see map), making it a prime location for initiating local paddle trips. This is a critical piece of an overall watershed-wide initiative to entice people to enjoy the river. It is also an ideal location for HVA’s river education and awareness programs and sponsoring of river trips for urban youth.

**B) Project Goal:** 1. Installation of a safe, new public river access site in an urban neighborhood on the West Branch of the Housatonic River in Pittsfield, Massachusetts.

**Project Description:** Partnering with the City of Pittsfield, HVA’s Berkshire Director will serve as project manager to coordinate the design, permitting and installation of a paddling access site, located on existing city-owned property. The city’s Director of the Open Space and Recreation Department and the Conservation Agent have recommended this location. HVA concurs that this is an ideal site. The gently sloping area appears easy to convert into safe access to the river along with adequate parking. A professional engineer will design and lay out the site, taking care to manage stormwater run-off and paddler safety issues. Construction will proceed with grading, base material, topped by a plating of large, flat stones. The city will contribute DPU (Department of Public Utilities) in-kind services (materials, equipment and labor) for the construction, helping keep costs down. Please see the attached photo of a similar access site we recently designed and installed.

**Meeting the community need:** The new site will provide additional paddling access and increased stewardship and conservation of the river. Additionally, the goal of the City to revitalize the West Branch neighborhood will be furthered.

## **2. Objectives & Timeline:**

Objective I: Project design completed

Activity I: HVA will hire an engineer to design the site and produce bid documents

Deliverable I: Design drawings and bid specifications (completed by month 4)

Objective II: Obtain all City permits

Activity II: Engineer and HVA project manager submit permit applications

Deliverable: All permits secured (completed by month 9)

Objective III: Construction contract awarded

Activity III: HVA selects a construction firm to install access

Deliverable III: Contract signed (completed by month 12)

Objective IV: Construction completed on time, on budget

Activity: Contractors and City DPU install site and parking lot

Deliverable III: Site completed and open to public (completed by month 15)

3. This grant will serve the general population (44,057) of the City of Pittsfield, the third largest city of western Massachusetts; plus hundreds of recreationalists of all ages who birdwatch, fish and paddle the river.

4. How this project relates to other existing projects: Who else is providing this service or has a similar project? Who are your community partners? How are you utilizing volunteers? This project fits perfectly with the recommendations of the EOEEA to revitalize the neighborhood. No one else is creating new river access sites. We work closely with Berkshire Environmental Action Team (BEAT) in various environmental issues in Pittsfield. We utilize volunteers extensively with the following projects: annual West Branch River Clean up, planting and maintaining various rain gardens along Main Street in Pittsfield, volunteer water quality monitoring programs, and by conducting a River Assessment Report.

### **C) Project Outcomes and Evaluation**

1. What are the key anticipated outcomes of the project and impact on participants?
2. How will you know if you have achieved the expected outcomes?
3. How will progress towards the objectives be tracked and outcomes measured?

Outcome 1: A safe, user-friendly canoe and kayak access site is completed

Evaluation 1: Access is open to the public

Outcome 2: Hundreds of people of all ages will enjoy boating on the river from this site

Evaluation 2: City of Pittsfield's Recreation Department will monitor usage

Outcome 3: Donors, partners and sponsors will be recognized for their contributions

Evaluation 3: Interpretive sign with safe boating, river info and sponsors will be installed

**D) Use of Grant Funds:** Grant will be used for project management, engineering, construction services and for informational signage.

### **III. Project Future**

No further funding will be needed once the project is completed. The City of Pittsfield has agreed to perform routine maintenance at the site.

### **IV. Governance, Executive Leadership and Key Personnel/Staff Qualifications**

**A) HVA's 16 member Board of Directors** meets six times a year and represents the diversity of the general population of watershed communities. Its role is oversight of the organization. The President and Executive Committee work closely with, and annually evaluate, the Executive Director who is responsible for managing the staff, budget and program. The Board makes decisions based upon input from the Executive Director and Finance, Governance, Development, Land and Water Protection Committees.

**B) Project Manager, Dennis Regan** has served as HVA Berkshire Director since 1999. His responsibilities include collaborating with numerous partners in watershed communities on issues affecting the quality of the Housatonic River watershed. Specific programs include the development of the Stream Teams, volunteer water quality monitoring programs, greenway development, development of educational awareness programs, coordination of river clean-up programs, and community involvement programs. Regan has overseen the installation of 2 canoe/kayak access sites on the Housatonic River. He holds a Master of Agriculture degree in Natural Resource Development from Texas A&M University and a Bachelor of Science degree in Community and Outdoor Recreation, Springfield College.

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### V. Project Budget

Provide a detailed line-item budget for your project by completing the table below.

**A breakdown of specific line item requests and attendant costs should include:**

- 1) Line item requests for materials, supplies, equipment and others:
  - a. Identify and list the type of materials, supplies, equipment, etc.
  - b. Specify the unit cost, number of units, and total cost
  - c. Use a formula/equation as applicable. (i.e. 40 books @ \$100 each = \$4000)
- 2) Line item requests for staff, compensation, benefits:
  - a. Identify the position; for each position request, specify the hourly rate and the number of hours (i.e. \$20/hr x 20 hours/week x 20 weeks = \$8,000)
  - b. For benefits, provide the formula and calculation (i.e. \$8,000 x 25% = \$2,000)

Line Item Description	Line Item Explanation	Support From Your Agency	Other Funders	Requested Amount From TCF	Line Item Total of Project
Salary: Dennis Regan, Berkshire Program Director	For Program Development & Administration, \$45/hr x 100 hours			\$4,500	\$4,500
Taxes and Benefits @ 24%	Payroll; Workmen's Comp; Medical, Life & Disability Insurance			\$1,100	\$1,100
Travel Costs	D. Regan: Travel to meetings with contractors, agencies, engineer 200 mi./\$.50			\$ 100	\$ 100
Engineering Cost	Foresight Land Services: Wetland marking \$600 Topo survey \$1,800 Concept Design \$1,400 Meetings \$400 Design w/costs \$2,000 Wetland permit \$1,600 Site visits \$350 Public Meetings \$800		\$3,000	\$8,950	\$8,950
Interpretive Sign	For canoe safety, river conservation,			\$1,000	\$1,000

	sponsors				
Sub-total of Direct Costs	All above items				\$15,650
Indirect Costs @ 15%	Occupancy, depreciation, audit, heat, light		\$1,000	\$1,350	\$2,350
Sub-total of Pre-Construction Costs for Project Planning, Design & Permitting	All above costs				\$18,000
Estimated Construction Cost*	Contractors, materials, machines and labor to install access site		\$5,000	\$10,000	\$15,000
<b>TOTALS:</b>			\$9,000	\$24,000	\$33,000

\*Without engineered plans we do not have a hard figure. In conversations with an engineer, we are led to believe this proposal appears to be a fairly simple design and this cost estimate reasonable.

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**VI. Sources of Funding:** Please list your current sources of funding and amounts.

### *Secured/Awarded*

Name of Funder: Foundation, Corporation, Government	Amount
Housatonic Valley Association (In-kind)	\$1,000

### *Pending*

Name of Funder: Foundation, Corporation, Government	Amount	Decision Date
City of Pittsfield (In-kind for construction materials, machines, labor)	\$5,000	By month 5
Banks and Businesses (grants)	\$3,000	By month 6

**Diversity of Funding Sources:** A financially healthy organization should have a diverse mix of funding sources. Complete those categories that apply to your organization using figures from your most recent fiscal year.

Funding Source	Amount	% of Total Revenue	Funding Source	Amount	% of Total Revenue
Contributions	\$306,878	32.3	Program Fees	13,337	1.4
Fundraising/Special Events	\$166,527	17.5	Interest Income	22,332	2.3
Corp/Foundation Grants	\$304,658	32.0	OtherRent/Misc	11,617	1.2
Government Grants	\$127,946	13.4	Other:	\$	

Notes:

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**VII. Financial Analysis**

**Agency Name:** Housatonic Valley Association, Inc.

**Most Current Fiscal Year (Dates):** From July-1, 2013 To: June 30, 2014

This section presents an overview of an applicant organization’s financial health and will be reviewed along with the grant proposal. Provide all the information requested on your **entire organization**. Include any notes that may explain any extraordinary circumstances. Information should be taken from your most recent 990 and audit. **Double check your figures!**

**Form 990, Part IX: Statement of Functional Expenses**

**1) Transfer the totals for each of the columns, Line 25- Total functional expenses (page 10)**

(A) Total Expenses	(B) Program service expenses	(C) Management & general expenses	(D) Fundraising expenses
\$1,417,613	\$1,252,158	\$76,299	\$89,156

**2) Calculate the percentages of Columns B, C, and D, over A (per totals above)**

- Program services (B) – A general rule is that at least 75% of total expenses should be used to support programs
- Management & general administration (C) – A general rule is that no more than 15% of total expenses should be used for management & general expenses
- Fundraising (D) – A general rule is that no more than 10% of total expenses should be used for fundraising

(A) Total Expenses	(B) Program service expenses	(C) Management & general expenses	(D) Fundraising expenses
	Columns B / A x 100	Columns C / A x 100	Columns D / A x 100
Must equal 100%	88.3%	5.4%	6.3%

- 3) Calculate the difference between your CURRENT year budget for management & general expenses and your previous management & general expenses per your 990 (Column C)

Percentage of Organization's Current Total Budget used for Administration	Column C, Management & general expenses per 990 above	Differential
8 % (est.)	5.4%	2.6 %

If the differential is above (+) or below (-) 10%, provide an explanation:

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**Quick Ratio:** Measures the level of liquidity and measures only current assets that can be quickly turned to cash. A generally standard Quick Ratio equals 1 or more.

Cash	+ Accounts Receivables	/Current Liabilities	= Quick Ratio
\$117,232	\$128,341	\$44,403	5.5

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**Excess or Deficit for the Year:**

Excess or (Deficit) Most recent fiscal year end: 6/30/14	Excess or (Deficit) Prior fiscal year end: 6/30/13
\$ (105,978)	\$ (769)

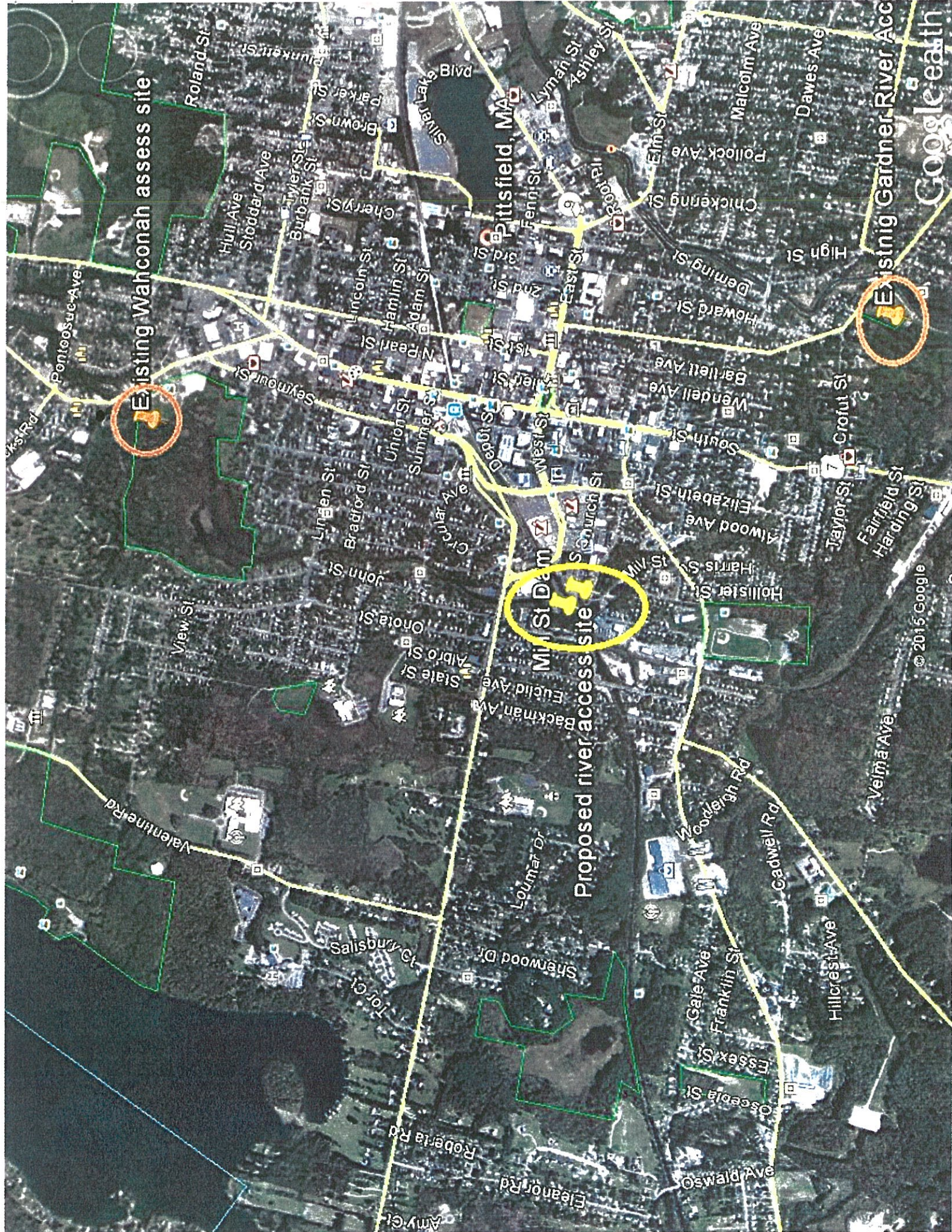
**Notes:**

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**VIII. Application submission check list:**

<p><b><u>Submit FOUR (4) Copies: 1 ORIGINAL (WITH ORIGINAL SIGNATURES) and 3 copies, collated and stapled together of the following:</u></b></p>	<p><b><u>Submit ONE (1) Copy:</u></b></p>
<p>Completed Grant Application Form (cover sheet, narrative (3 pages maximum), budget and sources of funding, financial analysis page</p>	<p>A copy of your current 501(c)(3) letter from the IRS</p>
<p>A list of your Board members and their affiliations</p>	<p>A copy of your most recent year-end financial statements (audited if available; double-sided)</p>
<p>Your current operating budget and the previous year's actual expenses</p>	<p>A copy of your most recent 990 ( double-sided)</p>
<p>Part IX only of the 990 form, Statement of Functional Expenses (one page). If you completed a 990-EZ, fill out the attached Part IX, Functional Expenses of the 990 form using figures from your 990-EZ</p>	
<p>For past grantees, a copy of your most recent final report.</p>	



Existing Wahconah assess site

Proposed river access site

Existing Gardner River Acc

Pittsfield, MA

Google Earth

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**HOUSATONIC VALLEY ASSOCIATION Board of Directors June 12, 2014**

**PRESIDENT**

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**HOUSATONIC VALLEY ASSOCIATION Board of Directors June 12, 2014**

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Term Ends 2015

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**THE HOUSATONIC VALLEY ASSOCIATION, INC.**  
**2014 BUDGET TO ACTUAL**  
**@6/30/2014**

<b>REVENUES</b>	<b>UNAUDITED</b>		<b>BUDGET FYE 2015</b>
	<b>BUDGET FYE 2014</b>	<b>ACTUAL @6/30/2014</b>	
New Members	10,000	4,975	10,500
Regular Members (Dues)	40,000	55,566	42,500
Major Donors (Donors)	59,000	43,453	55,000
Watershed Guardians (Major Donors)	175,000	139,302	175,000
Special Gifts (Memorials)	4,500	150	4,500
BOD Gifts	79,650	82,563	79,125
BOD Gifts for Strategic Plan	-	4,005	5,000
<b>Subtotal- gifts from Individuals</b>	<b>368,150</b>	<b>330,014</b>	<b>371,625</b>
Municipalities	5,525	3,800	5,525
Unrestricted Corp	54,950	40,500	35,050
Fees	16,000	12,696	14,000
Grants	434,271	366,860	748,788
Belter Farm/CLP NRD Grant	395,983	332,075	-
MA Habitat Conti./NRD Grant	393,295	88,648	378,350
Grants from Individuals	90,850	83,100	81,150
Reserve Against Unrealized Grants	(35,000)	-	(40,000)
Events - Golf	35,000	28,620	32,000
Auction Income	144,000	129,425	140,000
Interactive Dinner	-	-	10,000
Rent	8,700	9,526	8,700
Miscellaneous = Formula Transfer	19,000	20,724	20,000
Donated Goods & Services			-
Investment Income	4,200	4,944	4,200
Unrealized Gains & Losses	-	48,767	-
<b>OPERATING REVENUES</b>	<b>1,934,924</b>	<b>1,499,699</b>	<b>1,809,388</b>
<b>EXPENSES</b>			
Salary	682,120	677,962	744,155
Pension	13,476	22,650	33,548
Payroll Tax	58,916	55,345	64,078
Benefits	83,840	66,838	67,541
Workmen's Com	7,700	7,191	7,800
Consulting	131,008	84,353	267,193
Frost Farm/CLP NRD Grant	375,000	336,500	-
Habitat Conti./NRD Grant	362,900	77,182	362,900
Professional Fees	7,420	13,346	13,320
Occupancy	14,500	12,979	18,500
Advertising	1,400	621	1,200
Postage/Shipping	12,450	10,709	11,624
Printing	28,605	17,448	38,165
Telephone	3,800	3,538	3,800
Technology Expense	12,162	12,554	14,232
Supplies	35,275	25,238	55,554
Travel & Enter.	22,280	22,919	24,054
Meetings/conf	32,665	27,077	31,629
Memberships & Publications	4,299	4,123	4,649
Non P/R Taxes	9,580	4,544	7,767
Insurance	8,000	8,405	9,460
Liability Insurance	1,100	1,000	1,100
Rent	9,600	9,000	9,600
Interest	2,500	11	2,500
Miscellaneous	-	-	-
Depreciation	15,000	13,850	15,000
<b>OPERATING EXPENSES</b>	<b>1,935,596</b>	<b>1,515,383</b>	<b>1,809,369</b>
	<b>(672)</b>	<b>(15,684)</b>	<b>19</b>

**Part IX Statement of Functional Expenses**

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.		(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1	Grants and other assistance to governments and organizations in the United States. See Part IV, line 21				
2	Grants and other assistance to individuals in the United States. See Part IV, line 22				
3	Grants and other assistance to governments, organizations, and individuals outside the United States. See Part IV, lines 15 and 16				
4	Benefits paid to or for members				
5	Compensation of current officers, directors, trustees, and key employees	92,426	74,291	11,208	6,927
6	Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7	Other salaries and wages	554,317	461,824	35,423	57,070
8	Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	21,517	17,899	1,360	2,258
9	Other employee benefits	63,496	52,133	5,347	6,016
10	Payroll taxes	52,830	43,862	3,658	5,310
11	Fees for services (non-employees):				
a	Management				
b	Legal				
c	Accounting	5,800	5,800		
d	Lobbying				
e	Professional fundraising services. See Part IV, line 17				
f	Investment management fees				
g	Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O.)	501,537	494,831	3,844	2,862
12	Advertising and promotion	41	41		
13	Office expenses	13,984	10,158	3,001	825
14	Information technology	12,244	11,190	496	558
15	Royalties				
16	Occupancy	22,442	19,085	1,917	1,440
17	Travel	20,270	18,173	799	1,298
18	Payments of travel or entertainment expenses for any federal, state, or local public officials				
19	Conferences, conventions, and meetings	2,285	2,085	94	106
20	Interest	11		11	
21	Payments to affiliates				
22	Depreciation, depletion, and amortization	11,122	8,546	1,171	1,405
23	Insurance	14,380	10,729	2,116	1,535
24	Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a	SUPPLIES	11,751	9,301	1,885	565
b	POSTAGE AND SHIPPING	9,676	5,499	3,591	586
c	TELEPHONE	3,361	2,760	283	318
d	MEMBERSHIP/PUBLICATIONS	4,123	3,951	95	77
e	All other expenses				
25	<b>Total functional expenses.</b> Add lines 1 through 24e	1,417,613	1,252,158	76,299	89,156
26	<b>Joint costs.</b> Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input checked="" type="checkbox"/> if following SOP 98-2 (ASC 958-720)				



**S.L. Gimbel Foundation Fund**  
**Grant Evaluation Form**  
**Docket 3**

**Grant Period:**  
**November 1, 2013 – October 31, 2014**

**Evaluation Due Date:**  
**November 15, 2014**

Organization: Housatonic Valley Association

19989

Contact Name: Ms. Lynn A. Werner

Title: Executive Director

Phone Number: (860) 672-6678

Email Address: *lynnhva@hofmail.com*

Award Amount: \$9,566

Grant Number: 20130696

- **Project's key outcomes and results:**

A rain garden, serving as a highly-visible demonstration of how to filter stormwater run-off through vegetation, has been installed next to the very popular Harlem Valley Rail Trail by the Housatonic Valley Association. Thousands of walkers, riders and runners will pass this attractive garden, and soon to be installed interpretive sign, for years to come. The garden will also serve as a model for municipalities and developers coming into the area and will encourage planning boards and highway superintendents to propose such ground-water filtering projects as well. The garden will help improve the water quality of the Webutuck Creek, a tributary in the Tenmile River Watershed, which flows contiguous to the Rail Trail.

HVA recruited partners for the project that included Millerton Village trustees and Planning Board members who will continue to provide supportive maintenance for the garden in conjunction with the North East Community Center, whose property abuts the installation. Dutchess County Parks Commission and the Taconic Regional Office of New York State Parks helped facilitate the permitting of the project. The design and installation of the garden was by Mark K. Morrison, Ltd., landscape architects who also donated in-kind services.

- **Challenges and obstacles encountered and how we overcame/addressed them:**

The original site for the garden along the Rail Trail next to the North East Community Center property proved unsuitable. It took a great amount of time to establish ownership of the final site, receive approvals, obtain insurance and permits before construction began this spring. The final site is very near the center of the Village of Millerton, making for high public visibility.

- **Lessons learned:**

All challenges and changes to project plans cannot be foreseen. We needed your grant funding to enable HVA staff to put in the time and really bear down to make sure the project was viable. We originally had what we thought was an excellent site on the property of the North East Community Center along with a donation of volunteers and educational support from NECC staff. However, it took a great deal of effort to reconnoiter the final site and obtain approvals



from state, county, local and Rail Trail officials. Ultimately we did not need the number of volunteers we originally thought we needed to install the garden.

- **Unintended positive outcomes:**

As the project developed we received additional financial support from Harney & Sons Fine Teas, Inc., a private donor and a donation of plants from Twin Brooks Gardens of Millbrook, New York. HVA showed its professional ability to complete complex projects as we negotiated a matrix of public and private bureaucracies and by attracting a number of funding sources to accomplish the successful completion of this worthy project.

- **Overall effect of this grant on HVA**

HVA New York field office is a relatively new 'presence' in the Tenmile River sub-watershed region of eastern Dutchess County, New York. Most of our work is carried out in Massachusetts and Connecticut along the main stem of the Housatonic River. However, the Tenmile area is home to pristine, but vulnerable, wildlife and watercourses and receives too little government agency attention. This project raises both the public awareness of the need to protect clean water and HVA's leadership role in environmental protection for this region.

- **Success stories as a result of this grant**

The garden was only recently installed and news of it is just beginning to circulate. After viewing the installation last week, Steve Olsen, Director of Parks, Dutchess County DPW-Parks Division, sent an email to HVA saying: "It looks great!!" We are working on an interpretive sign and expect that once that is installed, we will widely publicize a dedication ceremony and further raise public awareness.

- **Additional Information**

Attached are photos of the garden as of June 26, 2014. The sign will be installed this summer and will be located adjacent to the rain garden. It will appear either as a large panel under the Rail Trail kiosk or as a stand-alone sign similar to the oval sign shown in the attachment. The Foundation logo will be displayed along with those of other funders. A copy of a press article that appeared in the Millbrook Independent is also attached.

**Thank you for providing this grant.**

- Provide a financial report on the use of your grant funds (expenditures).
- ❖ Please send copies of publicity and other promotional materials.
- ❖ All variances or time extensions must be approved by The Community Foundation's Grant Committee. Please contact us at 951-684-4194, ext. 114 immediately if a variance or extension becomes necessary.

Please return the completed form to:  
Celia Cudiamat, Executive Vice President  
3700 Sixth St., Suite 200, Riverside, CA 92501 or fax to 951-684-1911  
Or email to: [ccudiamat@thecommunityfoundation.net](mailto:ccudiamat@thecommunityfoundation.net)

## 2013 S.L. Gimbel Foundation Grant

### Project Budget as Expended—Millerton Rain Garden, Housatonic Valley Association 2014

Line Item Description	Line Item Explanation	Support From Your Agency	Support From Other Funders	Original Grant Amount From TCF	Original Total of Project	Final Expenditures for project
Project Manager	Salary & Benefits, 200 hrs. @ \$30.00/hr.			3,400	3,400	6,000
Excavator (1)	Machine for excavation, 2 days			2,000	2,000	-
Landscape Architect (1)	Design garden, oversee excavation & planting		1,000	2,000	3,000	6,500
Gravel, garden base (1)	50 tons gravel @ \$18.50/ton			925	925	-
Top soil for garden(1)	10 yards @ \$30.00	300			300	-
Plants garden (1)	300 @ \$5.00		1,500		1,500	-
Travel	400 miles (10-40 mile trips) @\$.48/mile	200			200	68
Printing of brochures (2)	2000 @ \$.20/copy			400	400	0
Interpretive Sign	Customized interpretive sign			1,000	1,000	1,400
Tree removal, NECC educators (3)	\$2,650 tree removal Educators 30 hours @ \$28.00		4,700		4,700	0
Volunteers	175 hours @\$27.20 (Independent Sector)		2,366		2,366	4,760
<b>TOTALS:</b>		500	9,566	9,725	19,791	18,728

**Budget Notes:** (1) Mark Morrison Associates contract for \$6,500 covered excavator, site preparation, grading, supply and install plant material, mulch and clean-up work area. (2) We did not design and print brochures. (3) NECC participated minimally as the site was moved off of their property.

#### Sources of Funding:

Name of Funder: Foundation, Corporation, Government	Amount
Community Foundations of the Hudson Valley (Dutchess County)	1,500
Mark Morrison, AIA, in-kind	1,000
S.L. Gimbel Foundation Fund	9,566
HVA in-kind	3,068
Volunteer hours, NY rate as per Independent Sector	4,760

APR 12 1999

Internal Revenue Service  
P. O. Box 2508  
Cincinnati, OH 45201

Department of the Treasury

Employer Identification Number:  
06-6049295

Date: APR 08 1999

Person to Contact:  
Margaret Evans  
Badge # 04-55299  
Contact Telephone Number:  
(617)565-7835

Accounting Period Ending:  
June 30  
Addendum Applies:  
No

Housatonic Valley Association, Inc.  
P.O. Box 28  
Cornwall Bridge, CT 06754-0028

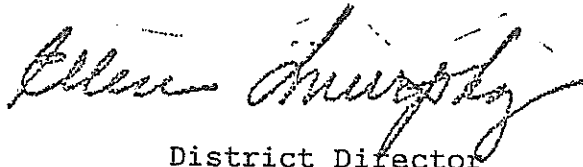
Dear Sir or Madam:

In March of 1970, a conditional determination letter was issued to the organization indicated above, granting exempt status under section 501(c)(3) of the Internal Revenue Code. During that time, it was also determined that you were required to amend your Certificate of Incorporation within six months from the date of your exemption letter, for reasons specified in the letter.

Based upon receipt of your amended Certificate of Incorporation which was filed with Connecticut State on March 15, 1999, we have determined that you meet the requirements of our letter dated March 1970, and your exempt status under section 501(c)(3) remains in effect.

Please let us know about any future change in the character, purpose, method of operation, name or address of your organization. This is a requirement for retaining your exempt status.

Sincerely yours,



Ellen Murphy

District Director



Strengthening Inland Southern California through Philanthropy

*S. L. Gimbel Foundation Fund*

BOARD OF DIRECTORS

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Teresa Rhyne

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Tamara Sipos

Beverly Stephenson

Randall Tagami

Diane Valenzuela

Dr. Jonathan Lorenzo Yorba  
President and CEO

August 26, 2015

Ms. Lynn A. Werner  
Executive Director  
Housatonic Valley Association  
P.O. Box 28  
Cornwall Bridge, CT 06754

Dear Ms. Werner:

Congratulations! A grant has been approved for **Housatonic Valley Association** in the amount of **\$25,000** from the S.L. Gimbel Foundation. The **performance period for this grant is September 1, 2015 to August 31, 2016**. Additional funding beyond the performance period is not guaranteed. It is highly recommended that alternative funding sources be sought accordingly. The grant is to support the following as specified in your proposal:

*West Branch River Access Project: In partnership with the City of Pittsfield, will install a safe, new public river paddling access site in an urban neighborhood on the West Branch of the Housatonic River.*

This grant is subject to the terms outlined in the enclosed Grant Agreement. After you have reviewed the terms and conditions of the Grant Agreement, please sign and date the enclosed copy and return the original copy to The Community Foundation within the next two weeks. Please retain a copy of the signed agreement for your records. Funds will be released upon receipt of the signed Grant Agreement.

A condition of this grant is that you agree to submit the Grant Evaluation Form which includes a narrative report and fiscal report. The **Grant Evaluation is due by September 15, 2016** and a copy will be available online.

We wish you great success and look forward to working with you during the grant performance period.

If you have any questions, please call me at 951-684-4192 ext. 114 or email me at [ccudiamat@thecommunityfoundation.net](mailto:ccudiamat@thecommunityfoundation.net).

Sincerely,

Celia Cudiamat  
Executive Vice President of Programs

19989 Housatonic Valley Association

20150638

GIMB4



Confirmed in Compliance  
with National Standards for  
U.S. Community Foundations

3700 Sixth Street, Suite 200 Riverside, California 92501  
P: 951.241.7777 F: 951.684.1911 [www.thecommunityfoundation.net](http://www.thecommunityfoundation.net)

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**2015 S.L. Gimbel Foundation Fund**

**Grant Agreement**

**Organization:** Housatonic Valley Association

**Grant Amount:** \$ 25,000                      **Grant Number:** 20150638

**Grant Period:** September 1, 2015 to August 31, 2016 (Evaluations due by September 15, 2016)

**Purpose:** **West Branch River Access Project: In partnership with the City of Pittsfield, will install a safe, new public river paddling access site in an urban neighborhood on the West Branch of the Housatonic River.**

**1. Use of Grant Funds**

Grant funds must be expended within the grant period, for the purpose and objectives described in your grant proposal. Grant funds may not be expended for any other purpose without prior written approval by The Community Foundation. If there are significant difficulties in making use of the funds as specified in your proposal, or if the grant funds cannot be spent within the grant period, notify us in writing promptly.

Formal requests for extensions or variances must be submitted to the Foundation's Board of Directors for approval a minimum of 60 days before the end of the grant period.

Requests for variances or extensions are reviewed on a case-by-case basis and approved by the Board of Directors. If a request is denied, unused funds must be immediately refunded to the Foundation.

**2. Payment of Grant Funds**

The grant funds will be paid in full by the Foundation upon receipt of the signed Grant Agreement. Challenge grant funds will be paid in full upon receipt of the signed Grant Agreement and upon receipt of documentation providing evidence that condition(s) of the challenge grant has/have been met.

**3. Certification and Maintenance of Exempt Organization Status**

This grant is specifically conditioned upon Grantee's status as an eligible grantee of The Community Foundation. The Foundation has obtained a copy of the Grantee's IRS determination letter. Grantee confirms that it has not had any change in its tax-exempt status, and shall notify the Foundation immediately of any such change.

**4. Final Report and Records**

The Grantee will submit the Grant Evaluation report per the deadline set forth in the award letter. This report includes a narrative on outcomes based on goals and objectives set forth in the grant proposal and an expenditure report documenting use of grant funds. If equipment was purchased, copies of receipts need to be included.

**5. Grantee's Financial Responsibilities**

Grantee will keep records of receipts and expenditures of grant funds and other supporting documentation related to the grant at least four (4) years after completion of the grant and will make such records of receipts, expenditures and supporting documentation available to the Foundation upon request.

**6. Publicity**

The Community Foundation recommends publicity for the grant and acknowledging The Community Foundation in internal correspondence, brochures as appropriate; newsletters, annual reports and email blasts or e-newsletters.

The credit line of "Made possible in part by a grant from the **"S.L. Gimbel Foundation Advised Fund at The Community Foundation – Inland Southern California"** is suggested. When your donors are listed in printed materials, include the S.L. Gimbel Foundation Advised Fund at The Community Foundation in the appropriate contribution size category. When publishing our name, please note the "The" at the beginning of our name is a legal part of our name. It should always be used and capitalized. Attaching our logo is also appreciated. Our logo can be downloaded from our website at [www.thecommunityfoundation.net](http://www.thecommunityfoundation.net).

**7. Indemnification**

In the event that a claim of any kind is asserted against the Grantee or the Foundation related to or arising from the project funded by the Grant and a proceeding is brought against the Foundation by reason of such claim, the Grantee, upon written notice from the Foundation, shall, at the Grantee's expense, resist or defend such action or proceeding, at no cost to the Foundation, by counsel approved by the Foundation in writing.

Grantee hereby agrees, to the fullest extent permitted by law, to defend, indemnify, and hold harmless the Foundation, its offices, directors, employees, and agents, from and against any and all claims, liabilities, losses, and expenses (including reasonable attorneys' fees) directly, indirectly, wholly, or partially arising from or in connection with any act or omission by Grantee, its employees, or agents in applying for or accepting the Grant, in expending or applying the Grant funds or in carrying out any project or program supported by the Grant, except to the extent that such claims, liabilities, losses, and expenses arise from or in connection with any bad faith act or omission by the Foundation, its officers, directors, employees, or agent.

**8. Termination**

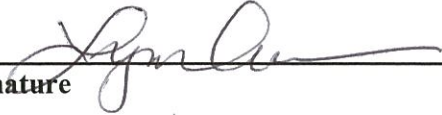
The Community Foundation may terminate this agreement, withhold payments, or both at any time, if, in the Community Foundation's judgment: a) The Community Foundation is not satisfied with the quality of the Grantee's progress toward achieving the project goals and objectives; b) the Grantee dissolves or fails to operate; c) the Grantee fails to comply with the terms and conditions of this agreement.

**9. Limitation of Support**

This Agreement contains the entire agreement between the parties with respect to the Grant and supersedes any previous oral or written understandings or agreements.

\*\*\*\*\*

**I have read and agree to the terms and conditions of the Grant Agreement.**

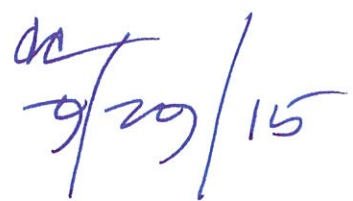
  
Signature

Lynn Weaver  
Printed Name

September 12 2015  
Date

Executive Director  
Title

Organization: 19989 Housatonic Valley Association  
Grant Number: 20150638



SEP 01 2015

BOARD OF DIRECTORS

August 26, 2015

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*Chair of the Board*

Sean Varner  
*Vice Chair of the Board*

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*Chief Financial Officer*

Sergio Bohon  
*Secretary of the Board*

Glenda Bayless

Dr. Paulette Brown-Hinds

Rabbi Hillel Cohn

James Cuevas  
*Immediate Past Board Chair*

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D. Matthew Pim

Teresa Rhyme

Dr. Henry Shannon

Tamara Sipos

Beverly Stephenson

Randall Tagami

Diane Valenzuela

Dr. Jonathan Lorenzo Yorba  
*President and CEO*

Ms. Lynn A. Werner  
Executive Director  
Housatonic Valley Association  
P.O. Box 28  
Cornwall Bridge, CT 06754

Dear Ms. Werner:

Congratulations! A grant has been approved for Housatonic Valley Association in the amount of \$25,000 from the S.L. Gimbel Foundation. The performance period for this grant is September 1, 2015 to August 31, 2016. Additional funding beyond the performance period is not guaranteed. It is highly recommended that alternative funding sources be sought accordingly. The grant is to support the following as specified in your proposal:

*West Branch River Access Project: In partnership with the City of Pittsfield, will install a safe, new public river paddling access site in an urban neighborhood on the West Branch of the Housatonic River.*

This grant is subject to the terms outlined in the enclosed Grant Agreement. After you have reviewed the terms and conditions of the Grant Agreement, please sign and date the enclosed copy and return the original copy to The Community Foundation within the next two weeks. Please retain a copy of the signed agreement for your records. Funds will be released upon receipt of the signed Grant Agreement.

A condition of this grant is that you agree to submit the Grant Evaluation Form which includes a narrative report and fiscal report. The Grant Evaluation is due by September 15, 2016 and a copy will be available online.

We wish you great success and look forward to working with you during the grant performance period.

If you have any questions, please call me at 951-684-4192 ext. 114 or email me at [ccudiamat@thecommunityfoundation.net](mailto:ccudiamat@thecommunityfoundation.net).

Sincerely,



Celia Cudiamat  
Executive Vice President of Programs

19989 Housatonic Valley Association 20150638 GIMB4



Confirmed in Compliance  
with National Standards for  
U.S. Community Foundations

**The Community Foundation**  
 Strengthening Inland Southern California Through Philanthropy  
 3700 SIXTH STREET, SUITE 200  
 RIVERSIDE, CA 92501  
 951-241-7777 / FAX 951-684-1911

**CITIZENS BUSINESS BANK**  
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 3695 Main Street, Riverside, CA 92501  
 90-3414-1222

EZShield™ Check Fraud Protection for Business

39682

PAY \* Twenty-Five Thousand and no/100 \*

TO THE ORDER OF

DATE

08/27/2015

AMOUNT

\$ \*\*\*\*25,000.00

Housatonic Valley Association  
 P.O. Box 28  
 Cornwall Bridge, CT 06754



*Jonathan Lorenzo Yorsa*  
*Adia Chismat*  
 AUTHORIZED SIGNATURE

Security features. Details on back.

⑈039682⑈ ⑆122234149⑆ 244124437⑈

The Community Foundation

39682

19989	Housatonic Valley Association	08/27/2015	039682	
20150638	08/25/2015 West Branch River Access Project			25,000.00
GIMB	S.L. Gimbel Foundation Advised Fund		25,000.00	

CHECK TOTAL: \$ \*\*\*\*25,000.00

The Community Foundation

39682

19989	Housatonic Valley Association	08/27/2015	039682	
20150638	08/25/2015 West Branch River Access Project			25,000.00
GIMB	S.L. Gimbel Foundation Advised Fund		25,000.00	

CHECK TOTAL: \$ \*\*\*\*25,000.00